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## PRELIMINARY PROPOSALS BY THE DIRECTOR-GENERAL CONCERNING THE DRAFT PROGRAMME AND BUDGET FOR 2018-2021 (39 C/5)

### PART I

#### SUMMARY

This document contains the preliminary proposals by the Director-General for the Draft Programme and Budget for 2018-2021 (39 C/5), which will be the second and final Programme of the period 2014-2021 covered by the Medium-Term Strategy of the Organization ([37 C/4](#)). Part I is supplemented by the following documents (Parts I (A), (B) and (C)) which do not require any action by the Executive Board. Therefore, the proposed decision on this item is contained at the end of Part I:

- Part I (A) presents an analysis of Member States and Associate Members replies to the questionnaire on the Programme and Budget for the period 2018-2021 (39 C/5), circulated under cover of CL/4152.
- Part I (B) presents the summaries of the responses provided by the United Nations organizations, intergovernmental organizations (IGOs) and international non-governmental organizations (NGOs).
- Part I (C) contains the reports of the regional consultations of the National Commissions for UNESCO held in Shanghai, China on 15 June 2016.

**Action expected of the Executive Board:** Proposed decision in paragraph 306.



## INTRODUCTION

### *Background*

1. The present Preliminary Proposals on the Draft Programme and Budget for 2018-2021 (39 C/5) cover the second and final Programme of the period 2014-2021 within the framework of the Medium-Term Strategy of the Organization ([37 C/4](#)). They are consistent with the guiding principles, mission statement, functions, global priorities, overarching objectives and strategic objectives defined in document 37 C/4. The 2018-2021 period will represent the second and final quadrennium of the eight-year period covered by UNESCO's Medium-Term Strategy for 2014-2021 ([37 C/4](#)). It is consistent with the two Overarching Objectives of peace and sustainable development and the nine Strategic Objectives defined in document 37 C/4, and which have already been translated by documents 37 C/5 and 38 C/5 into actionable results.

2. These Preliminary Proposals are based on an extensive process of consultations, with Member States, UNESCO partners and within the UNESCO Secretariat, in the past six months:

- (i) they have been prepared in accordance with the General Conference decision ([38 C/Resolution 104](#)), in which Member States defined the guiding principles and strategic orientations for the Organization to adopt in the preparation of its future Programme and Budget. It is recalled that the 38th session of the General Conference examined documents [38 C/7](#) and [38 C/INF.19](#) and that it held extensive discussions in plenary meetings and in sectoral commissions about the main programmatic orientations of UNESCO's future Programme and Budget for 2018-2021, in particular in the context of the new 2030 Agenda for Sustainable Development and of the initial mapping provided by the Secretariat;
- (ii) they reflect the discussions held and decisions taken by the Executive Board on related issues and more specifically on:
  - The Strategic Results Report ([199 EX/4 Part I \(B\)](#) and [199 EX/Dec. 4.I.B](#)); whose findings and debates thereon have served as a basis for evaluating the relevance and value of each programme area;
  - Invest for efficient delivery ([199 EX/5 Part II \(D\)](#) and [199 EX/Dec. 5.II.D](#));
  - Proposal for presenting the performance indicators (PIs) and targets related to the Global Priorities Africa and Gender Equality ([199 EX/5 Part II \(E\)](#) and [199 EX/Dec. 5.II.E](#));
  - Structured dialogue on financing ([199 EX/5 Part II \(F\)](#) and [199 EX/Dec. 5.II.F](#)).
- (iii) they further reflect the outcome of the Director-General consultations with Member States and all stakeholders organised according to the Roadmap approved by the General Conference in its 38 C/Resolution 104. These included from their inception in April 2016:
  - the Director-General's online survey addressed to all Member States, Associate Member States, IGOs and NGOs to solicit views, comments and suggestions on future programme orientations, building on the Organization's past achievements and taking into account recent developments at the global level, in particular the 2030 Agenda for Sustainable Development. The response rate was the highest for such a survey, responses being received from 117 Member States, four Associate Members, four IGOs and 84 NGOs, indicating a strong engagement by UNESCO stakeholders. Parts I (A) and I (B) of this document present the analysis of replies received by the Secretariat (See also copies of all replies on [click here](#)).

- regional-level consultations of the National Commissions for UNESCO organised within the framework of the third Interregional meeting of the National Commissions in Shanghai, China, from 13 to 15 June 2016. The reports of these regional consultations are contained in Part I (C) of this document.

3. The preliminary proposals for document 39 C/5 have been prepared while taking into consideration that the full-fledged document 39 C/5 should be underpinned by the following guiding principles reflected in 38 C/Resolution 104:

- Ensure that UNESCO's programmes will be designed to contribute to the implementation and follow-up of the 2030 Agenda for Sustainable Development at appropriate levels, in particular by delivering assistance and technical support to Member States in its various fields of competence;
- Focus on UNESCO's comparative advantages and added value;
- Identify the right balance between UNESCO's normative and operational roles, setting global standards and building capacity;
- Enhance intersectorality and a multidisciplinary approach in UNESCO's work in order to achieve the Sustainable Development Goals (SDGs);
- Further gender mainstreaming in all UNESCO's programmes and activities;
- Strengthen collaboration within the United Nations system as well as with other relevant partners;
- Formulate exit strategies and sunset clauses taking into account indicators tailored to each of the programmes;
- Strengthen the use of results-based management (RBM) and results-based budgeting (RBB);
- Hold structured dialogue on financing through a step-by-step approach and a mutual learning process including the development of a transitional integrated budget framework presentation.

4. The Preliminary Proposals for document 39 C/5 set out hereunder are presented to the Executive Board at its 200th session for its consideration. They contain an outline of the future programmatic priorities and the overall direction proposed for the Organization to address emerging challenges and to respond in a more effective and efficient way to Member States' requests for support, especially in the implementation of the 2030 Agenda.

***Responding to a changing global environment: implications of the 2030 Agenda for UNESCO***

5. The adoption of the 2030 Agenda has significantly changed the global environment in which UNESCO operates as a specialized agency of the United Nations system. **Document 39 C/5 will focus on ensuring UNESCO's effective response to the 2030 Agenda in its areas of competence.** Discussions about the new sustainable development Agenda and its implications for UNESCO have already taken place, in particular at the General Conference and the Executive Board. Member States have underscored the "enduring relevance" of UNESCO, with its universal mandate to contribute to "building of peace, the eradication of poverty, and sustainable

development and intercultural dialogue through education, the sciences, culture, communication and information”.<sup>1</sup>

6. It is proposed that the next Programme and Budget of the Organization (39 C/5) will respond to the wide-ranging implications of the new and rapidly changing global environment in particular by embedding the 2030 Agenda’s principles into UNESCO’s programmes, by adapting UNESCO approaches, focusing more on partnerships and integration within the United Nations system, and working closer to the Field through the continued improvement of its Field network.

(i) *Embedding the principles of the 2030 Agenda into UNESCO’s programmes*

7. The 2030 Agenda for Sustainable Development and the Sustainable Development Goals (SDGs) contained therein provide a new framework for development cooperation over the next 15 years, emphasizing the ownership of the new Agenda by Member States, with **wide-ranging important implications** across all areas of expertise of UNESCO. It is proposed that document 39 C/5 should embed into all of its programmes the guiding principles of the 2030 Agenda:

- (a) **Universality and interdependence:** the 2030 Agenda is a **universal agenda**, reflecting a changing world and a new appreciation for the **growing complexity and interconnectedness of development challenges** reaching beyond borders, which need to be addressed in an integrated, coordinated and coherent manner, taking into account interlinkages and mutual dependency among the sustainable development goals, recognizing the continuing priorities of poverty eradication and support to countries and populations most in need, with multidimensional forms of poverty and rising inequality, and with continued complex crises; it emphasizes that developed countries can no longer achieve sustainable development without commensurate progress in developing countries and vice versa;
- (b) **Inclusivity (“leaving no one behind”):** the new Agenda is deeply committed to inclusivity (“leaving no-one behind”), including ending poverty in all its forms and reducing poverty within and among countries; it requires giving highest priority to support LDCs and those in conflict and other special development situations, with a strong focus on engagement at the country level and capacity building, so as to ensure national ownership of efforts and results; this principle is also accompanied by a commitment to enhancing the **participation** of all people in the sustainable development processes;
- (c) **Integration and interlinkages:** the 2030 Agenda recognizes that sustainable development strategies should respond in an integrated manner to the complex challenges of today: they should promote economic growth and the reduction of inequalities, enhance biodiversity while facing the challenges of urbanization, address climate change and protect terrestrial and marine ecosystems and water resources. As a result, the new Agenda places great value on **partnerships** and multistakeholder coalitions;
- (d) **Peace, intercultural understanding, global citizenship:** Critically for UNESCO, the 2030 Agenda recognizes that “sustainable development cannot be achieved without peace and security” and commits to intercultural understanding, mutual respect, and “an ethic of global citizenship and shared responsibility”.<sup>2</sup> Under SDG 16, it commits the international community to preventing all forms of violence and to promote peaceful,

<sup>1</sup> General Conference 38 C/Resolution 104. The initial mapping of UNESCO’s contribution to the 2030 Agenda was provided in document 38 C/7.

<sup>2</sup> “We pledge to foster intercultural understanding, tolerance, mutual respect and an ethic of global citizenship and shared responsibility. We acknowledge the natural and cultural diversity of the world and recognize that all cultures and civilizations can contribute to, and are crucial enablers of, sustainable development.” (paras. 35 and 36).

just and inclusive societies free from fear and violence, with accountable and inclusive institutions at all levels;

- (e) **National ownership:** the 2030 Agenda is first and foremost about the national ownership of the Sustainable Development Goals, which are incorporated in national planning processes, policies and strategies. Supporting national ownership of the SDGs will be a fundamental task for UNESCO in 2018-2021. In doing so, UNESCO will adapt its support to the specific and diversified needs of its Member States, taking into account the increased diversification of the capacity of Member States, in particular in emerging Middle Income Countries (MICs);<sup>3</sup>
- (f) **Responding to crisis, conflict and disasters:** the Agenda stresses the need to pay greater attention to the special needs of the countries which are in conflict and crisis situations – 33 of today’s 49 least-developed countries, with a population of almost 900 million – and to address the protracted nature of crises in many humanitarian and conflict-affected settings, and building the resilience of the poor and of those in vulnerable situations, by reducing their exposure and liability to climate-related extreme events;<sup>4</sup> It is committed to bridging the humanitarian-development divide.
- (g) **Applying rights-based approaches:** the 2030 Agenda is a rights-based agenda, which commits to realizing the human rights of all and mainstreaming gender equality and the empowerment of women and girls across all of the Goals and targets; it places emphasis on the role of support to policy and normative work for the achievement of the 2030 Agenda:
- (h) **Promoting knowledge, science and innovation (STI):** the new Agenda recognizes the importance of fully **harnessing STI and building human capacity, skills and knowledge** for sustainable development, including **quality education for all** throughout life; **Science, Technology and Innovation, access to information**, and the provision of **quality data** across all goals.
- (ii) *Adapting UNESCO’s approaches: partnerships and integration within the United Nations system*

8. The implementation of the new Agenda has deep consequences on how UNESCO works, in particular as an integral part of the United Nations development system: “The adoption of the 2030 Agenda has implications for every aspect of the work of the United Nations development system, including interlinkages between the alignment of functions, funding practices, governance structures, organizational arrangements, capacity and impact and partnership approaches.”<sup>5</sup> The future document 39 C/5 will take into account current discussions about the longer-term positioning of the United Nations development system.<sup>6</sup> United Nations Member States have stressed that the demands of the 2030 Agenda call for greater horizontal cooperation among sectors and actors, which represents a special challenge for the United Nations development system due to the vertically-oriented governance, accountability and operational lines of United Nations entities. It also requires the United Nations to strengthen its ability to provide integrated, coordinated and coherent support to programme: “The United Nations development system will therefore need to

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<sup>3</sup> As acknowledged by the United Nations, “While many middle-income countries (MICs) have acquired significant capacities and resources in the past decade, they continue to face significant challenges and vulnerabilities as recognized in many General Assembly resolutions, especially in GA/70/215. In the post-2015 era, the MICs can be expected to demand more integrated policy and technical support from the UN development system aimed at enhancing capacity for policy coherence, institution-building and leveraging of private finance”.

<sup>4</sup> It is inextricably linked to the “Sendai Framework for Disaster Risk Reduction 2015–2030”, the “Paris Climate Change Agreement” and the “Addis Ababa Action Agenda”.

<sup>5</sup> Ibid. The following passage also draws from this document and related discussions.

<sup>6</sup> Ibid.

develop the necessary capacity to perform as a “system” if the Organization is to effectively support 2030 Agenda implementation”.<sup>7</sup>

9. During the 2018-2021 period, it is proposed that UNESCO should strengthen and expand partnerships. Contemporary challenges cannot be resolved by working alone. The 2030 Agenda places a clear premium on partnerships and on integration and integrated approaches, which will dominate much of the United Nations development system’s work, especially at the country level, where UNESCO and other organizations will be called to respond to country needs and priorities, in an increasingly competitive environment. UNESCO, can play a significant role in its domains as the convener, broker, facilitator and implementer of multi-stakeholder partnerships in support of the realization of the 2030 Agenda, acting in closer partnership with government, civil society, private sector, and commit to developing new types of inclusive multi-stakeholder partnerships, and also supporting South-South and North-South-South cooperation to implement the SDGs. These approaches can be particularly effective at the national level, but also at the global level, where UNESCO can encourage the development of strategic **multistakeholder partnerships** such as the one on Education 2030, which bring together the expertise and capacities of many diverse partners within a coherent and strategic collective framework. During the 2018-2021 period, the development of these multistakeholder frameworks will be encouraged across all areas of competence of UNESCO, as well as the development of substantive partnerships with United Nations agencies to work on issues of common interest. Similarly, the development of structured financing dialogue should also help in designing multi-partner approaches, including through the development of the newly established **multi-donor funds** as well as the development of **multi-year strategic funding agreements** with donors.

10. The 39 C/5 Programme will be designed to encourage the **enhanced integration of UNESCO within the United Nations development system**. Building on its mandate and comparative advantages, UNESCO will be working in close partnership with the United Nations system at large in delivering on the 2030 Agenda for Sustainable Development, including through the United Nations Chief Executives Board (CEB) and its pillars, the High-Level Committee on Management (HLCM), the High-Level Committee on Programmes (HLCP) and the United Nations Development Group (UNDG).

11. In responding to Member States’ requests for support in their implementation of the 2030 Agenda, UNESCO will act as **an integral part of the United Nations development system at the country and regional levels**, working jointly with other United Nations organizations and avoiding duplication and overlap. It will contribute to the more strategic programmatic and policy collaboration among United Nations entities at the country level, including through its participation in common country programming, in particular through the future UNSDAF,<sup>8</sup> which will serve as the common inter-agency framework for planning, programming, monitoring and measuring results of the United Nations development system as a whole at the country level. This should allow the Organization to build on its comparative advantages. The role of UNESCO as **a convener and honest broker in its areas of competence** will be highlighted and promoted, in particular through the assistance in facilitating policy dialogue between government, United Nations organizations, donors and civil society.

12. UNESCO will actively participate in United Nations-wide efforts to improve coherence, coordination within the United Nations system. In this regard, the United Nations General Assembly will adopt at the end of 2016 its Resolution on the **Quadrennial Comprehensive Policy Review on operational activities of the United Nations system (QCPR)**, which is expected to serve as an overarching strategic framework of reference for all the UN development system, and to empower and help reposition the United Nations development system to increase its impact at the country level, while also strengthening the regional dimension of the United Nations development system’s work. UNESCO will work closely with its United Nations counterparts in the implementation of the QCPR. It will also play an active role in the follow-up and review processes

<sup>7</sup> Ibid.

<sup>8</sup> United Nations Sustainable Development Assistance Framework, to replace today’s UNDAF.

at the global levels and as appropriate at the regional and national levels, especially through the High-Level Political Forum placed under the auspices of the General Assembly and the Economic and Social Council.

*(iii) Improving programme delivery in the field*

13. The ECOSOC Dialogue on the longer-term positioning of the United Nations development system have stressed that “there is need to review the existing field presence of United Nations development system entities with a view to improving cost-effectiveness in programme delivery at country and regional levels” including through “developing flexible office presence models that respond to different country contexts and which could be implemented in a phased manner”, and improving business operations. This is in line with current UNESCO discussions on the sustainability of the field network.

14. An agile, resilient, responsive and sustainable **field network** is essential for the implementation of UNESCO’s mandate and its capacity to support Member States in the implementation of the 2030 Agenda with its emphasis on national ownership and regional follow-up and review. UNESCO is presently reviewing the sustainability of the field network with the aim at defining a more consistent, solid and operational field structure with greater programmatic relevance and adequate operational capacity so as to respond to the obligations and opportunities for UNESCO arising from the 2030 Agenda. In order to respond appropriately to the demands of the 2030 Agenda, it is important that UNESCO maintains its overall level of commitment to the Field. As detailed in document 200 EX/5 Part III (A), the review focuses on: (a) reviewing and defining basic principles of the sustainability of the UNESCO field network; (b) reviewing the criteria for field presence at regional, sub regional and national levels; (c) reviewing the adaptability and flexibility of the field network according to the regional needs; (d) proposing measures to optimize structures to ensure a critical mass of expertise in main programme areas; and (e) proposing measures for improving human and financial resourcing. UNESCO’s action at regional and national levels will be based on a set of principles, chiefly among them the principle of subsidiarity defining the interlinked roles and functions of Headquarters (HQ), category 1 institutes and field offices, the recognition of the complementarity of centralized and decentralized activities, effective delegation of authority and clear accountability lines.

15. Programme delivery at regional and national levels will rely on UNESCO’s proximity to Member States. It will be driven by Member States’ needs, the resulting sector-sensitive programmatic focus and the availability of resources. The field network will be sufficiently flexible to react to changing needs, programmatic priorities and availability of resources. The current Preliminary proposals are based on the understanding that the implementation of the programmes may vary depending on the regional needs.

16. One area of comparative advantage for United Nations Specialized Agencies is their **presence and programmes at the regional level**. This issue has already been discussed at UNESCO, with Member States recognizing the importance for the Organization to strengthen the regional dimension of its work in the post-2015 era. Indeed, ECOSOC discussions have also highlighted the high importance of effective work of the UN development system at this level. Efforts will also be made for UNESCO to enhance its participation in joint approaches to **business operations** at the operational level. Special attention will be paid to countries facing **conflict, crisis and disaster** situations.

***Overarching goals, functions, global priorities, priority groups, interdisciplinarity***

17. The new 2030 Agenda and international environment gives added relevance to the main features of UNESCO’s Medium-Term Strategy for 2014-2021 (37 C/4), including its two Overarching Objectives, its two Global Priorities – Africa and Gender Equality, its priority target group of small island developing States (SIDS), its nine Strategic Objectives and its commitment to integrated and interdisciplinary action.

*(i) Overarching objectives and functions*

18. The **two overarching objectives** are given even greater relevance by the 2030 Agenda, which introduces peace for the first time in the scope of the international development agenda. The preliminary proposals are faithful to that spirit.

19. UNESCO will continue to deliver on its five mandated **functions** as defined in its Medium-Term Strategy (document 37 C/4). In its support to its Member States in the implementation of the 2030 Agenda, it will focus in particular on activities related to:

- (a) Providing normative support to Member States in its areas of competence, focusing on the implementation, but also on monitoring and reporting on global agreements, norms and standards to support countries in their efforts to embed SDGs into national plans and budgets, and to respond to emerging challenges;
- (b) Providing evidence-based normative and policy advice and analysis, knowledge-sharing, and carrying out comprehensive and disaggregated data collection and analysis to inform evidence-based policy choices in its areas of competence;
- (c) Delivering capacity development to UNESCO Member States, with a focus on institutional capacity-building, in all core areas of competence, such as educational planning, literacy, water management, data collection and analysis, etc.;
- (d) Delivering capacity development at global, regional, subregional, national and subnational levels;
- (e) Acting as a convener and honest broker for issue-based multistakeholder groups, including as appropriate representatives of government, United Nations agencies, donors, civil society; convening key constituency groups in its areas (from journalists to teachers, from researchers to artists); leveraging partnerships (including through consultative and participatory approaches) with a large range of stakeholders, including other United Nations organizations, civil society, professional networks, UNESCO National Commissions, university chairs and associated schools, the private sector;
- (f) Supporting countries in conflict and crisis, or those affected by disasters, and mobilizing its diversified field presence, with the support of larger Headquarters and regional expertise when and where needed.

20. In carrying out these functions, UNESCO will harness the full potential of **its networks** (category 1 and 2 institutes and centres, Chairs, Associated Schools, Goodwill Ambassadors, etc.), by mobilizing them around projects relevant to the implementation of the 2030 Agenda. UNESCO will also fully mobilize its field network, in particular through regional activities contributing to the implementation of the 2030 Agenda.

*(ii) Reinforcing UNESCO's action in favour of its two Global priorities: Africa and Gender Equality*

21. With regards to **Global Priority Africa**, UNESCO is reviewing its [Operational Strategy for Priority Africa 2014-2021](#), which was approved by the General Conference at its 37th session, with the objective to ensure alignment with the 2030 Agenda for Sustainable Development as well as with the African Union 2063 Agenda “the Africa We want”, taking into consideration Member States’ concerns as expressed in [199 EX/Dec. 5.II.E](#). To that effect, the Africa Department, in charge of intersectoral coordination of the Global Priority Africa, has initiated reflection across the Organization on the future orientations of action to benefit Priority Africa. At an initial stage, the cross examination of the six flagship programmes implemented in 2014-2017, conducted in collaboration with Programme Sectors and Field Offices in Africa, confirmed the total alignment of the objectives of the Operational Strategy and its main focus areas, namely: (i) building peace by



building inclusive, peaceful and resilient societies; and (ii) building institutional capacities for sustainable development and poverty eradication, with both the 2030 Agenda for sustainable Development and the African Union 2063 Agenda (See further details in 200 EX/13.INF). Hence, the Operational Strategy for Priority Africa will continue to provide the overall framework and guide the preparation of the Draft 39 C/5.

22. In the same context, an internal review of Priority Africa flagship programmes will be carried out by the end of 2016 and the findings are expected to enable UNESCO to **develop the plan of action for the future quadrennial period 2018-2021** concerning the Global Priority Africa with a solid basis that draws on past experience and lessons learned in the implementation of the flagship programmes. Global Priority Africa is translated into programmatic action, as presented herewith in the Preliminary proposals by each Programme Sector which draw largely on the results of the consultations of Member States and all stakeholders, including in Africa. Targeted interventions and intersectoral approaches will be enhanced to plan and deliver support to Member States in the implementation of the SDGs and the African Union 2063 Agenda, in particular as concerns priority areas falling under UNESCO's mandate, in view of addressing national needs and priorities. In their replies to the UNESCO Questionnaire on the Programme and Budget for the period 2018-2021, African Member States have identified inclusive and equitable quality education and sustainable management of Africa's natural resources as high priorities. Other high priority thematic areas where UNESCO should further capitalize on its multidisciplinary expertise and intersectorality, in view of strengthening capacities in the implementation of the SDGs, pertain to: Climate Change; Education for sustainable development; Intercultural dialogue and peace building; Global citizenship education; and Information and Communication Technologies (ICTs).

23. Moreover, the Organization will apply a better mainstreamed and more integrated programming approach, including in results formulation and target-setting (in follow-up of [199 EX/Dec. 5.II.E](#)) when planning the programmes to benefit Global Priority Africa.

24. Regarding the **Global Priority Gender Equality**, the Organization's long-term vision, as defined in its Medium-Term Strategy 2014-2021 and reiterated in the Gender Equality Action Plan II, continues to guide UNESCO's Programme and Budget for 2018-2021. Moreover, while recognizing that women's empowerment is a pre-condition for achieving all of the 17 SDGs, the global community has agreed on a stand-alone goal (SDG 5) and further confirmed the importance of achieving gender equality and empowering all women and girls as an end in itself.

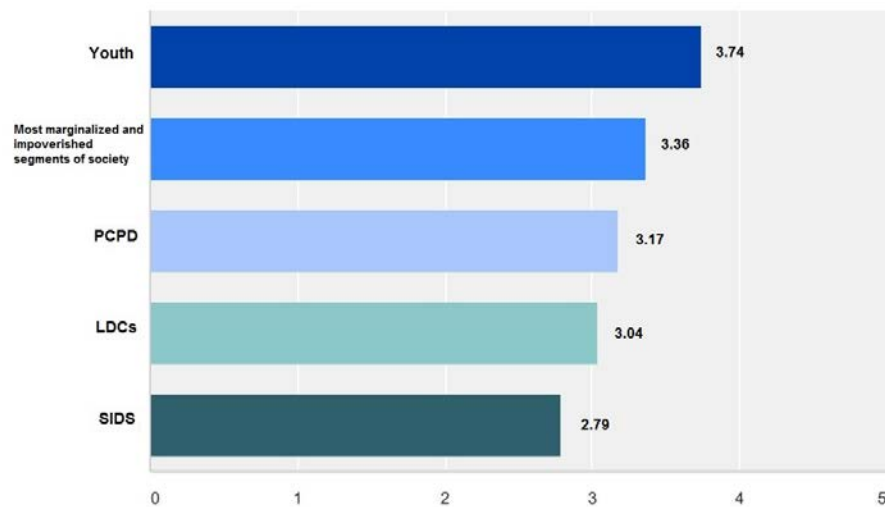
25. Fifty-four percent of the Member States who responded to the UNESCO Questionnaire on the Programme and Budget for the period 2018-2021 indicated that UNESCO's support in the implementation of SDG 5 was of high importance to their countries. UNESCO is urged to continue mainstreaming gender equality in all its programmes, and to strive for more gender-transformative initiatives.

26. UNESCO's programmes will therefore build on the results achieved in the previous quadrennium through its two-pronged approach of gender mainstreamed and gender-specific programmes and the Organization will continue to advance gender equality by providing support to Member States in its fields of competence in the implementation of SDG 5.

*(iii) Target groups*

27. The C/4 defined priority groups for special consideration in the programmes of the Organization. The large majority of Member States and Associate Members respondents (91%) agreed that UNESCO should continue giving the same emphasis to specific target population and country groups. On a scale of increasing priority respondents proposed the following ranking (1=lowest to 5=highest priority), as presented in Graph 1 below with an indication of the weighted average score calculated for each:

**Graph 1: Target groups**  
(based on Member States and Associate Members replies to UNESCO Questionnaire)



28. The majority of respondents (62%) across all regions agreed that **Youth** should be given the highest priority. The Operational Strategy on Youth (2014-2021) will remain the overall framework for action in this area. Each Sector has made efforts and provisions to address related issues and align its programmes with the objectives of the Operational Strategy on Youth. In the same manner, the focus on the **most marginalized** as well as on **PCPD and LDCs** will be essential to respect the 2030 Agenda and is reflected in these Preliminary Proposals. In the workplans, it is proposed to maintain strong emphasis on and to mainstream specific interventions for youth, LDCs, SIDS, and marginalized social groups, while continuing to give priority to Africa and gender equality in all the Organization's fields of competence

29. **Small island developing States (SIDS)** are of considerable importance across UNESCO's programmes, and strong support to them was given during the consultations on the 39 C/5 by many Member States, who recalled the importance of UNESCO's broad engagement with SIDS and of the overall framework of the SAMOA Pathway. The General Conference had also recalled the continued relevance of this priority target group. It is proposed to continue and deepen the efforts already engaged during the first quadrennium 2014-2017, aligning relevant programmes with cross-cutting strategies and action plans, in particular the SIDS Action Plan (2016-2021) and its Implementation Strategy.

*(iv) Delivering UNESCO's programmes in a more integrated and interdisciplinary manner*

30. In addition to enhancing the integration of its programmes within the United Nations (see above), UNESCO will also **enhance intersectorality and a multidisciplinary approach** in the work of its programme Sectors in order to achieve the Sustainable Development Goals (SDGs), and facilitate programme implementation in these areas. In their replies to the questionnaire on document 39 C/5, a majority of Member States and Associate Members have considered "Education for sustainable development" (81%), "Global citizenship education, including preventing violent extremism" (69%) and "Intercultural dialogue, peace-building and the fight against all forms of discrimination" (68%) as high priority areas in which UNESCO should further capitalize on its multidisciplinary expertise and enhance its intersectoral approach to support Member States in the implementation of the 2030 Agenda. "Climate change" (49%) and "Harnessing Digital and Information and Communication Technologies (ICTs) for promoting sustainable development" (44%) and "Emergency preparedness and response (including Disaster Risk Reduction)" (42%) have also been mentioned as areas of interest.

31. Intersectoral engagement in these areas will be reflected throughout document 39 C/5 (see below, sectoral parts), at varying degrees of engagement and with varying numbers of sectors

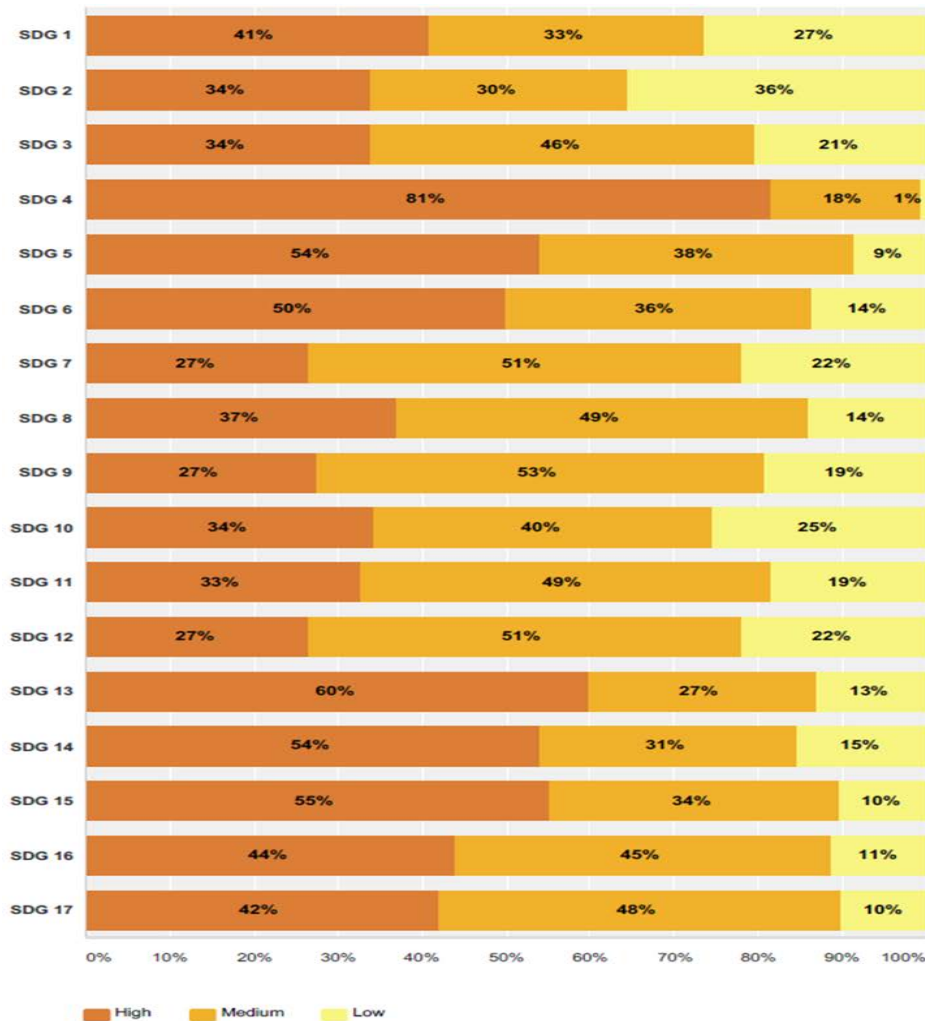
involved. Focus will be placed on developing as a priority (but not exclusively) innovative cooperative activities in the three areas mentioned above with a focus on country-level action where the value and relevance of intersectoral engagement is the highest. In these priority intersectoral areas, all concerned sectors have started to define common approaches and practical arrangements. In particular, a **maximum financial and staffing flexibility** will be applied at the country level to ensure the full mobilization of UNESCO's teams around common issues, and reflecting the fact that the priorities of Member States at the country level are often at the intersection of traditional sectors.

***Mapping UNESCO's contribution to the sustainable development goals (SDGs) for the 39 C/5***

32. In accordance with the 38th session of the General Conference debates and decisions and as expressed by Member States through the consultation process, **UNESCO is approaching the implementation of the 2030 Agenda in an integrated manner** across all its areas of competence (education, sciences, culture, communication and information), capitalizing on its multidisciplinary expertise and intersectoral mandate. This includes UNESCO's integrated approach to inclusive quality education for all; harnessing the potential of STI for sustainable development, including in response to climate change; advancing the empowerment of girls and women; supporting social inclusion and youth engagement; safeguarding cultural heritage and diversity; and upholding freedom of expression and expanding access to ICTs. The Organization is also actively working to preventing violent extremism, cultural cleansing, and the destruction of cultural goods, which impedes global efforts towards achievement of the SDGs. It is also taking an integrated approach across its modalities of work by more closely interlinking its normative and country-level operational work and is also supporting closer integration across the pillars of the United Nation's work, including the recent push for stronger humanitarian-development linkages, which is a unique opportunity to highlight the human dimensions of UNESCO work to prevent and respond to conflict by promoting the realization of key United Nations values of human rights, tolerance and respect for cultural diversity.

33. Recent discussions in the governing bodies of UNESCO have helped to clarify UNESCO's contribution to the 2030 Agenda. The General Conference at its 38th session examined and welcomed the initial mapping of UNESCO's contribution to the 2030 Agenda provided in document 38 C/7, and "[welcomed] the Director-General's efforts to focus the Organization's programme and resources on the implementation of the 2030 Agenda for Sustainable Development" (38 C/Res.7). It invited the Director-General to complete this mapping (38 C/Res.104). It also requested the Director-General in preparing draft document 39 C/5 to "[focus] on UNESCO's comparative advantages and added value". Furthermore, the Executive Board at its 197th session requested the Director-General "to report to it at its 200th session on the various functions, activities and roles envisaged by UNESCO as part of its participation in the progressive implementation of the 2030 Agenda for Sustainable Development within the framework of her preliminary proposals concerning document 39 C/5" (197 EX/Dec.7).

**Graph 2: UNESCO contribution to SDGs**  
(based on Member States and Associate Members' replies to UNESCO Questionnaire)



34. In addition to these debates in the governing bodies the Questionnaire sent to Member States and Associate members addressed the issue under “Question 1: With respect to your national needs and priorities, for which of the following SDGs would you require UNESCO’s support? Please indicate the level of priority by assigning High, Medium or Low to each Goal”.<sup>9</sup> Graph 2 summarizes the replies:

- Six SDGs were considered of “high priority” for over 50% of responding Member States, regardless of the regions: SDG 4 (education, 81%), SDG 13 (climate change, 60%), SDG 15 (ecosystems and biodiversity, 55%), SDG 5 (gender equality, 54%), SDG 14 (oceans, 54%), SDG 6 (water, 50%).
- Nine SDGs were considered of “high” or “medium” priority for 85% of responding Member States SDG 4 (education, 99%), SDG 5 (gender equality, 91%), SDG 6 (water, 86%), SDG 8 (growth and employment, 86%), SDG 13 (climate change, 87%), SDG 14 (ocean, 85%), SDG 15 (biodiversity, 89%), SDG 16 (peaceful societies, 89%), SDG 17 (means of implementation).

<sup>9</sup> N.B.: several Member States have warned that this question was ambiguous for them, as there can be a difference between the areas for which UNESCO’s assistance is needed for national needs, as opposed to international cooperation needs.

- In the “High+Medium” ranking, three SDGs appear: SDG 8 (growth and employment), SDG 16 (peaceful societies) and SDG 17 (means of implementation).

35. Building from this consultation, a review was carried out of SDGs for which UNESCO will play **significant roles**, focusing in particular on the following roles:

- Internationally recognized global leadership or shared leadership and coordination role for supporting the implementation and follow up and review of the goal and its related targets
- Recognized global monitoring and benchmarking role for the goal and its related targets
- Global advocacy role to sustain political commitment for the goal
- Leadership or co-leadership of global multi-stakeholder coalitions and/or interagency mechanisms
- Recognized normative mandate and provider of upstream policy support and capacity development to Member States

36. The detail of this review as of July 2016 is provided in Annex I (*“Sustainable Development Goals (SDGs) to which UNESCO will contribute significantly: indicative mapping of key roles as of July 2016”*), which provides the list of SDGs to which UNESCO will contribute significantly based on the above roles, performed at various levels. This global mapping shows that **UNESCO will play significant roles for nine SDGs:**

- SDG 4 (education),
- SDG 5 (gender equality),
- SDG 6 (water),
- SDG 9 (innovation, especially target 9.5 on scientific research), also related to the means of implementation in SDG 17 (Technology Facilitation Mechanism and Technology Bank for the LDCs),
- SDG 11 (cities, including target 11.4 on cultural and natural heritage, 11.5 and 11.b on disaster reduction, and 11.3 on inclusion),
- SDG 13 (climate change),
- SDG 14 (ocean),
- SDG 15 (biodiversity),
- SDG 16 (peaceful societies).

37. This initial list remains at this stage indicative and selective, and is based on the analysis as of July 2016. It is important to recall that the situation may still evolve, in particular as concerns the distribution of functions and roles in some areas where UNESCO’s support is required.

38. In addition to this exercise, a **new mapping exercise** was conducted with the different Sectors in the context of the preparation of the Preliminary proposals, building from the initial 38 C/7 mapping and from the findings of the Strategic Results Report, to determine the relevance of each proposed “thematic area” to the SDGs and SDG targets. This mapping exercise was carried out for each Major Programme. Thus, tables are provided under each Sector which provide fuller details concerning their respective contributions to the implementation of SDGs as well as to the SDG targets.

39. The table below summarizes the indicative mapping of UNESCO's contribution across all Major Programmes and the UNESCO Institute for Statistics (UIS) to the SDGs and to SDG targets (in the table below, the shaded boxes indicate that a given Sector is concerned by the implementation of the entire corresponding SDG; otherwise, the table indicates the relevant SDG targets):

### Indicative mapping of UNESCO's contribution to the implementation of the 2030 Agenda

	SDG 1	SDG 2	SDG 3	SDG 4	SDG 5	SDG 6	SDG 7	SDG 8	SDG 9	SDG 10	SDG 11	SDG 12	SDG 13	SDG 14	SDG 15	SDG 16	SDG 17
EDUCATION	1.1 to 1.5 1.a 1.b		3.3 3.7	(ALL except 4.b)	5.1 5.2 5.5 5.6 5.c			8.3 8.6 8.8	9.c	10.2 10.7	11.b	12.1 12.8	13.3			16.1 16.7 16.a	17.3 17.9 17.16 to 17.18
NATURAL SCIENCES	1.4 1.5	2.4 2.5 2.a	3.3 3.9	4.3 to 4.5 4.7 4.b 4.c	5.5 5.b 5.c	ALL	7.a 7.b	8.3 8.4 8.9	9.1 9.3 9.5 9.b		11.4 11.5 11.b	12.2 12.5 12.a 12.b	ALL		ALL		17.6 to 17.9 17.14 17.16 to 17.19
INTERGOVERNMENTAL OCEANOGRAPHIC COMMISSION														ALL			17.9 17.16 17.17
SOCIAL AND HUMAN SCIENCES			3.5 3.6	4.7	5.1 5.5 5.c					10.3 10.7	11.3		13.3 13.b			16.6 16.7	17.9 17.16 17.17
CULTURE		2.4 2.5	3.d	4.7	5.5 5.b 5.c	6.6		8.3 8.9		10.a	11.4 11.5 11.b	12.b	13.1 13.3	14.5 14.7	ALL	16.4 16.10 16.a	17.9 17.16 17.17
COMMUNICATION AND INFORMATION				4.1 4.7 4.b	5.b 5.c			8.6	9.c			12.8				16.7 16.a	17.8 17.9 17.16 17.17
UNESCO INSTITUTE FOR STATISTICS				(ALL except 4.b)	5.c				9.5		11.4	12.8	13.3				17.18 17.19

40. These mappings of UNESCO's contribution constitute a helpful guide and have **already served in the formulation of the Preliminary Proposals** for the different Major Programmes and the UIS. They will continue to guide the elaboration of programmes in the draft document 39 C/5, in order to ensure that they are in alignment with and respond to the new exigencies of the 2030 Agenda. Nevertheless, it is important to understand the significance and also limitations of such a mapping exercise, as it does not reflect indirect contributions, and may tend to underestimate the interlinkages between the SDGs and the value of integrated approaches. In particular, the fact that an area appears blank in the above table and in the sectoral tables does not mean that UNESCO's action is considered irrelevant. In fact, since the SDGs are interdependent and mutually reinforcing, it is expected that UNESCO's action in its one field of expertise will be yielding enabling results which would also have a bearing on some of the areas of the other SDGs: by way of example, activities in the area of education (SDG 4) contribute indirectly to the reduction of poverty (SDG 1) and inequalities (SDG 10), but also – as demonstrated in scientific studies – to better health and nutrition (SDGs 2 and 3), etc.

### Enhancing programme design and delivery

41. In order to ensure in the 2018-2021 period that UNESCO is well equipped to respond more effectively to the needs and requests of its Member States, in particular for support in the implementation of the 2030 Agenda, it will continue its commitment to the reform agenda set out in document 37 C/4 (Chapter VIII, "Leading for effectiveness and managing for results"), which reflects the recommendations of the 2010 Independent External Evaluation, and taking on board the lessons from the various audits and evaluations carried out since then. It will in particular focus on further developing its results culture; strengthening staff capacities in programme design and delivery; reviewing its administrative processes; upgrading its knowledge management and redesigning core information systems; enhancing its monitoring and evaluation and risk management mechanisms for greater efficiency, accountability and transparency.

42. In line with the guiding principles laid out in 38 C/Resolution 104, the Programme and Budget for 2018-2021 (39 C/5) will maintain the basic structure of document 38 C/5 with the necessary adjustments as follows:

- Sharpening the programmatic focus and concentrating resources on high priority areas through the identification of a limited number of main lines of action for each Major Programme, directly derived from the 37 C/4 Strategic Objectives;
- Further harnessing UNESCO's multi-disciplinary expertise and developing intersectoral programmes and strategies in priority areas such as addressing climate change; promoting intercultural dialogue among others;
- The systematic use of results-based programming, management, monitoring and reporting (RBM). Also, the results-based budgeting (RBB) process which was applied for the five Major Programmes in preparing the 38 C/5, will be applied across all units of the Organization including non-programmes sectors for the preparation of the Draft 39 C/5, to enable a bottom-up consultation based on expected results.

43. Document 39 C/5 will therefore be fully consistent with RBM and RBB principles. The main novelty in this regard will be the introduction, as recommended by the General Conference and in accordance with 199 EX/Decision 5.II.F, of **the Structured Financing Dialogue and the Integrated Budget presentation**, respecting the Executive Board's recommendation for a "step-by-step" approach. The integrated budget presentation is the subject of a separate document (200 EX/13 Part III), as are the preliminary budget estimates for 2018-2019 (200 EX/13 Part II).

44. Transparency will be essential for the governance and management of this new approach and presentation of UNESCO's programme and budget, especially for the purpose of successful implementation of the structured financing dialogue. In the 39 C/5 period, the **Transparency Portal** will be appropriately developed and enhanced to ensure that it can play its role in providing updated information about the key features of UNESCO's programmes, resources and implementation.

45. **Risk management** will be further developed in document 39 C/5, including through the introduction of risk registers and the systematic identification and review of mitigating approaches. In addition, it is recalled that **programme evaluation** will be enhanced during the coming period through the introduction of a 3% set aside of the activity budget for this purpose.

46. For the 2018-2021 period, the General Conference has requested the Director-General to consider the need for "formulating exit strategies and sunset clauses taking into account indicators tailored to each of the programmes".<sup>10</sup> This concern will be addressed in document 39 C/5, focusing on "sustainability", including "exit strategy" as a component. This was one of the five key criteria retained to develop the Strategic Results Report (SRR), which proposed the following approach to assessing "sustainability":<sup>11</sup>

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<sup>10</sup> It is proposed that, in UNESCO's context, the expression "exit strategies and sunset clauses" be replaced with the terms "**programme sustainability, including exit strategies**". The term "sunset clause" is commonly used in a parliamentary context. It is a statutory provision establishing that a particular law will expire on a particular date, unless it is reauthorized by the legislature, giving the legislature the chance to decide on its merits again after a fixed period. There is today no such "sunset clause" practice in the United Nations, or in intergovernmental institutions such as the OECD, and the United Nations Joint Inspection Unit has never issued recommendations on the subject. It is usually considered that the United Nations programmes are "sunsetting" by the fact that they are limited in time and that they expire at the end of their programme cycle, usually after two or four years. For UNESCO, the General Conference is the authority which formally "authorizes" the Director-General to implement UNESCO programmes, as explicitly stated in the General Conference Decisions.

<sup>11</sup> It is recalled that the adoption by the 38th session of the General Conference of a new reporting framework has significantly improved the accountability and transparency of programme implementation, and enhanced the evidence-base for strategic decision-making and programme priority-setting to the benefit of UNESCO's governing bodies. The first Strategic Results Report (document 199 EX/4 Part I (B)) provided detailed programme

“Sustainability, assessed in particular through:

- Financial factors: UNESCO’s financial capacity to maintain programme delivery and results; as well as Member States (beneficiaries) capacity to sustain the programme;
- Partner country ownership: Level of Member State ownership for, participation in, the programme;
- Exit strategy: Existence of a plan for sustainability/exit strategy with well-defined time limits and exit points.”

47. Since this “sustainability” criteria and its definition above was formally endorsed and adopted by the Executive Board as one of the five key criteria to be used in the programme review leading to the SRR (together with the four other criteria: relevance; capacity to deliver; comparative advantage/value-added, and demonstrable contribution and tangible results), it is proposed that in the course of the next biennium “Sustainability indicators” be defined and tailored to each of the Organization’s programme. This exercise will be of direct relevance to the preparation of the next Strategic Results Report (SRR) which will be published in the spring of 2020 and will cover 2016-2019.



<b>Annex: Sustainable Development Goals (SDGs) to which UNESCO will contribute significantly: indicative mapping of key roles as of July 2016</b>					
	<b>Internationally recognized global leadership or shared leadership and coordination role</b>	<b>Recognized global monitoring and benchmarking role</b>	<b>Global advocacy role to sustain political commitment</b>	<b>Leads or co-leads global multi-stakeholder coalitions and/or interagency mechanisms</b>	<b>Recognized normative mandate and provider of upstream policy support and capacity development to Member States</b>
<b>SDG 4 – quality education</b>	Incheon Declaration, (World Education Forum, 2015) confirmed UNESCO's mandated role to lead and coordinate the 2030 Education Agenda and to develop an appropriate global coordination mechanism;	Lead role in the development of thematic indicator framework for monitoring; Mandated role to monitor and review progress towards Education 2030 targets, including through the Global Education Monitoring (GEM) Report, as well as through the contribution of UIS to the SG's Progress Report.	Mandated global advocacy role to sustain commitment to SDG	Mandated role to lead and coordinate the 2030 Education Agenda through the multi-stakeholder SDG 4-Education 2030 Steering Committee, Global Education Meetings (GEMs), regional meetings and partnering with specialized NGOs, the civil society and the private sector	Provide normative support in 6 thematic education areas; capacity development and upstream policy advice on: (a) integrating the SDG 4 into Education policy and plans; (b) data collection and development of indicators for monitoring progress towards SDG 4 targets.
<b>SDG 5 (gender equality), targets 5.1, 5.5 and 5.c</b>	Leadership and coordination role in promoting gender equality in UNESCO's areas of expertise (education, science, etc.). A global priority for UNESCO.	Key monitoring role in education and science and systematic collection of sex-disaggregated data and analysis and sharing of good practices.	Global advocacy role in areas of expertise; celebration of International Women's Day; other major celebrations and initiatives (l'Oréal Prize, etc.).	Multi-stakeholder partnerships promoted with other UN entities and other partners.	In UNESCO's areas of expertise.
<b>SDG 6 (water), target 6.5</b>	Recognized role as lead of International Hydrological Programme (IHP) and World Water Assessment Programme (WWAP), and as a member of UN-Water.	Lead monitoring and benchmarking capacities through WWAP and its World Water Development Report (WWDR). Prepared with UNECE the monitoring methodology for target 6.5 and indicator 6.5.2 on transboundary water cooperation. Contributes to the SG's SDG Progress Report through UIS.	Global advocacy on SDG 6 promoted through World Water Day and through other dedicated events and initiatives.  National level activities of IHP chapters and UNESCO water-related centers and networks.	UNESCO Global Network for Water and Development Information for Arid Lands (G-WADI); UNESCO's International Droughts Initiative (IDI); interagency International Floods Initiative (IFI); UNESCO's membership of UN water.	Ensured through UNESCO's IHP which a) mobilizes international cooperation to improve knowledge and innovation to address water security challenges; (b) strengthens the science-policy interface to achieve water security at all levels; (c) develops institutional and human capacities for water security and sustainability.

**Annex: Sustainable Development Goals (SDGs) to which UNESCO will contribute significantly: indicative mapping of key roles as of July 2016**

	Internationally recognized global leadership or shared leadership and coordination role	Recognized global monitoring and benchmarking role	Global advocacy role to sustain political commitment	Leads or co-leads global multi-stakeholder coalitions and/or interagency mechanisms	Recognized normative mandate and provider of upstream policy support and capacity development to Member States
<p><b>SDG 9 (innovation), targets 9.5, 9.b and 9.c</b></p>		<p>Significant monitoring and benchmarking capacities for SDG 9 through the “UNESCO Science Report” and the Global Observatory of Science, Technology and Innovation Instruments (GOSPIN). Recognized role in the monitoring of target 9.5. UIS reports on STI related indicators 9.5.1 and 9.5.2 for the SG’s SDG Progress Report.</p>	<p>Global advocacy on the contribution of STI to the SDGs through dedicated events (i.e. World Science Forum, World Science Day).</p>	<p>Active member of the Technology Facilitation Mechanism interagency group, the Technology Bank for the LDCs, Secretariat of the UN Secretary-General’s Scientific Advisory Board (SDG 17)</p>	<p>Recognized role in supporting countries in harnessing STI to achieve the SDGs. Expertise in providing normative, operational and policy support to countries for the development of STI systems and related capacities and science-policy interface. Contributes also fostering scientific research and assisting in technology capacities through its Open Solutions Programme. Statistical capacity-building support on the development of indicators for monitoring progress towards target 9.5</p>
<p><b>SDG 11 (sustainable cities), targets 11.4, 11.3, 11.5, 11.b</b></p>	<p>Lead for target 11.4 (“Strengthen efforts to protect and safeguard the world’s cultural and natural heritage”) with the 1972 Convention the 1970 Convention.</p> <p>Significant role in disaster risk reduction and tsunami early warning systems (target 10.5 and 11.b).</p> <p>Significant role in fight against discrimination and racism (target 11.3).</p>	<p>Lead monitoring and benchmarking capacities for target 11.4 through World Heritage Committee thematic review, the Global Report on Culture for Sustainable Urban Development, periodic reports on culture conventions. Contributes to the SG’s SDG Progress Report through UIS.</p>	<p>Global advocacy promoted with its partners and networks, including cat. 2 centres and through global campaigns, such as the Unite4Heritage campaign and with young people.</p>	<p>Global networks: UNESCO Creative Cities network (116 cities), Global Network of Learning Cities (over 1,000 cities), International Coalition of Cities against Racism (about 500, with regional coalitions), World Heritage Cities programme. Close cooperation with UN Habitat leading to Habitat III and will continue thereafter within the monitoring and reporting mechanisms. Capacity building support to protect and</p>	<p>Significant normative and operational support in the fields of culture and development.</p> <p>Capacity building support for developing learning cities.</p> <p>Capacity building support for integrated urban water management and DRR.</p> <p>Policy advice for city authorities on rights, inclusion and citizenship.</p> <p>Statistical capacity-building</p>

Annex: Sustainable Development Goals (SDGs) to which UNESCO will contribute significantly: indicative mapping of key roles as of July 2016					
	Internationally recognized global leadership or shared leadership and coordination role	Recognized global monitoring and benchmarking role	Global advocacy role to sustain political commitment	Leads or co-leads global multi-stakeholder coalitions and/or interagency mechanisms	Recognized normative mandate and provider of upstream policy support and capacity development to Member States
				safeguard heritage and cultural diversity through the operationalization of the conventions.	support on the development of indicators for monitoring progress towards target 11.4.
<b>SDG 13 (climate change), targets 13.1-13.3 and 13.b</b>	Significant contribution, especially through: the Intergovernmental/ International Science Programmes (IOC, IHP, MAB); Education for Sustainable Development; ethics programme.	Contributes to the monitoring of SDG 13 through the reports of its governing bodies on its work in the area of climate change and through an Updated Strategy on climate change. Contributes to the SG's SDG Progress Report through UIS.	Global advocacy on climate change promoted through UNESCO's events at the COPs and other climate change related events and initiatives with its partners and networks	UNESCO contributes to the UN System Wide Approach for COP 22 and support for the implementation of the Paris Agreement and other commitments undertaken by the UNFCCC secretariat	Knowledge (co)production and dissemination; Provision of climate services [1]; Policy advice; Capacity-development programmes, in particular those carried out under the IHP and MAB programmes.
<b>SDG 14 (oceans)</b>	Recognized co-leadership for UNESCO's Intergovernmental Oceanographic Commission (UNESCO-IOC). SDG 14 specifically recognizes UNESCO-IOC's standard-setting role through the IOC Criteria and Guidelines on the Transfer of Marine Technology.	Custodian agency for several SDG 14 targets and will develop methodology and data flow mechanism to monitor these specific targets; Strong expertise for analysing the state of the ocean, building on operational programmes such as the Global Ocean Observation System, and monitoring of relevant SDG indicators, based on regional and global internationally comparable data from the Transboundary Waters Assessment Programme (TWAP) and the IOC Global Ocean Science Report (GOSR), building on a global	Global advocacy role through the World Oceans Day, and through other major initiatives including in the framework of the United Nations Conference to support the implementation of Sustainable Development Goal 14 to be held next year in Fiji.	Active engagement in relevant UN inter-agency coordination mechanism (i.e. UN-Oceans), SDG UN Task Forces, and ocean related processes (i.e. World Ocean Assessment, Preparatory Committee on the conservation and sustainable use of marine biological diversity of areas beyond national jurisdiction; UNFCCC); advisory role on Law of the Sea.	Recognized normative support to countries to establish, implement, monitor and report on implementation of the Ocean SDG 14 and its related targets.

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

**Annex: Sustainable Development Goals (SDGs) to which UNESCO will contribute significantly: indicative mapping of key roles as of July 2016**

	<b>Internationally recognized global leadership or shared leadership and coordination role</b>	<b>Recognized global monitoring and benchmarking role</b>	<b>Global advocacy role to sustain political commitment</b>	<b>Leads or co-leads global multi-stakeholder coalitions and/or interagency mechanisms</b>	<b>Recognized normative mandate and provider of upstream policy support and capacity development to Member States</b>
		network of national ocean data centers. Contributes to the SG's SDG Progress Report.			
<b>SDG 15 (biodiversity)</b>	Significant contributions of the Intergovernmental Man and the Biosphere Programme (MAB), World Heritage Convention and Sites.		In particular through its Biosphere Reserves	Founding member of the Intergovernmental Science-Policy Platform on Biodiversity and Ecosystem Services (IPBES)	Intergovernmental Man and the Biosphere Programme (MAB), and its network of Biosphere Reserves (669 sites in 120 countries); UNESCO natural world heritage sites (1972 Convention).
<b>SDG 16 (peace, justice, targets 16.10 (CI), 16.4 (CLT), 16.6 and 16.7 (SHS))</b>	Recognized shared leadership for SDG 16. Leadership role on 16.10 target on public access to information and protection of fundamental freedoms, with programmes on freedom of expression and media development, including contributions from IPDC and IFAP. Contributes to 16.4 through its work to prevent the illicit trafficking of cultural objects.  Contributions to 16.6 (Develop effective, accountable and transparent institutions at all levels) and 16.7 (participation and inclusion) across all areas of competence.	Lead role for the global reporting on 16.10 (public access to information and protection of fundamental freedoms) for SDG Progress Report.  Media Development Indicators framework and related assessments at the national level.  Lead role in preservation of documentary heritage (Memory of the World).  Recommendation concerning the Promotion and Use of Multilingualism and Universal Access to Cyberspace.  Contributes also to reporting on the Decade on the Rapprochement which contributes to SDG 16.  Coordination of Road Map for global implementation of UN Security Council Resolution 2199.	Global advocacy of freedom of expression and media development with World Press Freedom Day; World Radio Day; Global Media and Information Literacy Week; International Day for the Universal Access to Information.  Fight against illicit trafficking and for protection of cultural heritage through 1970 Convention communication and protection of cultural heritage initiatives (Campaign #Unite4 Heritage).	Leadership of the UN Plan of Action on the Safety of Journalists and Issue of Impunity, Chair of the United Nations Group on the Information Society (UNGIS) and the Broadband Digital Commission. Leadership of the International Decade the Rapprochement of Cultures (2013-2022) and its Action Plan. Mandated role for the "Strategy for reinforcing UNESCO's action for the protection of culture and the promotion of cultural pluralism in the event of armed conflict" and its Action Plan.  Recommendation on the Status of Artists.	Support to countries in the establishment of free and independent media.  Capacity building support to protect heritage, facilitate mediation, conciliation and return of cultural property.  Capacity support for enhancing effective, accountable and transparent institutions and policies that protect and promote cultural expressions and creative industries.  Support to countries in protecting artistic freedoms.

**SDG 17, means of implementation: see above under SDG 9**

## Major Programme I – Education

48. UNESCO spearheaded the formulation of the Education 2030 agenda encapsulated in **Sustainable Development Goal 4 (SDG 4)** – “Ensure inclusive and equitable quality education and promote lifelong learning opportunities for all”. The *Incheon Declaration* adopted at the World Education Forum (Republic of Korea, May 2015) **entrusted UNESCO to lead and coordinate Education 2030 through the *Education 2030 Framework for Action (FfA)***. This includes supporting Member States in implementing the agenda, leading global advocacy on SDG 4, reviewing and monitoring progress, facilitating south to south and triangular cooperation, and convening high level global and regional meetings to take forward the 2030 agenda. UNESCO’s leadership and coordination of the SDG 4-Education 2030 was reaffirmed in the adoption of the Sustainable Development Goals and SDG 4.

49. In recent consultations, Member States suggested that the programme priorities of Major Programme I (MPI) be closely aligned with SDG 4 and its targets and be guided by the Education 2030 Framework for Action. In their replies to the Questionnaire on the Programme and Budget for 2018-2021 (39 C/5), the majority of Member States assessed as high UNESCO’s relevance and comparative advantage in leading and coordinating the Education 2030, stressing also the important role of the UIS and the Global Education Monitoring (GEM) report in monitoring progress towards the targets of SDG 4. UNESCO’s holistic approach to education was appreciated and a large number of Member States assessed UNESCO’s work as highly relevant to their needs and priorities, mostly in the areas of technical and vocational education and training (TVET); Education for sustainable development; teachers; and information and communication technology (ICT) in education; and sector-wide policy and planning. UNESCO’s work in the area of health education, HIV and sexuality education was considered as of medium to low relevance by the majority of respondents (See Graph at the end of MP I section).

50. UNESCO’s education programme for 2018-2021 will build on the achievements realized and draw on lessons learned during the past quadrennium, with the aim to meet the needs of Member States and further deliver on its global commitments. The Programme will be carried out along two strands of work, structured around **two Main Lines of Action (MLA)** with a focus on: a) supporting the implementation of SDG 4–Education 2030 at country level; and b) leading the coordination and review/monitoring of SDG 4-Education 2030 at global and regional levels.

<b>Major Programme I – Education</b>			
<b>37 C/4 Strategic Objectives</b>	<b>SO1:</b> Supporting Member States to develop education systems to foster high quality and inclusive lifelong learning for all	<b>SO2:</b> Empowering learners to be creative and responsible global citizens	<b>SO3:</b> Leading and coordinating the Education 2030 agenda
<b>Proposed Main Lines of Actions</b>	<b>MLA 1:</b> Support Member States in the implementation of SDG 4-Education 2030		<b>MLA 2:</b> Lead SDG 4-Education 2030 coordination and review/monitoring
<b>Proposed Thematic areas</b>	<ol style="list-style-type: none"> <li>1. Access to equitable and quality ECCE, primary and secondary education (SDG targets 4.1 and 4.2)</li> <li>2. Equal access to affordable and quality TVET, including at tertiary level, for employment and entrepreneurship (SDG target 4.3, 4.4 and 8.6)</li> <li>3. Acquisition of foundational skills for youth and adults (SDG target 4.6)</li> <li>4. Provision of quality higher education (SDG target 4.3)</li> <li>5. Increased supply of and support to qualified teachers (SDG targets 4.c, 4.1 and 4.2)</li> <li>6. Acquiring values, knowledge &amp; skills needed to promote sustainable development (SDG targets 4.7, 3, 12.8 and 13.3)</li> <li>7. Eliminate gender disparity in education (SDG targets 4.5 and SDG 5)</li> <li>8. Ensuring access to quality education for persons in vulnerable situations, with particular attention to crisis-affected populations (SDG targets 4.5 and 4.a)</li> </ol>		<ol style="list-style-type: none"> <li>9. Lead SDG 4-Education 2030 (SDGs 4 and 17)</li> <li>10. Review and monitor the implementation of the SDG 4-Education 2030 (SDGs 4, 17)</li> </ol>

51. The proposed MP I is demand-driven and results-oriented, contributing directly to supporting Member States in reaching SDG 4 and other education-related SDG targets through **ten thematic areas**. The planning and monitoring of the 39 C/5 will be guided by the global and thematic indicators for SDG 4, currently being finalized. With its regular and extra-budgetary resources, UNESCO will focus its work in those areas where it has a clear comparative advantage and a unique role to play as a specialized agency, and where it has demonstrated significant contributions and results.

### **Supporting Member States in the implementation of the 2030 Agenda**

52. Support to the advancement of SDG 4-Education 2030 will be guided by the principles of equity, quality, inclusion and gender equality, applying a lifelong approach and promoting creativity and critical thinking. UNESCO will further emphasize its mission in promoting the right to education by reinforcing its normative role.

## Indicative mapping of the contribution of MP I thematic areas to the implementation of the 2030 Agenda

### MAJOR PROGRAMME I



	SDG 1	SDG 2	SDG 3	SDG 4	SDG 5	SDG 6	SDG 7	SDG 8	SDG 9	SDG 10	SDG 11	SDG 12	SDG 13	SDG 14	SDG 15	SDG 16	SDG 17	
Proposed Thematic Areas	1. Access to equitable and quality ECCE, primary and secondary education	1.1 to 1.4		4.1 4.2	5.c				9.c	10.2								
	2. Equal access to affordable and quality TVET, including at tertiary level, for employment and entrepreneurship			4.3 4.4	5.c 5.5			8.3 8.6		10.2								
	3. Acquisition of foundational skills for youth and adults			4.6	5.c													
	4. Provision of quality higher education			4.3	5.c 5.5													
	5. Increased supply of and support to qualified teachers			4.c 4.1 to 4.7	5.c			8.8										
	6. Acquiring values, knowledge & skills needed to promote sustainable development	1.5	3.3 3.7	4.7	5.2 5.6					11.b	12.1 12.8	13.3					16.1 16.7 16.a	
	7. Eliminate gender disparity in education	1.3 1.4		4.5	5.1 5.c				10.2								16.1	
	8. Ensuring access to quality education for persons in vulnerable situations, with particular attention to crisis-affected populations	1.3 1.4		4.5 4.a	5.c				10.2 10.7									
	9. Lead SDG 4-Education 2030	1.b	3.7					8.6			12.8	13.3						17.3 17.9 17.16 17.17
	10. Review and monitor the implementation of the SDG 4-Education 2030	1.a									12.8	13.3						17.3 17.9 17.16 to 17.18

53. Recognizing that all 17 SDGs are interrelated and that education underpins all SDGs, the work proposed under MP I in the quadrennium will also contribute to the achievement of other SDGs, more particularly those related to: Ending poverty (SDG 1); Health and well-being (SDG 3); Gender equality (SDG 5); Decent work (SDG 8); Responsible consumption and production (SDG 12); Climate change mitigation (SDG 13); and Partnerships (SDG 17).

### Global Priorities

54. In accordance with 38 C/Resolution 104, MP I will continue advancing UNESCO's global priorities, **Africa and Gender Equality**.

55. Regarding the **Global Priority Africa**, MP I recognizes the progress reached up to 2015 within the region, yet education development is still faced with multiple challenges. MP I will thus ensure targeted support to countries most in need, and the successful adaptation and implementation of SDG 4-Education 2030 across the region. Increased attention will be provided through sustained budgetary allocation and programmatic action. In addition, the Education Sector will ensure alignment with the African Union Agenda 2063 "The Africa We Want", especially as regards Goals 2 (Education), 17 (Gender Equality) and 18 (Youth and Children).

56. While notable progress in gender parity in primary and secondary education has been achieved over the past 15 years, barriers to achieving **gender equality** in education persist. Eliminating gender disparities in education continues therefore to be a global concern and has been agreed upon by the global community as a full-fledged target to reach by 2030 under SDG 4. Gender equality continues to be one of the key principles guiding UNESCO's work in education. MP I will mainstream gender in all its work, in and through education, so as to ensure that all learners, especially girls and women, have access to and complete a full course of quality education. To mark the high priority given to it, gender equality in education will be addressed as a separate thematic area for MP I, which will also help enhancing and tracking the Sector's programmatic action towards the achievement of SDG target 4.5 and SDG 5.

### Intersectoral cooperation

57. UNESCO will consolidate and harness its comparative advantage by working inter-sectorally, particularly through its field offices. In close cooperation with the Natural Sciences Sector, the Education Sector will contribute to the Organization's efforts to mitigate climate change through its Global Action Programme (GAP) on Education for Sustainable Development (ESD). Furthermore,

Major Programme I will mainly contribute to promoting gender equity and equality in the area of science, technology, engineering and mathematics (STEM) education, especially at the secondary education level. To promote global citizenship and prevent violent extremism, Major Programme I will contribute in developing education policies, curricula and teacher guides, in close cooperation with the Social and Human Sciences, Communication and Information, and Culture Sectors. The Education Sector will cooperate closely with the Communication and Information Sector in the areas regarding Information and Communication Technologies-Competency Framework for Teachers (ICT-CFT) and Open Educational Resources. Furthermore, in view of promoting creative industries, the Education Sector will work closely with the Culture Sector to develop technical and vocational skills for decent jobs and entrepreneurship.

### Proposed key programmatic adjustments (compared with 38 C/5)

58. The programmatic adjustments proposed herein seek to ensure the programme's full alignment with SDG 4-Education 2030 and to respond to emerging challenges, while keeping with the Sector's core functions. These proposals are in accordance with the results of the consultations with Member States on the 39 C/5, as well as the analysis provided in the Strategic Results Report (199 EX/4 Part I (B)).

59. In recognition of the urgency to respond to the complex education needs of vulnerable persons, with particular attention to **crisis-affected populations**, separate thematic focus will be placed on education in emergencies, ensuring UNESCO's ongoing response in crisis situations and its support for prevention and mitigation of the impact of crises in and through education. This will be a direct contribution to the advancement of SDG targets 4.5 and 4.a and will account for UNESCO's efforts and resources in this area of work.

60. UNESCO's work on **learning** (under expected result 6 in 37 and 38 C/5) will be re-oriented to better capture and build upon the Organization's past and ongoing efforts in improving the quality of learning, including through the work of its category 1 institutes. Focus will be placed on curricula, teaching, and learning assessments and will be part of UNESCO's contribution to a number of SDG 4 targets that are centered around skills acquisition and learning outcomes.

61. Regarding the area of **health and education** (under expected result 10 in 37 and 38 C/5), it is proposed to integrate this programme in the work planned under SDG target 4.7 (knowledge and skills for sustainable development), in order to better align the programme and devote resources to the advancement of SDG 4-Education 2030.

### Programme delivery

62. In the implementation of its education programme, the UNESCO family – Headquarters; field offices; category 1 institutes; networks and partners, including UNESCO Chairs, UNITWIN, category 2 centres, ASPnet will work together in a coordinated manner. The Education Sector will maintain its decentralized structure in the coming quadrennial and will continue to reinforce country-level support through an integrated budget consisting of regular and extrabudgetary resources. To effectively deliver at global, regional and national level, the Education Sector will build strategic alliances within the United Nations system and will leverage its partnerships with civil society organizations and the private sector.

### Proposed Main lines of Action

#### Main Line of Action 1: Support Member States in the implementation of SDG 4–Education 2030

63. The first MLA focuses on UNESCO's work in eight thematic areas to support Member States, with particular emphasis on capacity development in reaching the seven targets and two implementation modalities of SDG 4 and the five other SDG Goals. The Education Sector, including its seven category 1 institutes, will adopt a systemic and holistic approach in supporting



the advancement of SDG 4 targets. Each thematic area under MLA 1 will be contextualized to be responsive to the distinct regional needs and national realities.

### **Thematic Area 1: Ensure access to equitable and quality Early Childhood Care and Education, Primary and Secondary education (SDG targets 4.1 and 4.2)**

64. Through a systemic and holistic approach, UNESCO will support the achievement of targets relating to the basic education system, including SDG target 4.2 on early childhood care and education (ECCE) and SDG target 4.1 on primary and secondary education, by developing the capacities of Member States in areas related to sector-wide policy and planning, curriculum, teaching, learning outcomes and the integration of ICT in education.

65. **Sector-wide policy and planning (SWPP):** UNESCO will maintain its comparative advantage in programme delivery and support Member States to develop their education systems in an integrated manner through sector-wide policy and planning. SWPP is noted as a major contribution towards SDG targets 4.1 and 4.2, while it supports a system-wide integrated approach in a lifelong learning perspective.

66. UNESCO will conduct sector analysis and policy reviews, and promote evidence-based approaches to policy and planning, including gender equality policies, in order to develop and strengthen national capacities in the design, implementation, monitoring and evaluation of education policies, strategies and plans. The aim is to enable Member States to design and implement their national education policies and plans to reach SDG targets 4.1 (primary and secondary education) and 4.2 (ECCE). Support will be provided to better align Education Management Information Systems (EMIS) with national education priorities and resources; as well as to strengthen capacities of Member States to review their legal frameworks to enforce the right to quality and inclusive education, in line with UNESCO's normative instruments and other United Nations human rights treaties.

67. **Curricula, teaching and learning assessments** are particularly important to achieve quality basic education. Countries will receive support to design curricula that effectively guide teaching, student learning, and assessment. National capacities will be strengthened through technical assistance and skills transfer to leaders of curricula processes. The focus on effective and relevant learning outcomes in the whole range of SDG 4 inevitably places renewed attention on learning assessments. UNESCO will continue to make contributions to the assessment of learning in various domains and for different age groups, through policy advice, capacity-building and knowledge sharing.

68. UNESCO will provide policy support and tools to strengthen country capacities in developing **ICT in education** policies, and in formulating strategies to mainstreaming ICT innovations. UNESCO's support for lifelong learning will involve promoting standards and facilitating the dissemination of good practices, including effective e-school models. New initiatives will be taken to further promote Open Education Resources (OERs), involving international cooperation, policy support and capacity development.

### **Thematic Area 2: Equal access to affordable and quality TVET, including at tertiary level, for employment and entrepreneurship (SDG targets 4.3, 4.4 and 8.6)**

69. UNESCO will implement its Strategy for Technical and Vocational Education and Training (TVET), underpinned by the Recommendation on TVET (2015), to support the efforts of Member States to enhance the relevance of their TVET systems and equip all youth and adults with the skills required for employment, decent work, entrepreneurship and lifelong learning.

70. **Fostering youth employment and entrepreneurship:** UNESCO will support TVET policy reviews/development and capacity building initiatives of national decision-makers and institutions, including teacher training institutions. UNESCO will also facilitate peer learning and knowledge sharing in support of regional TVET agendas, and will encourage and support multilateral initiatives that promote TVET worldwide.

71. Member States will be supported to define appropriate policy measures to **promote equity and gender equality** in and through TVET. Work with concerned Member States will be undertaken to improve skills development for disadvantaged groups, including young people who are not engaged in any form of employment, education or training in urban and rural areas. UNESCO will seek to fill knowledge gaps on the issue of gender equality in various economic and cultural contexts, promoting policy learning and providing policy support and capacity building services.

72. UNESCO will support Member States in establishing **national skills development policies with specific emphasis on green skills** and coalitions connecting public authorities, business, education, training and labour market stakeholders, and in leveraging digital technologies.

### Thematic Area 3: Acquisition of foundational skills for youth and adults (SDG target 4.6)

73. UNESCO will continue to provide evidence-based policy advice on literacy and strengthen national capacities for **policy development**, integrating **literacy, numeracy and other foundational skills** through a multisector, multilingual, contextualized, learner-centred, gender-responsive, lifelong learning approach. It will further enhance national capacities for the design, management, monitoring and evaluation of high quality, inclusive programmes and support Member States to put in place effective learning pathways for youth and adults to improve their literacy, numeracy and digital skills, leading to a qualification, including based on the recognition of prior learning. UNESCO will promote the innovative use of ICTs and support the creation of OERs and open online courses for instructors and for learners with little or no literacy skills.

74. UNESCO will continue to play its coordinating and catalysing role to advance the global literacy agenda by **advocating** focused attention and action on literacy and other foundational skills, including through global, regional and national multi-stakeholder alliances.

75. UNESCO will support Member States in **developing adult learning** to improve adult participation in learning, including at the workplace, by identifying potential barriers and making policy recommendations connecting adult learning and education with other sustainable development goals. It will do so through the implementation of the Recommendation on Adult Learning and Education (2015) and the Belem Framework for Action (2009).

### Thematic Area 4: Provision of quality higher education (SDG target 4.3)

76. UNESCO will continue to strengthen higher education systems and help empower their respective institutions to realize lifelong learning opportunities for all, through a diversity of innovative study programmes and delivery modalities. UNESCO will promote the effective and appropriate use of ICTs, including OERs and Massive Open Online Course (MOOCs) to widen access to higher and lifelong learning opportunities, including increasing the number of distance and part-time higher learning courses, further embedding blended learning approaches into traditional programs for all types of learners.

77. **UNESCO's six regional Conventions** on the Recognition of Higher Education Qualifications will continue to be a driving catalyst for the internationalization of higher learning, academic research and teacher exchange. The implementation of the Conventions is a means to strengthen Member States' accreditation systems and improve the quality of tertiary education (universities), while promoting equitable access to higher education. The envisaged Global Convention on the Recognition of Qualifications will reinforce the implementation of the regional conventions and cement the importance of recognition for mobility for socio-economic development, university-to-university cooperation and trust building.

### Thematic Area 5: Increased supply of and support to qualified teachers (SDG targets 4.c, 4.1 and 4.2)

78. UNESCO will support Member States in translating the SDG 4-Education 2030 teacher-related means of implementation (4.c) into national policies and plans. This will include mobilizing

global, regional and national partnerships to achieve the teacher target. This work will also particularly contribute to the achievement of SDG 4.1 (primary and secondary education) and 4.2 (ECCE).

79. UNESCO will strengthen **provisions for teachers in sector plans** by promoting a clear understanding of the multiple and interconnected dimensions of teacher issues among education stakeholders at global, regional and national levels through information sharing and policy advice. Technical backstopping will be provided to implement comprehensive evidence-based teacher plans and policies as well as harmonized professional development programmes. The use of ICTs will be promoted as a means of delivering teacher training and providing an enabling environment for the teaching process.

80. Acting as a clearing house, UNESCO will **produce and disseminate knowledge** in response to Member States requests for support in the development and dissemination of pedagogical tools and guidelines as well as global thematic reports documenting progress on the implementation of target 4.c relating to teachers.

81. In addition, support will be provided to **improve teacher status and professional development**, by facilitating the development of context-sensitive standard-setting instruments, including the UNESCO ICT Competency Framework for Teachers, and promoting the effective application of the ILO/UNESCO Recommendation on the Teaching Profession (1966).

#### **Thematic Area 6: Acquiring values, knowledge and skills needed to promote sustainable development (SDG targets 4.a, 4.7, 3, 12.8 and 13.3)**

82. UNESCO will support Member States in their efforts to provide learners, throughout life, with the values, knowledge, skills, attitudes and behaviours, in particular critical thinking and creativity, needed to lead healthy lives, promote sustainable development and engage with the world as responsible global citizens.

83. UNESCO will continue to lead the global **Education for Sustainable Development (ESD)** agenda and coordinate the implementation of the Global Action Programme (GAP). UNESCO's work to promote **Global Citizenship Education (GCED)**, including peace and human rights education, will sustain a global momentum in support of GCED and promote strategic analytics on global progress. Particular attention will be given to the prevention of violent extremism through education (PVE-E). Education about the history of genocides will be part of this work.

84. UNESCO will promote **education for better health and well-being**. A key area of focus will be supporting Member States to deliver comprehensive sexuality education, including HIV prevention, that addresses gender inequality; and supporting learners' access to safe, inclusive and health-promoting learning environments free from violence, discrimination and bullying.

#### **Thematic Area 7: Eliminate gender disparities in education (SDG target 4.5 and SDG 5)**

85. Gender equality requires a rights-based approach to ensure that girls and boys, women and men have equal opportunities to access and complete quality education, and that they are empowered equally. In and through education, UNESCO will promote the right for all learners, especially females, to have access to and complete a full course of quality education. UNESCO will support Member States to develop and implement targeted interventions to scale up equitable access to lifelong learning opportunities, through formal and non-formal education, literacy and alternative modes of delivery. Specific attention will be placed on literacy and secondary education, including STEM education for girls. UNESCO will also facilitate policy dialogue and expand the knowledge-base on policies and practices for mainstreaming gender in education. It will strengthen its Global Partnership for Girls' and Women's Education and establish new partnerships as well.

#### **Thematic Area 8: Ensuring access to quality education for persons in vulnerable situations, with particular attention to crisis-affected populations (SDG targets 4.5 and 4.a)**

86. Marginalized populations, including people with disabilities, face major discrimination in accessing and completing basic education. As countries seek to strengthen their national education systems, UNESCO will facilitate policy dialogue and expand the knowledge base on policies and practices of inclusion in education.

87. Recognizing the urgent need to prevent and mitigate the impact of conflicts, UNESCO will enhance its response capacity in favour of crisis-affected populations in situations of emergency and protracted crisis, including refugees. UNESCO will focus on bridging the humanitarian-development divide. It will undertake thorough situational analyses and needs assessments to identify gaps and articulate context specific response programmes. UNESCO will support an integrated and coherent approach to education in emergencies and protracted crises that contributes to laying the foundation for inclusive equitable quality education and lifelong learning for all. This approach will address the key dimensions of quality teaching and learning, psychosocial support, non-formal learning opportunities, safety and security and community engagement.

### **Main Line of Action 2: Lead SDG 4 – Education 2030 coordination and review/monitoring**

88. The second MLA concerns UNESCO's work in fulfilling its mandate to "lead and coordinate the Education 2030 agenda", entrusted to it by the Member States as stipulated in the *Incheon Declaration* and the Framework for Action (FfA). Work across the two proposed thematic areas will contribute to the overall attainment of SDG 4 and SDG 17.

#### **Thematic Area 9: Lead SDG 4-Education 2030 (SDGs 4 and 17)**

89. The strategy for leading the global 2030 Agenda is based on ensuring a strong **global multi-stakeholder coordination mechanism** that provides guidance for communication and advocacy, sector coordination, implementation and monitoring at the country level. The Education 2030 Steering Committee is the key global structure for coordinating support to global education efforts within the wider 2030 Agenda architecture. The Steering Committee will conduct a periodic review of the progress, identify gaps and provide strategic direction. It will also convene global education meetings every three to four years.

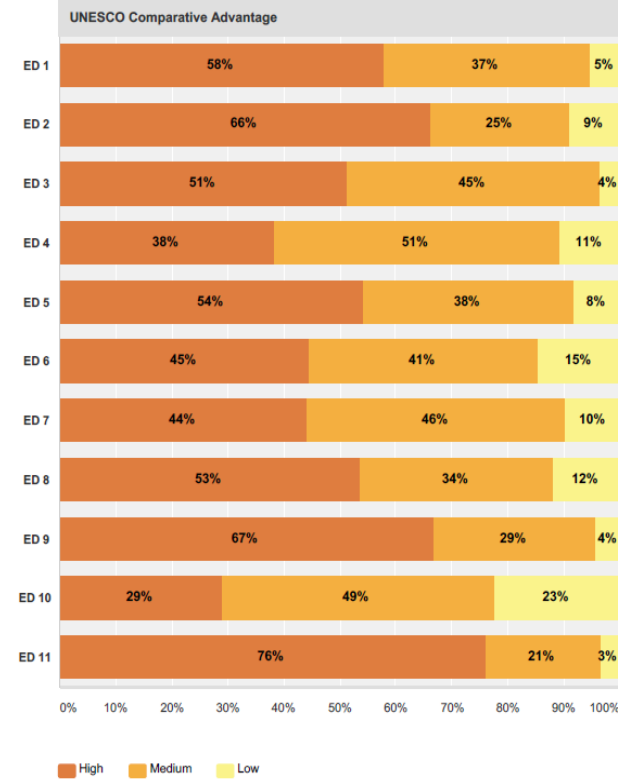
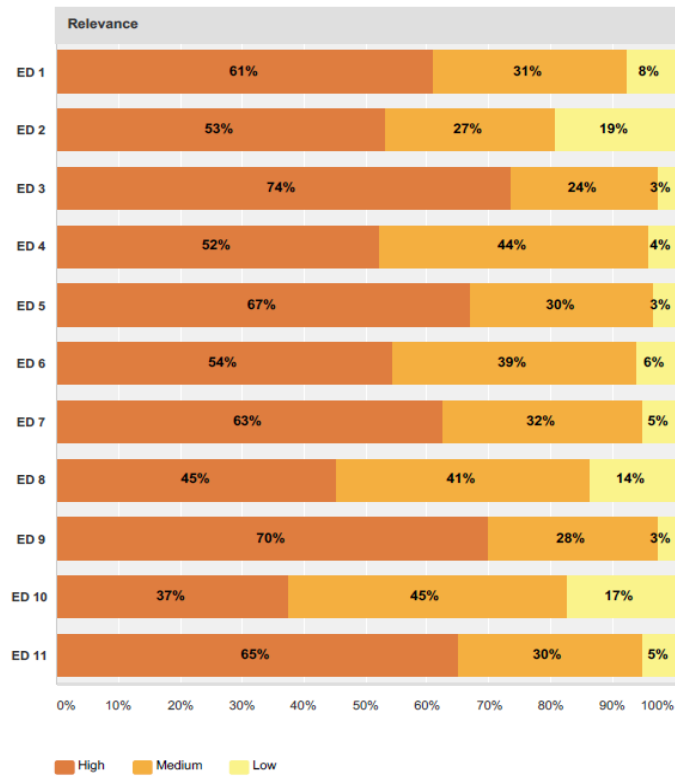
90. UNESCO will ensure effective articulation between the global and national levels in the implementation of the Education 2030 agenda through **regional partnership mechanisms**. UNESCO will lead the (sub)regional partners' groups in order to provide strategic guidance for the coordinated implementation, monitoring and reporting of Education 2030.

#### **Thematic Area 10: Review and monitor the implementation of SDG 4-Education 2030 (SDGs 4 and 17)**

91. The *Global Education Monitoring Report (GEM)* is an editorially independent, authoritative and evidence-based annual report published by UNESCO. Its mandate is to monitor progress towards the implementation SDG 4. The GEM will analyse global education trends and advocate for effective education policies and practice. It will continue to influence national, regional and international policy-makers in education and finance as well as planners, policy analysts, aid agencies, foundations, United Nations organizations, NGOs, teachers, experts, researchers, the media and students.

92. The Framework for Action highlights that research and innovation have an important contribution to make to education development and policy dialogue. UNESCO, with its partners, will develop policy-relevant research and foresight to inform policy-making and facilitate the achievement of education-related goals and targets, particularly through the analysis of future trends and thinking and the dissemination of knowledge on education.

**GRAPH MP I:  
ASSESSMENT OF THE 38 C/5 EDUCATION THEMATIC AREAS ACCORDING TO RELEVANCE AND COMPARATIVE ADVANTAGE  
(based on Member States replies to the 39 C/5 questionnaire)**



- ED 1 Sector-wide policy and planning
- ED 2 Literacy
- ED 3 Technical and vocational education and training (TVET)
- ED 4 Higher education
- ED 5 Teachers
- ED 6 Promotion, monitoring and evaluation of learning outcomes
- ED 7 Information and Communication Technology (ICT) in education
- ED 8 Global citizenship education
- ED 9 Education for Sustainable Development
- ED 10 Health education, HIV and sexuality education
- ED 11 Global, regional and national coordination of education.

## Major Programme II – Natural Sciences<sup>12</sup>

93. During the second quadrennium of the Medium-Term Strategy (2014-2021), the Natural Sciences Sector (SC) will continue to support UNESCO's two Overarching Objectives, Peace and Sustainable Development. SC will lead Strategic Objective 4 (SO 4): Strengthening science technology and innovation systems and policies – nationally, regionally and globally, and Strategic Objective 5 (SO 5): Promoting international scientific cooperation on critical challenges to sustainable development.

94. Special emphasis will continue to be placed on the UNESCO global priorities Africa and gender equality as well as the priority target group of small island developing States (SIDS), but also least developed countries (LDCs), youth, indigenous peoples and most vulnerable communities.

95. Within this context, programmes will be designed as delivery platforms for the implementation of the 2030 Agenda and its Sustainable Development Goals (SDGs).

96. From the analysis of replies to the Questionnaire on the draft document 39 C/5 (See Graph at the end of MP II section), it appears that there is a good match between the relevance and UNESCO's comparative advantage in thematic areas of the Natural sciences. Member States assessed as high the relevance and comparative advantage of UNESCO in the areas of biosphere reserves, as well as STI policies. To a slightly lower degree, UNESCO has a significant comparative advantage and its work is relevant to countries' needs and priorities in the areas of capacity building, disaster risk reduction (DRR) and water security. Geosciences seem to be rated less relevant but still with a significant comparative advantage.

97. Taking into account feedback from Member States, lessons learned from the current and past programmes through audits and evaluations, the resource environment, the recognized relevance and comparative advantage of UNESCO's international and intergovernmental science programmes IHP, MAB, IGGP and IBSP, both within the United Nations and beyond, opportunities to capitalize on intersectoral cooperation and its extensive networks and partners, Major Programme II will organize its activities around two Main Lines of Action (MLAs) and six related thematic areas:

Major Programme II – Natural Sciences		
<b>37 C/4 Strategic Objectives</b>	<b>Strategic Objective 4</b> Strengthening science technology and innovation systems and policies – nationally, regionally and globally	<b>Strategic Objective 5</b> Promoting international scientific cooperation on critical challenges to sustainable development
<b>Proposed Main Lines of Action</b>	<b>MLA 1</b> <b>Harnessing STI and knowledge for sustainable development</b>	<b>MLA 2</b> <b>Advancing science for sustainable management of natural resources, disaster risk reduction and climate change action through IHP, MAB and IGGP.</b>
<b>Proposed Thematic Areas</b>	<p><b>1. Developing inclusive STI systems</b> Strengthen the policy framework to develop and maintain inclusive STI systems <b>Direct impact: SDG targets 9.5, 9.b, 17.6, 17.7, 17.8, 17.14, 17.16 and 17.17</b> Additional impact: SDG target 5.c</p> <p><b>2. Monitoring STI systems</b> Strengthen the capacities of Member States to monitor and to critically assess different knowledge systems and STI for</p>	<p><b>4. Strengthening scientific cooperation for sustainable development: the role of freshwater, biodiversity and the geosciences</b> Strengthen cooperation of IHP, MAB, IGGP with scientific institutions and networks for sustainable management and use of natural resources, biodiversity and particularly for freshwater security, related capacity development and monitoring activities, with a special focus on SDG 6 (water) and SDG 15 (biodiversity)</p>

<sup>12</sup> The Intergovernmental Oceanographic Commission (IOC) is presented in a separate Section see page 40.

	<p>development</p> <p><b>Direct impact: SDG targets 17.18, 17.19</b></p> <p><b>3. Increasing capacity</b></p> <p>Increase institutional and human capacity to produce, disseminate and apply knowledge, with special attention on youth, women and local and indigenous communities and on the use of ICTs.</p> <p><b>Direct impact: SDG targets 9.5, 9.b, 17.9</b></p> <p>Additional impact: SDG targets 4.3, 4.4, 4.5, 4.b, 4.c, 5.5, 5.b, 7.a, 12.a</p>	<p><b>Direct impact: SDGs 6, 13, 15 -all targets</b></p> <p>Additional impact: SDG targets 2.4, 2.a, 3.3, 7.a, 12.2</p> <p><b>5. Increasing resilience</b></p> <p>Increase resilience to climate change and natural disasters, with special attention to vulnerable groups including SIDS, indigenous peoples and local communities through IHP, MAB, and IGGP.</p> <p><b>Direct impact: SDG targets 6.5, 9.1, 11.4, 11.5, 11.b, 13.1, 13.3, 13.b, 15.3</b></p> <p>Additional impact: SDG targets 1.5, 3.9</p> <p><b>6. Sites for sustainable development</b></p> <p>Develop MAB biosphere reserves and IGGP Geoparks as learning sites for inclusive and comprehensive approaches to sustainable development, equal access to and benefit sharing from natural resources</p> <p><b>Direct impact: SDG targets 6.6, 6.b, 9.3, 9.5, 11.b, 13.3, 15.1-5, 15.9</b></p> <p>Additional impact: SDG targets 1.4, 2.5, 4.7, 5.5, 7.b, 8.3, 8.4, 8.9, 12.2, 12.5, 12.b</p>
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### Supporting Member States in the implementation of the 2030 Agenda

98. Although there is ample empirical evidence to demonstrate that ethically managed science, technology and innovation (STI) are pivotal for development, it is in the 2030 Agenda that for the first time STI are explicitly, and universally, recognized by the global community as key drivers for sustainable development. This is true for all the SDGs in a cross-cutting fashion, and will be the focus of MLA 1 under SO 4, which contributes to the entire suite of SDGs with a focus on SDGs 4, 5, 9 and 17. UNESCO will support Member States in creating the enabling environment for comprehensive STI systems, policies and institutional and human capacity development in STI and engineering.

99. At the same time STI will have to address specific challenges such as the impact of climate change and natural hazards, the management of limited freshwater resources, loss of biodiversity and ecosystem services, the overexploitation of mineral resources, sustainable economic development, entrepreneurship and employment. The specific application of STI for SDGs 6, 11, 13 and 15 will be the focus of MLA 2 under Strategic Objective 5. The comprehensive portfolio of IHP, MAB and IGGP in the fields of freshwater, the ecological and Earth Sciences, as well as science for DRR and climate change action, coupled with the unique global networks of sites dedicated to sustainable development (Biosphere Reserves and UNESCO Global Geoparks), gives UNESCO a comparative advantage and relevance in these areas.

100. The 2030 Agenda is closely interlinked with other agendas, including the 2011 Aichi Biodiversity Targets of the Convention on Biological Diversity, the SAMOA. Pathway for SIDS, the Istanbul Plan of Action for LDCs, the Sendai Framework for Disaster Risk Reduction, and the United Nations Framework Convention on Climate Change (UNFCCC) Paris Agreement. All these agendas call for strong STI systems and evidence-based policy development and programme implementation. The SC programmes and activities are well aligned with the SDGs related to education (SDG 4); gender equality (SDG 5); water (SDG 6, IHP); innovation (SDG 9); cities (SDG 11), climate change (SDG 13); biodiversity and terrestrial ecosystems (SDG 15, MAB); and with the means of implementation through STI (SDG 17). They also duly reflect the interconnectedness of all SDGs both within the 2030 Agenda and with the above mentioned development agendas.

## Indicative mapping of the contribution of MP II thematic areas to the implementation of the 2030 Agenda

### MAJOR PROGRAMME II



	SDG 1	SDG 2	SDG 3	SDG 4	SDG 5	SDG 6	SDG 7	SDG 8	SDG 9	SDG 10	SDG 11	SDG 12	SDG 13	SDG 14	SDG 15	SDG 16	SDG 17
<b>Proposed Thematic Areas</b>	1. Developing inclusive STI systems				5.c				9.5 9.b								17.6 to 17.8 17.14 17.16 17.17
	2. Monitoring STI systems																17.18 17.19
	3. Increasing capacity			4.3 to 4.5 4.b 4.c	5.5 5.b		7.a		9.5 9.b			12.a					17.9
	4. Strengthen scientific Cooperation		2.4 2.a	3.3		All	7.a					12.2	All		All		
	5. Increasing Resilience	1.5		3.9		6.5			9.1		11.4 11.5 11.b		13.1 13.3 13.b		15.3		
	6. Sites for sustainable development	1.4	2.5		4.7	5.5	6.6 6.b	7.b	8.3 8.4 8.9	9.3 9.5		11.b	12.2 12.5 12.b	13.3			15.1 to 15.5 15.9

### Global Priority Africa

101. SC will continue to focus its efforts to implement UNESCO's Operational Strategy for Priority Africa. Particular attention is given to supporting the African Union Agenda 2063 and its Ten-Year Implementation Plan (2013-2023), in relation to the Agenda Goal 2 under MLA 1, and Goal 7 under MLA 2.<sup>13</sup>

102. The Sector will aim to support African countries in their policy and institutional frameworks for knowledge production and STI systems, in particular through the GO-SPIN programme and targeted capacity development activities, with a focus on women, youth, sustainable job creation and increasing use of ICTs. Towards this aim, TWAS will focus on joint activities with ICTP, category 2 centres, UNESCO Chairs, and on the mobilization of local and indigenous knowledge for sustainable development in the face of global change.

103. The Sector will aim to strengthen Africa's scientific institutions and networks such as those of MAB, IHP and IGGP for the sustainable management of natural resources for poverty eradication, and will have to count on active national MAB and IHP committees. SC will make the best use of the current setting of the field reform in Africa by strengthening collaboration with the Regional Economic Communities and by participation in relevant United Nations thematic groups (i.e. Regional Coordination Mechanisms) to identify strategic projects and programmes targeting institutional capacity development.

104. Attention will also be given to assisting African Member States to increase resilience to disasters and to sustainably manage natural resources. Resources allocated to Africa will be increased from 21% to around 25% with the majority of the increase decentralized to Field Offices in Africa.

### Global Priority Gender Equality

105. SC is committed to gender equality in science and has increased its focus on women in science over the past several biennia in line with the GEAP II. The Sector's work will directly

<sup>13</sup> The African Agenda 2063, Goal 2: Well educated citizens and skills revolution underpinned by science, technology and innovation; and Goal 7: Environmentally sustainable and climate resilient economies and communities.



contribute to SDG 5 on gender equality and women's empowerment. The STEM and gender advancement (SAGA) project with the UIS aims to identify those areas where the most effective interventions to increase the participation of women in science can be made by Member States and UNESCO, and will develop and test gender in science indicators. IHP will increase the number of gender transformative activities. The World Water Assessment Programme (WWAP) gender and water indicators will be scaled up, shared with the international community and used in IHP activities. The MAB Programme and IGGP will increase the number of gender responsive activities. The ISP will increase the gender balance of their governing bodies and committees and create gender-specific activities.

106. The flagship UNESCO-L'Oréal For Women in Science partnership will aim to increase its visibility and synergies with other programmes. All UNESCO science reports, including GO-SPIN country profiles, the World Water Development Report, UNESCO Science Report and reporting on engineering will incorporate aspects of gender in science and sex-disaggregated data. The Organization for Women in Science for the Developing World will be linked further to SC's programmes, and its visibility and reach increased. International advocacy for the importance of women in science and the science-development-gender nexus will be continued by GenderInSITE, managed by TWAS. Funding for gender equality will be increased from 6% to 10%.

### **Intersectoral cooperation**

107. SC is leading in a coordinating role on intersectoral cooperation on climate change, SIDS and DRR and contributing to programmes towards sustainable cities. The following areas will be reinforced in cooperation with one or more sectors:

- ED: Science, technology, engineering and mathematics education (STEM); Education for sustainable Development (ESD) (SDGs 4, 5)
- CLT and SHS: protection of science capacity during conflicts and disasters (SDG targets 11.5 and 11.b)
- SHS: Youth and MOST for inclusive STI policy development, (SDG targets 16.6 and 16.7); ethical considerations (SDGs targets 4.7, 5.5 and 5.c); Sustainability Science
- CLT: sustainable management of natural sites; promotion of sustainable tourism in all UNESCO designated sites (SDGs 8.9, 15, 11.5 and 12.b)
- CI: use of social media and ICTs for communication on UNESCO sites, for development of citizen science programmes, and the promotion of the science-society interface through international days and prizes (SDGs 9.c, 17.17 and 17.8)

108. The themes mentioned above should benefit from approaches to common programming, monitoring and/or intersectoral mechanisms both at Headquarters and in and among field offices. Towards this aim, SC proposes shared planning and funding.

### **Proposed key programmatic adjustments**

109. The main programme refocus for SC is reflected under MLA2, thematic area "Sites for sustainable development".

110. The unique worldwide UNESCO networks of Biosphere Reserves, and Global Geoparks, will be developed towards their full potential as learning sites for inclusive and comprehensive approaches to sustainable development, including sustainable tourism, equal access to and benefit sharing of natural resources (SDGs 4, 5, 6, 9, 11, 13 and 15). The MAB Strategy and the Lima Action Plan 2016 – 2025 have set out clear objectives and action areas, while the Operational Guidelines for UNESCO Global Geoparks define the evaluation and revalidation processes.

111. SC will assess the synergies between the International Hydrological Programme (IHP), the Man and the Biosphere (MAB) Programme, the International Geoscience and Geoparks Programme (IGGP) and UNESCO activities related to Disaster Risk Reduction (DRR). Common programming, both at the upstream strategic level and at the activity level in the field through shared expected results and/or a common activity to encourage interdisciplinary approaches, will be given priority. The Sector will review how the programmes' governance mechanisms can be linked and a common services platform established in Headquarters for their administration and statutory functions. Within the field of UNESCO site designations, greater synergies will be developed, for example in the context of work on climate change and DRR.

112. While not completely phasing out smaller stand-alone programmes such as the ones on engineering and renewable energy, these topics will be woven into the broader STI policy agenda and the sustainable development agenda on the ground. Engineering will find its place in the overall monitoring and reporting on STI development and regional capacity-building initiatives with a focus on youth and Africa. Energy-related activities will be implanted, driven by regional demands, through the International Science Programmes and the UNESCO Strategy for Action on Climate Change.

### **Partnerships**

113. UNESCO will work with a wide range of external partners to achieve its objectives. In STI, SC will work with UNCTAD, ITU, WIPO and UNIDO among United Nations bodies, and with the OECD, the EU, the World Bank and the regional development banks. In hydrology, key partners include UN-Water, WMO and the International Hydrological Association; while for ecology and biodiversity they include UNEP, IPBES, CBD, and IUCN. For the earth sciences they include IUGS and GGN. Globally, ICSU, ISSC and Future Earth are privileged partners. For DRR, UNESCO's key partners include UNISDR, WMO, GFDRR, UNICEF and UNEP.

### ***Resource mobilization***

114. SC is currently working on its fundraising strategy. Partnerships will be expanded to increase and diversify the somewhat limited donor base for SC, towards more strategic and larger funding agreements for a few priority thematic areas, to join the ranks of the L'Oréal Foundation, PhosAgro, Airbus and Nature Publishing. Field offices will play an important role in fundraising opportunities at national/regional level.

115. Particular attention will be given to the main funding sources for climate change, DRR and environmental issues, to secure or improve access to the Green Climate Fund, the Adaptation Fund and the Global Environment Facility.

116. Importantly, 3% of funds on all projects will be set aside for evaluations in accordance with 196 EX/24.INF, and 2% for communication.

### **Programme delivery**

117. Programme management and delivery will be improved by giving equal importance to what the organization focuses on in terms of substance, but also in setting objectives in terms of delivery mechanisms and modalities such as the extent and effectiveness of the mobilization of science-related networks.

118. The proposed MLAs reflect both the cross-cutting enabling power of sound STI systems (MLA 1) and the impact of sciences applied to specific SDGs of the 2030 Agenda (MLA 2). The thematic areas structure programme activities around main deliverables and potential for synergy across SDGs. MLA 1 contributes to the entire suite of SDGs with a focus on SDGs 4, 5, 9 and 17. MLA 2 focuses on specific areas through SDGs 6, 11, 13 and 15.

119. For efficient and member state demand-driven delivery of SC activities, diverse aspects of both management and programme substance are being reconsidered, as demonstrated in the following paragraphs.

### ***Coordinated regional approach***

120. The ownership for the achievement of the 2030 Agenda and its 17 SDGs, representing a multifaceted and interconnected approach, lies with the Member States. Regional approaches will be developed to tailor UNESCO's responses to regional and individual Member State needs, giving authority to field offices to define regional and national priorities and programme focus, and plan and implement related activities in keeping with the principle of subsidiarity. For each region, a critical mass for each thematic area will be secured to apply an integrated approach in line with the 2030 Agenda and other relevant international development agendas.

### ***UNESCO science networks***

121. In addition to the networks of internationally designated sites, SC has also developed over decades a most valuably diverse and extensive network of professional organizations and affiliated bodies, including over 65 category 1 and 2 centres, around 220 UNESCO Chairs, plus alumni, laureates and prize-winners. Grouped around the main thematic areas, at regional level, together with National Commissions and ISPs national committees, these networks can play a more prominent role to achieve UNESCO's programmatic objectives and assist Member States in implementing the SDGs.

### ***Headquarters, field and Liaison Offices***

122. At Headquarters, SC will focus on upstream work financed essentially through the regular programme: concepts and strategies, benchmarking and normative work, monitoring and reporting, projects of a global nature, pilot initiatives and the backstopping of field operations. The main part of programme implementation regionally and nationally will be led by the field offices, based largely on extrabudgetary funding. The field offices will play a key role in managing regional networks and interregional South-South cooperation.

123. More attention will have to be given to the specific role of Liaison Offices (LO), particularly in anticipation, monitoring and exchange of information and inputs in relation to the agendas of the United Nations, the European Union (EU) and the African Union (AU). For the EU, this also includes proactive support to fundraising efforts for both Headquarters and the field offices.

124. All of the above requires efficient coordination among Headquarters, field and Liaison offices for fundraising and programme implementation. The Sector is working on innovative ways, including through ICTs, to support efficient programme coordination between all units, enhance programme delivery and visibility of its activities.

## **Proposed Main lines of Action**

### **Main Line of Action 1: Harnessing STI and knowledge for sustainable development**

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#### **Thematic area 1: Developing inclusive STI systems**

125. UNESCO will focus on enabling and assisting its Member States, particularly in Africa, LDCs and SIDS, to develop STI systems, policies and capacity. UNESCO's inclusive approach to STI policy, aims to reduce inequalities in access to and participation in STI, embraces gender equality in science and the co-production of indigenous knowledge to create broad-based and inclusive knowledge systems for sustainable development. UNESCO is recognized as the United Nations leader for mobilizing local and indigenous knowledge through its Local and Indigenous Knowledge

Systems (LINKS) programme, in partnership with science, to co-produce innovative responses to global change.

126. STI frameworks synergistically will include engineering to encompass the full spectrum of the building blocks of effective science systems including science governance, policies, institutional and human capacity development in science and engineering, STEM education and public understanding of science.

127. More emphasis will be given to the interface between STI policies and other sectoral policies – for example, employment, transport, economy, environment, agriculture and energy – consonant with the SDG paradigm and at the same time find innovative entry points for STI. These will be the key challenges for STI in both developed and developing countries, in view of the universality of the 2030 Agenda and the need for UNESCO to work in parallel with both developed and developing countries, while giving special attention to the latter.

128. The World Science Forum will continue to be supported as the major global conference for promoting the science-policy interface. Communication and outreach on STI for the SDGs will also be important, both to raise awareness within governments, parliaments and different line ministries, but also with the scientific community. Based on the positive experience with the United Nations Secretary-General's Scientific Advisory Board, the Sector stands ready to assist with any future scientific advice mechanism for the United Nations Secretary-General and the United Nations system. The Sector will also engage in the preparation of the Global Sustainable Development Report as requested by member states in the 2016 HLPF Ministerial Declaration.

129. Equally important is the science-society interface. In this context, the Sector will use the SC-related United Nations international days and UNESCO science prizes as vehicles to strengthen the interface to pursue the public understanding of science for development. These are powerful advocacy tools to reach youth through innovative communication initiatives and the power of social media in cooperation with CI.

130. Through the 2030 Agenda, Member States are committed to the Technology Facilitation Mechanism to help developing countries access appropriate technologies. In addition, further to the Istanbul Plan of Action for LDCs, the UN will establish a Technology Bank to specifically assist LDCs in STI. Since it is closely associated with both mechanisms and recognized as an essential partner, UNESCO will actively participate in these global STI initiatives.

### **Thematic area 2: Monitoring STI systems**

131. SC will more build comprehensive systems to collect, monitor and make available data on science policy instruments and legal frameworks in order to benchmark and share best practices among Member States through the GO-SPIN programme. UNESCO will bring to the attention of governments and other stakeholders key issues related to STI development and monitor and assess trends in STI throughout the world, in particular for developing countries via the UNESCO Science Report, GO-SPIN country reports, and regular reporting on engineering.

132. The Sector will expand its current collaboration with UIS and the L'Oréal Foundation on the use of statistics on STI and women in science. Sex-disaggregated data will be a fundamental component of the monitoring of STI systems. SC will contribute to the United Nations' efforts to monitor the thematic indicators for STI-related contributions to the SDG targets and to monitor overall progress on the 2030 Agenda.

### **Thematic area 3: Increasing capacity**

133. Most of today's employment opportunities, especially for young people, are in sectors which require STEM education at the appropriate levels. Together with ED, SC will focus on teacher

training for STEM to improve the quality of STEM teaching in the context of “Open Solutions” for ICTs as provided by CI. This will also include approaches towards art and design as appropriate.

134. As one of the main triggers of scientific innovation conducive to sustainable development, UNESCO will continue to implement its capacity development efforts in the basic and applied sciences through supporting, strengthening and extending its network of research institutes and affiliated centres in the developing world, in particular in Africa.

135. The role of IBSP and capacity development in the basic sciences and mathematics will be clarified, with its activities to be undertaken in coordination with TWAS, the World Academy of Sciences, focusing on South-South cooperation. ICTP can play an important role to coordinate the capacity development activities of the relevant category 2 centres, UNESCO Chairs and other partners such as CERN. UNESCO programming in engineering will be mainstreamed into STI policy work, focusing on monitoring and regular reporting, linked to the UNESCO Science Report, and the GO-SPIN programme. One flagship programme in engineering, consisting of a highly visible strategic partnership such as the Fly Your Ideas initiative with Airbus has to be created. Category 2 engineering centres will play a significant role both in data collection and in problem-based learning.

136. The renewable energy programme will be mainstreamed into MAB and IHP, mainly through implementation of UNESCO’s Strategy for Action on Climate Change in the field, funded by extrabudgetary resources. A focal point will coordinate cooperation among Headquarters, field offices, the category 2 renewable energy centres, related UNESCO Chairs and UN Energy.

**Main Line of Action 2: Advancing science for sustainable management of natural resources, disaster risk reduction and climate change action through IHP, MAB and IGGP**

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**Thematic area 4: Strengthening scientific cooperation for sustainable development: the role of freshwater, biodiversity and the geosciences**

137. In 2018-2021, UNESCO will strengthen scientific cooperation for sustainable development, and related capacity development and monitoring activities. UNESCO’s IHP, MAB and IGGP are uniquely placed to strengthen scientific cooperation and bring evidence on freshwater, biodiversity, ecosystem services, Earth Sciences and DRR into the policy mix.

138. A special focus will first be given to UNESCO’s work in freshwater through the IHP and its water family, which covers all of SDG 6 and its targets. The United Nations World Water Assessment Programme is uniquely placed to monitor SDG 6 through the publication of the World Water Development Report (WWDR). The highly recognized work of the IHP will continue its current six themes under IHP-VIII to improve water security in response to local, regional, and global challenges which are fully aligned with all of SDG 6 targets. IHP will also pay special attention to the water needs of SIDS. The role of human behaviour, cultural beliefs and attitudes to water, and socio-economic research to better understand and develop tools to adapt to changing water availability will be addressed, providing ample opportunity for intersectoral cooperation. Intrasectoral cooperation will continue focusing on integrating activities on ecohydrology with the MAB Programme and on groundwater with the IGGP.

139. The International Geoscience Programme (IGCP) within IGGP will continue to support scientific cooperation in the Earth Sciences for DRR and climate change action. The recently created African Network of Earth Science Institutions will be expanded and strengthened. The MAB Programme will direct its contributions to the research community and the science-policy interface. Both the MAB Programme’s transboundary biosphere reserves and IHP’s focus on transboundary aquifers will operationalize the Sector’s science diplomacy efforts.

140. Through MAB, IHP, IGGP and LINKS, SC will strengthen the science-policy interface concerning natural resources in such fora as IPBES and Future Earth. In addition, SC will continue

to play its part in promoting and applying emerging disciplines such as sustainability science together with SHS.

#### **Thematic area 5: Increasing resilience**

141. SDGs 6, 11, 13 and 15 all call for increased resilience. UNESCO is contributing to the Sendai Framework for DRR that recognizes the importance of resilience. Resilience is also a critical component of UNESCO's Strategy for Action on Climate Change. The global community now recognizes that building the knowledge base for sustainable development requires the mobilization, alongside science, of local and indigenous knowledge systems. In the face of rapid processes of change, including climate change, coupling the global scope of science with empirical understanding and the relevance of indigenous knowledge is a formula for resilience that has gained broad recognition through UNESCO's partnerships with IPCC, UNFCCC, CBD and IPBES, amongst others. In this respect, the LINKS programme enhances the adaptive capacities of local and marginalized communities to address climate change. The resilience of SIDS will be addressed specifically through the UNESCO SIDS Action Plan.

142. At the international level the DRR programme holds unique value due to its comprehensive approach, which is increasingly recognised as a key element of multi-hazard risk reduction. The programme is seen as an essential partner in particular because of its efforts to establish early warning systems, assessment of risk and vulnerability, increasing resilience of the built environment and communities against geo-hazards. Concerning water-related hazards, the IHP and the UNESCO water family are well-positioned through their critically important contributions to flood and drought monitoring and preparedness, as well as for their contribution to the Global Framework for Climate Services. UNESCO works with UNISDR and WMO for multi-hazard early warning systems.

#### **Thematic area 6: Sites for sustainable development**

143. MAB, with its comprehensive global approach to sustainable development addresses environmental challenges, scientific research, biodiversity conservation, and its economic, social and cultural dimensions. Because it is also anchored in the reality on the ground in Member States through its World Network of Biosphere Reserves (WNBR), it serves as a major strategic tool for UNESCO to assist Member States in implementing the SDGs and key Multilateral Environmental Agreements (MEAs) such as the CBD, UNFCCC and UNCCD.

144. Through its Strategy (2015-2025) and the Lima Action Plan (2016-2025), MAB contributes significantly to almost all of the targets of SDG 15. Through the WNBR, MAB has the potential to play an essential role in addressing SDGs 4, 5, 9, 11, 13 and 17, and advancing the UNFCCC Paris Agreement (SDG 13). UNESCO could propose to other agencies such as UNIDO and the International Renewable Energy Agency (IRENA) to use the WNBR for their programme implementation on the ground.

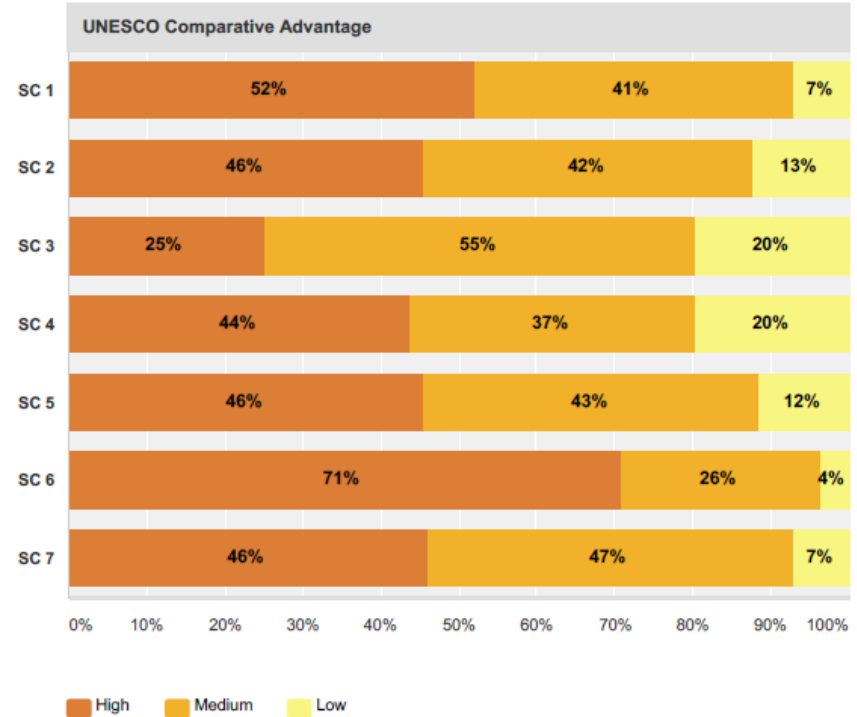
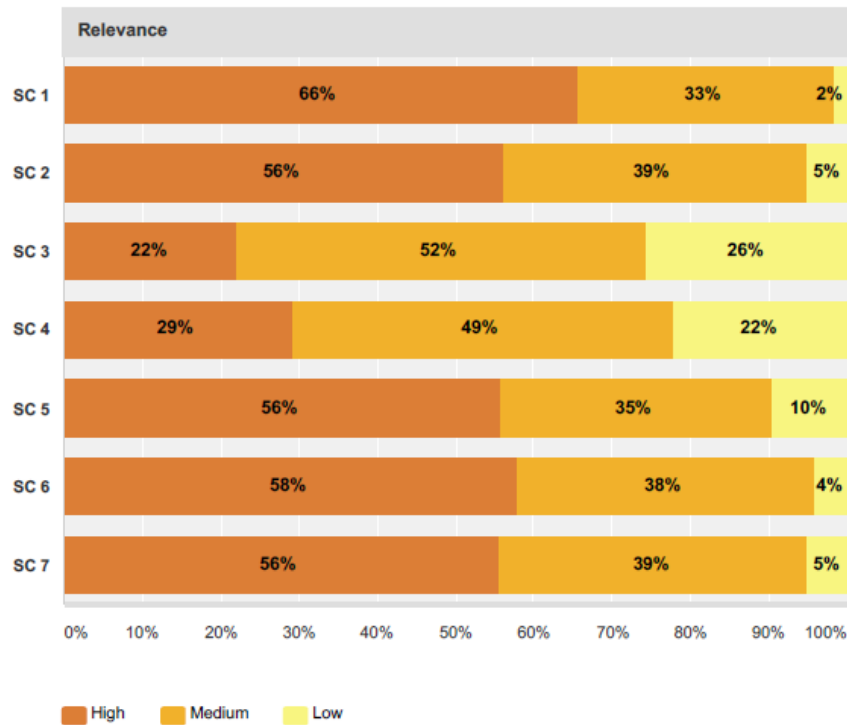
145. The MAB Programme is a unique United Nations programme which includes both a strategic comprehensive vision for sustainable development and the biosphere reserves as a powerful implementation tool endorsed and adhered to by Member States. With both thematic focus and site-specific examples of sustainable development, the MAB Programme has the potential to integrate aspects of all the UNESCO science programmes. At the same time, it links to the work of other sectors in relation to ESD, green economy and sustainable tourism, social inclusion, a culture of peace, links between biological and cultural diversity and multi-stakeholder management.

146. Communities living in and around biosphere reserves can make important contributions through citizen science programmes by monitoring changes in their special environments. Specific efforts will be devoted to communication and outreach on the contribution of MAB to the SDGs and Multilateral Environmental Agreements (MEAs). Case studies and existing good examples and

lessons learned from BRs will be shared and promoted through different communication tools in cooperation with CI.

147. The IGGP, endorsed at the 38th session of the General Conference, similarly profits both from its scientific IGCP and the UNESCO Global Geopark sites, representing another rare tool for strategy and action on sustainable development. The IGGP contributes to the achievement of SDGs 6, 8, 9, 12, 13 and 15 and will be of essential assistance to build capacity in Member States for sustainable management of their natural resources. UNESCO promotes a culture of DRR and resilience at UNESCO sites. UNESCO will assist Member States to achieve these SDGs by promoting and using these exceptional sites and tools in addition to synergies with Biosphere Reserves and World Heritage sites.

**GRAPH MPII: ASSESSMENT OF 38 C/5 NATURAL SCIENCES THEMATIC AREAS  
ACCORDING TO RELEVANCE AND COMPARATIVE ADVANTAGE  
(based on Member States replies to the 39 C/5 questionnaire)**



- SC 1** Strengthening Science, Technology and Innovation (STI) Policy and the science-policy interface
- SC 2** Enhancing capacity-building and education in basic and applied research in natural sciences
- SC 3** Mobilizing local and indigenous knowledge and engagement with society, in particular with vulnerable groups including SIDS and indigenous people
- SC 4** Expanding global cooperation in the geological sciences
- SC 5** Enhancing risk reduction, early warning of natural hazards and disaster preparedness and resilience
- SC 6** Strengthening the use of biosphere reserves as learning places for biodiversity conservation, equitable and sustainable development, and climate change adaptation
- SC 7** Strengthening responses to local, regional and global water security challenges by enhancing knowledge, innovation, policies, human and institutional capacities and by improving international cooperation.



## Major Programme II – International Oceanographic Commission (IOC)

148. The years 2014-2015 were marked by significant developments in the global environmental governance, in which ocean issues were highly visible and sensitive. To a certain extent, these years offered for the IOC of UNESCO a test on relevance and impact. The active participation of UNESCO and its IOC in the Rio+20 Conference (2012) and follow-up activities strongly contributed to the adoption of the stand-alone Ocean Sustainable Development Goal no 14. SDG 14 (Conserve and sustainably use the oceans, seas and marine resources for sustainable development) recognizes the role of ocean science and IOC's standard-setting role as essential contributions to all challenges or dimensions of ocean sustainability (e.g. pollution, ocean acidification, fisheries, coastal livelihoods). The Commission will build on this recognition to fulfill its mandate as the leading United Nations mechanism for global cooperation on ocean science.

149. Consistent with Resolution EC-XLIX.2 adopted by the IOC Executive Council in June 2016, the Commission's work will aim at achieving the following result: *"Science-informed policies for reduced vulnerability to ocean hazards, for the global conservation and sustainable use of oceans, seas and marine resources, and increased resilience and adaptation to climate change, developed and implemented by Member States, towards the realization of the 2030 Agenda"*.

150. In accordance with the IOC Medium-Term Strategy and Resolution XXVIII-3 of the IOC Assembly, in 2018-2021 the IOC will focus on the following **four thematic programme areas** with particular attention to ensuring that all its Member States have the capacity to meet their objectives. These areas are briefly outlined below.

### Ensuring healthy ocean ecosystems and sustaining ecosystem services

151. In order to generate the knowledge relative to marine ecosystem function at the appropriate time scale and resolution, it is essential to build capacity and a globally managed and quality controlled knowledge base. IOC's work in this area will include coordination of essential research on ocean ecosystem health, extension of the ocean observing systems to embrace biology and ecosystem variables, a focus on strengthening the existing global network of data and information centres with an emphasis on data/information product/service development contributing to continuous monitoring of the identified indicators; support to the World Ocean Assessment and other related processes, and development of capacity to ensure strong science-policy interfaces in ocean management.

### Effective early warning for ocean hazards, including tsunami

152. IOC's work in this regard will continue to focus on four areas: (i) support for the intergovernmental coordination of regionally harmonized tsunami warning systems; (ii) strengthening the work of regional Tsunami Information Centres that provide a clearing house for the development of educational and preparedness materials; (iii) targeted capacity development and technical assistance to enhance Member States' own ability to develop preparedness and awareness in a multi-hazard framework; and (iv) support for enabling research and policy development that lead to improved tsunami and ocean-related warning systems and preparedness.

### Increasing resiliency and adaptability to climate change and variability

153. IOC will address this through scientifically-founded services and adaptation and mitigation strategies with an end-to-end effort that:

- begins with an ocean observing system sustainably monitoring the major global scales of climate (both physics and ocean carbon), building readiness and capacity in providing local information required in adaptation at the coast and to address the impact of climate change and ocean acidification on marine and coastal ecosystems, and linked to a data management system built on global standards and best practices,

- coordinates ocean climate research that improves understanding of the climate system and prediction of its variability and change and builds a knowledge base on linked ocean ecosystem changes and adaptation strategies,
- partners in the Global Framework for Climate Services and informs IOC and other assessment process, and
- applies the scientific knowledge to improve regional management and governance of climate adaptation and mitigation strategies, building capacity through demonstration projects and shared tools.

### Enhancing knowledge of emerging issues

154. There is a broad range of emerging environmental issues such as new contaminants, invasive species, marine renewable energies, the expansion and intensification of uses of marine resources, and cumulative effects of human maritime activities. IOC's work will focus on improving understanding of the opportunities and of the changes that are occurring within the ocean, including the deep sea. Continued coordination of scientific research and call out of these issues in a way that can be communicated to policy will be important, in order to articulate and promote the principle of science-based sustainable ocean economies/blue growth approach.

<b>Intergovernmental Oceanographic Commission:</b> "Promoting knowledge and capacity for protecting and sustainably managing the ocean and coasts"		
<b>37 C/4 Strategic objectives</b>	<b>SO 5:</b> Promoting international scientific cooperation on critical challenges to sustainable development	<b>SO4:</b> Strengthening science technology and innovation systems and policy – nationally, regionally and globally
<b>IOC Expected Result</b> (as approved by the IOC Council, June 2016)	Science-informed policies for reduced vulnerability to ocean hazards, for the global conservation and sustainable use of oceans, seas and marine resources, and increased resilience and adaptation to climate change, developed and implemented by Member States, towards the realization of Agenda 2030	
<b>Proposed Thematic areas:</b>	<ol style="list-style-type: none"> <li>1. <b>Ensuring healthy ocean ecosystems and sustaining ecosystem services (SDG 14, but also SDGs 1, 2, 3, 4, 8, 11, 12 and 15)</b></li> <li>2. <b>Effective early warning for ocean hazards, including tsunami (SDGs 11, 13, 1, 2, 3 and 9)</b></li> <li>3. <b>Increasing resiliency and adaptability to climate change and variability (SDGs 14, 13, 9, 11 and 17)</b></li> <li>4. <b>Enhancing knowledge of emerging issues (SDGs 14, 13, 2, 8, 13, 17)</b></li> </ol> Supported by institutional <b>capacity development</b> as a cross-cutting function, with focus on Global Priorities, Africa and Gender Equality, and on SIDS (all of the above SDGs)	

155. The IOC approach is consistent with the recognition in the UNGA Resolution A/RES/70/1 on the 2030 Agenda of the "*integrated nature of the Goals as well as the interlinkages between them*" and the need for intergovernmental bodies and mechanisms like the IOC to support the thematic reviews of progress on the SDGs, including cross-cutting issues like the Ocean and its role in climate change mitigation and adaptation, by engaging "*all relevant stakeholders and, where possible, feed into, and be aligned with, the cycle of the high-level political forum*".

156. With broad objectives relevant to the 2030 IOC possesses expertise and has a strong coordination role for monitoring and assessing the progress in implementing relevant SDG targets. As such, the Commission has been identified as "**custodian agency**" for a number of **SDG 14 targets focused on marine pollution, ocean acidification and marine science capacity**. Beyond SDG 14, most of the Goals are dependent on the ocean, especially SDG 2 on food security and improved nutrition, SDG 4 on lifelong learning opportunities, SDG 8 on economic

growth and productive employment, SDG 11 on resilient and sustainable cities, and SDG 13 on climate change. Visual indication of relevance of IOC thematic areas to all SDGs, with a detailed breakdown into targets of SDG14, is given in the table below.

**Indicative mapping of the contribution of IOC thematic areas to the implementation of the 2030 Agenda**

INTERGOVERNMENTAL OCEANOGRAPHIC COMMISSION

	SDG 1	SDG 2	SDG 3	SDG 4	SDG 5	SDG 6	SDG 7	SDG 8	SDG 9	SDG 10	SDG 11	SDG 12	SDG 13	SDG 14	SDG 15	SDG 16	SDG 17	
<b>Proposed Thematic Areas</b>	1. Ensuring healthy ocean ecosystems and sustaining ecosystem services	✓	✓	✓	✓				✓			✓	✓	14.1 to 14.7 14.a 14.c	✓			
	2. Effective early warning for ocean hazards, including tsunami	✓		✓					✓		✓		✓					
	3. Increasing resiliency and adaptability to climate change and variability	✓							✓		✓		✓	14.2 14.3				✓
	4. Enhancing knowledge of emerging issues		✓					✓					✓	14.3 14.5 14.a				✓
	Cross-cutting theme: Capacity development	✓	✓	✓	✓	✓			✓	✓			✓	14.1 to 14.7 14.a 14.c	✓			✓

157. IOC will be able to contribute to the SDG implementation and reporting through its regional programmes and global initiatives such as the GEF-funded Transboundary Waters Assessment Programme (TWAP) in cooperation with UNEP, and the IOC’s Global Ocean Science Report (GOSR), as well as its global network of national ocean data centres under IODE. The 2030 Agenda and its reliance on the ocean provides a number of entry points for establishing and strengthening IOC’s **intersectoral collaboration** within UNESCO, for example with IHP, as a part of the TWAP Programme, and for actively contributing to the UNESCO’s **Global Priorities on Africa and Gender Equality**.

158. While the role of the Ocean is still insufficiently acknowledged in the climate change debate, despite increased visibility during COP 21, the fact that the world now has agreed on a universal comprehensive climate regime, creates an opportunity for UNESCO and its IOC to engage in and contribute to the implementation process of the **Paris Climate Agreement**. Systematic observations being explicitly recognized as crucial to strengthening scientific knowledge on climate and supporting decision-making, IOC’s main entry point into the climate change regime will continue to be through ocean observation contributions to the Global Climate Observing System (GCOS) – through the Global Ocean Observing System (GOOS) – and scientific contributions to the Intergovernmental Panel on Climate Change (IPCC) through the World Climate Research Programme and its own scientific programmes. The Commission’s future relevance will depend on its ability to mobilize Member States and engage with the scientific community and civil society to highlight the tight links between ocean and climate within the context of the next UNFCCC COPs. The recent decision of the IPCC to launch a special report on the climate change, cryosphere and the ocean will provide an opportunity for **IOC to contribute as the lead United Nations body for global ocean observations, with key source of data and information for all aspects of work on climate**. In this context, its cooperation with WMO through the Joint Technical Commission for Oceanography and Marine Meteorology (JCOMM) – a unique joint commission of two United Nations bodies – and the co-sponsorship of the World Climate Research Programme, the main international research body focusing on climate knowledge, predictions and research-based applications, is of utmost importance.

159. **The SIDS Accelerated Modalities of Action (SAMOA) Pathway of 2014** highlights the significant risks posed by sea-level rise and other adverse impacts of climate change and the fact that growth prospects of SIDS have been hindered by the impacts of natural disasters and the degradation of coastal and marine ecosystems. The SAMOA Pathway calls for increased attention by the international community to extreme weather events, sea-level rise, coastal erosion and ocean acidification. It urges for heightened technology, finance and capacity-building support in the

context of climate change adaptation, calling for assistance to improve baseline monitoring of island systems. IOC's engagement in support of SIDS will be guided by the IOC SIDS Action Plan and Strategy adopted by IOC Member States in June 2016 in response to the SAMOA Pathway, with particular emphasis on the building of SIDS actions related to tsunami early warning systems, the development of marine scientific and technological capacity of SIDS, and enhanced cooperation to assess ocean acidification impacts.

160. The Sendai Framework for **Disaster Risk Reduction 2015-2030** highlights international, regional, subregional and transboundary cooperation and calls for a broad and more people-centred preventive approach to disaster risk. It specifies seven global targets, among which is the need to substantially increase assistance to developing countries to complement their national action and ensure access to multi-hazard warning systems and disaster risk information and assessment by 2030. At present, with a very modest budget, the IOC coordinates a global tsunami warning system worth of hundreds of millions of dollars, supported by four regional tsunami warning systems in all tsunami-prone areas of the ocean. The IOC's hazard warning system develops in complete accordance with the Sendai Framework and is highly relevant in the context of SIDS and low-lying coastal countries. The Commission will continue the development of services to address the needs of governments and general public for warning and mitigation of coastal hazards, including tsunamis, extreme wave conditions and flooding, harmful algal blooms, marine pollution incidents, supported by sustained observations and data and information management, as is the case for sea-level with the Global Sea Level Observing System (GLOSS).

161. As regards **global assessments and science-based information for policy**, IOC's comparative advantage lies in its unique position as an intergovernmental framework to advance research and identify new scientific issues through collaborate action. The Commission's programme in ocean-sciences is focused to assist its Member States in addressing the emerging issues on deoxygenation, climate change and global trends of phytoplankton and Blue Carbon, while continuing its leadership in coordinating the research on ocean acidification, marine ecological time series, marine pollution (including plastics and microplastics), nutrient enrichment and harmful algal blooms. These will provide essential IOC contributions to global science-policy processes such as the second cycle of the United Nations World Ocean Assessment (WOA-II) and the Intergovernmental Policy Platform on Biodiversity and Ecosystem Services (IPBES).

162. These global and regional ocean assessment will be also build on **IOC's International Oceanographic Data and Information Exchange (IODE)**, as the only organizational framework that deals exclusively with international oceanographic data exchange, and the Ocean Biogeographic Information System (OBIS) – the world's leading database on ocean biodiversity contributing to at least 20 United Nations biodiversity targets, with their global network of data and information centres. IODE and OBIS will be essential to build the necessary capacity and globally managed and quality controlled knowledge base.

163. IOC will maintain its recognized role as the **lead United Nations organization in the development of marine spatial planning**, as already demonstrated by the uptake of the IOC guidelines by more than 40 countries engaged in ocean management. Through its programme related to Integrated Coastal Management, the Commission will, working in close cooperation with other United Nations partners, provide technical support to Member States engaged in 17 GEF Large Marine Ecosystems regional projects, primarily operating in the developing world, and will develop new tools and capacity in relation to ecosystem based management at national and regional scale.

164. The IOC will contribute to the **development of a new legally-binding instrument to conserve and sustainably use marine biodiversity of areas beyond national jurisdiction** (the High Seas and the Area) under the United Nations Convention on the Law of the Sea (UNCLOS) to be adopted in 2018, particularly in relation to marine scientific research, capacity development and transfer of marine technology.

165. IOC intends to further reinforce and widen its **partnerships**, through enhanced association with NGOs, regional science organizations, practitioners and the public through regional and other subsidiary bodies. In order to do this, the IOC will need to implement an efficient and tailored communication strategy enabling it to fully demonstrate the impact of its work. Taking into account that the ocean and marine affairs drive many socio-economic activities, IOC will engage with Member States and international economic institutions to seek their support in highlighting to the relevant stakeholders the importance of the ocean activities for national economy and growth. In ocean literacy, IOC must equally further reaffirm its mediating role between the scientific and the policy communities. In the context of the UN-Oceans, the Commission will work in cooperation with other members such as UNEP, FAO and WMO in the development of ‘SDG enabling activities’. IOC would also like to see such joint activities emerge from the intersectoral work on the 2030 Agenda, SIDS Action Plan, Sendai, UNFCCC COP processes, etc., to maximize the comparative advantage of UNESCO’s comprehensive interdisciplinary approach to key societal issues.

### **Programme refocus, strengthening and delivery**

166. At the time when the IOC’s work and competences are in high demand, recently reconfirmed by the responses to the 39 C/5 questionnaire that place SDG 14 on Ocean and SCG 13 on Climate Change among the five highest priorities for more than 50% of responding Member States (See Graph at the end of IOC section), the Commission has undertaken an extensive mapping exercise, linking key aspects of its mandate and core functions to the new international strategic frameworks and the current proposal for the IOC Draft Programme and Budget for 2018-2021. This exercise also builds on the priorities and guidelines agreed by the IOC Governing Bodies, including the June 2016 review by the 49th IOC Executive Council of the Strategic Results Report and the Executive Roadmap “Future of the IOC”. These strategic reviews aim at raising the profile of the IOC in its core and unique mandate in the fields of long-term sustained observations and related data and information management, early warning systems for coastal hazards, capacity development, marine scientific research, transfer of marine technology and science-policy interface, linking the global priorities to regional and national ones.

167. With its functional structure, which is reinforced through the renewed 2015 Capacity Development Strategy, IOC can claim a variety of comparative advantages:

- (a) *Unique cross-cutting mandate within the United Nations system* for ocean science with broad objectives relevant to the 2030 Agenda and other major international frameworks: healthy ocean; early warning for ocean hazards; ecosystem and societal resilience to climate change and variability; knowledge of emerging issues, etc.
- (b) *Field expertise, structure and presence*, working in full cooperation with the United Nations system to coordinate ocean-related activities in 148 IOC Member States and through three regional Sub-commissions;
- (c) *Global ocean observation systems and operational programmes* already active in core SDG areas;
- (d) *Strong coordination for analysing and monitoring* of relevant SDG indicators, based on regional and global internationally comparable data from the Transboundary Waters Assessment Programme (TWAP) and the IOC Global Ocean Science Report (GOSR);
- (e) *Active participation in relevant United Nations inter-agency coordination mechanisms* (i.e. UN-Oceans) and *processes* (i.e. World Ocean Assessment, Ad Hoc Open-ended Informal Working Group to study issues relating to the conservation and sustainable use of marine biological diversity beyond areas of national jurisdiction, etc.);
- (f) *Outreach capacity and convening power to mobilize multiple stakeholder networks* including national policy-makers, scientific institutions and civil society, and its regional

sub-commissions (IOCARIBE, IOCAFRICA and WESTPAC) and the recently revitalized IOCINDIO.

168. To maximize the Commission's impact and delivery towards the realization of the 2030 Agenda, it will refocus its programmes and resources on the following directions:

169. **Developing capacities, brokering innovation and learning, and facilitating the transfer of marine technology.** IOC is centrally positioned to coordinate the robust technical capacity development programmes called for in SDG Target 14.a that is cross-cutting to all other ocean targets – and to many other Goals – because capacity development is needed to achieve reduction of pollution, foster growth, ensure resilient ecosystem and infrastructure, amongst others. IOC will engage in the development of a United Nations-wide facilitation mechanism for the transfer of technology to support SDG implementation by Member States.

170. **Providing normative support to countries** to establish, implement, monitor and report on implementation of the Ocean SDG 14 and its related targets. IOC has been identified as co-lead agency for indicators related to SDG targets 14.1, 14.2, 14.3, and 14.a. The IOC Regional Subsidiary bodies will also provide a platform for engaging countries to work together on common regional indicators. Global and regional marine assessment activities led by IOC (i.e. TWAP) will be aligned to the SDG requirement in terms of reporting the status of ocean conditions. The network of national ocean data centres under IOC's International Oceanographic Data and Information Exchange programme will also be mobilized to contribute to the assessment of SDG progress at national and regional level and build capacity in relevant data management procedures.

171. **Providing science-based policy advice for the implementation of integrated ocean governance and management.** IOC's leading work on marine spatial planning can serve as a framework to guide sustainable development of the oceans and coasts: the 2009 IOC MSP Guidelines (IOC Manuals and Guides, 53; IOC/2009/MG/53) provide tools for promoting ecosystem-based, integrated, adaptive, strategic and participatory management of national waters. IOC will also develop policy-relevant information through scientific research, technical analyses and syntheses of scientific information needed to effectively address emerging issues, inform policy, and advance solutions in a timely and transparent manner.

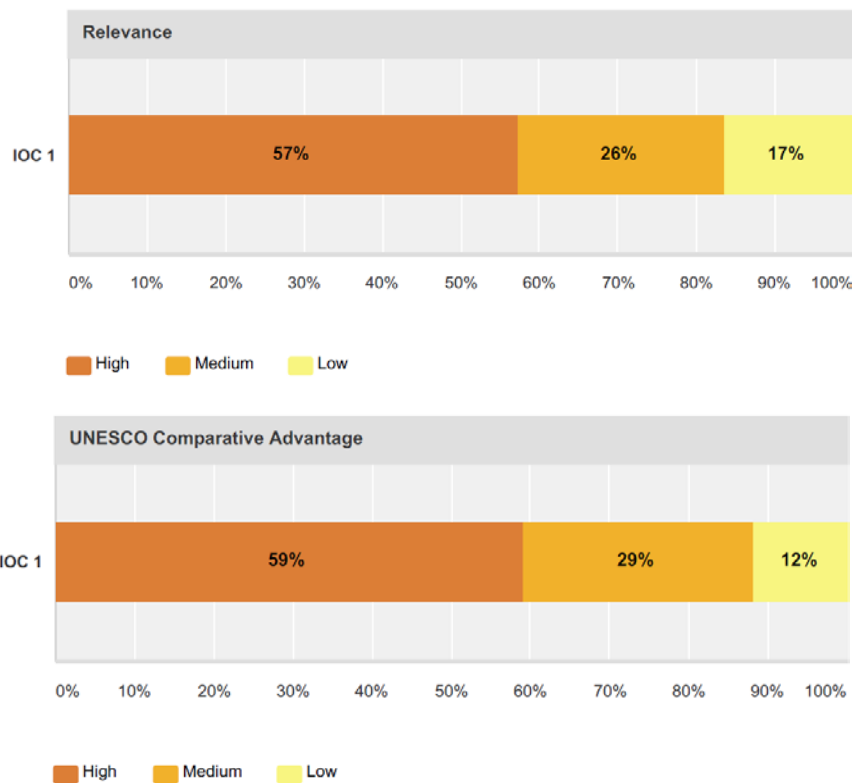
172. **Maximizing IOC's convening role.** IOC has a proven track record as a hub that brings together stakeholders across public and private, policy and science sectors to implement, monitor and report on ocean-related issues, ensuring inclusiveness, participation and continuous engagement of and consultation with stakeholders, and convening issues based on multi-sectoral partnerships. In this regard, strong ownership of IOC's programmes by its Member States and beneficiary communities, ensured by its highly functional governing bodies, further supported by the underlying diverse network of regional and technical subsidiary bodies, is of paramount importance.

173. In addition, the immediate effort will go into **further operationalization of the IOC Capacity Development Strategy 2015-2021**, building on the findings of the first IOC Global Ocean Science Report (GOSR) as regards the global picture of existing scientific capacities at national and regional level, including a snapshot of existing infrastructure and equipment, human resources (with the first detailed analysis of gender balance in the workforce related to ocean science) etc. In this context, the GOSR will also provide a baseline for the IOC action in pursuing the **Global Priorities Africa and Gender Equality**. To be successful, this will require achieving a high degree of coherence between global programmes and their regional dimensions and activities, especially as regards the IOC regional sub-commissions, building on the integrated co-design approach. In the context of Global Priority Africa, the Intergovernmental Oceanographic Sub-Commission for Africa and Adjacent Island States (IOCAFRICA) aims to be the voice of Africa on matters related to ocean science and the science base for ocean management, providing a unique Africa-wide platform, bringing together Member States, United Nations agencies and other stakeholders, to

drive research, observations, and disaster preparedness and mitigation for the sustainable management of the African oceans and coastal areas. Based on the information to be delivered by the Global Ocean Science Report, which will be published in 2017, a disaggregated overview of gender distribution of researchers in different fields of ocean science will be provided. These data will serve as a baseline for biennial performance indicators and targets for the next quadrennial period. International networks in marine science are important to foster ocean research globally in particular in SIDS, developing countries, and Africa. During the next quadrennial period a comprehensive set of actions will be elaborated to encourage equal leader- and membership of both genders in IOC networks.

174. The fully developed proposal, covering all of the above-mentioned aspects and including a comprehensive implementation strategy through a conceptual framework of functions, performance indicators and benchmarks, will be reviewed by the IOC Assembly at its 29th session in June 2017.

**Graph IOC: Assessment of IOC according to relevance and comparative advantage (based on Member States replies to the 39 C/5 questionnaire)**



**IOC 1** Strong scientific understanding and systematic observations of the changing world ocean climate and ecosystems shall underpin sustainable development and global governance for a healthy ocean, and global, regional and national management of risks and opportunities from the Ocean.



## Major Programme III – Social and Human Sciences

175. The social and human sciences significantly enhance our understanding of contemporary challenges and help us to respond to them more effectively. Through its Social and Human Sciences Major Programme (MP III), UNESCO supports inclusive and sustainable development, fosters intercultural dialogue and helps Member States to embed human rights, values and ethics in the social, scientific and technological developments that are transforming today's increasingly complex and diverse societies. The social and human sciences also have a major role to play in helping address social transformations in societies where the population is younger and better educated than ever before. Even as the world commands more knowledge, technology and resources than ever before to face global challenges, human rights violations, inequality, exclusion, discrimination and violence continue to undermine UNESCO's mission of building lasting peace, as embodied in Strategic Objective 6 of the Medium-Term Strategy (37 C/4).

176. Consistent with document 37 C/4 and the Strategic Results Report, the activities under MP III will involve the mobilization of knowledge and values through dialogue with our stakeholders to better equip societies to understand and respond to the challenges they face. This enhanced coherence across all work streams in MP III aims to more effectively support Member States in the implementation of the 2030 Agenda for Sustainable Development.

177. The proposed thematic areas for the draft document 39 C/5 also take into consideration the replies and views expressed by Member States in the questionnaire on the Draft 39 C/5 (See Graph at the end of MP III section), in which Member States recognized the importance of social and human sciences for sustainable development and for advancing the reflection on the definition of ethical principles. A majority of respondents considered the area of "Peaceful and inclusive societies harnessing the potential of dialogue and the participation of youth" as highly relevant – one in which UNESCO has a significant comparative advantage; more than half of respondents assessed as "high" UNESCO's relevance in the areas of "Mobilizing knowledge and values to equip societies to comprehend and accompany social transformations" and of "Participatory and inclusive policy formulation to promote equity, rights and ethical principles". Views were divided with regard to UNESCO's comparative advantage in the area of 'Integrity and governance of sport as an enabler of sustainable development and peace' as, for example, 31% of respondents ranked it as "high", whereas 24% of them considered that UNESCO had a "limited" or "low" comparative advantage in this area. It should also be noted that, with regard to themes proposed for intersectoral cooperation, respondents assigned a high score to 'intercultural dialogue, peace-building and the fight against all forms of discrimination', while "Youth" as a specific target group was ranked as the highest priority.

178. In line with the above, and drawing on the lessons learnt on the implementation of documents 37 and 38 C/5, MP III will focus during 2018-2021 on the following proposed thematic areas:



<b>Major Programme III – Social and Human Sciences</b>		
<b>37 C/4 Strategic Objectives</b>	<b>Strategic Objective 6</b> Supporting inclusive social development, fostering intercultural dialogue for the rapprochement of cultures and promoting ethical principles	
<b>Proposed Main lines of action</b>	<b>MLA 1</b> Mobilizing knowledge and embedding rights and ethics to foster inclusive and equitable societies	<b>MLA 2</b> Fostering intercultural dialogue and engaging youth for peaceful and participatory societies
<b>Proposed Thematic areas</b>	<ol style="list-style-type: none"> <li>1. Strengthening the research-policy nexus (MOST programme) (SDG 16.6, 16.7)</li> <li>2. Addressing discrimination and fostering values and rights (16, 11.3, 5)</li> <li>3. Promoting ethical norms and standards to address challenges for society deriving from scientific development (13.3 and 3, 5, 16)</li> <li>4. Sport for development (SDG 16, 3 and 5)</li> </ol>	<ol style="list-style-type: none"> <li>5. Engaging young women and men as agents of change (16 and 4)</li> <li>6. History, memory and intercultural dialogue (16 and 4)</li> </ol>
<b>Transversal</b>	<ul style="list-style-type: none"> <li>• Supporting Member States in the implementation of Agenda 2030 through strengthened the research-policy nexus;</li> <li>• Development and implementation of intra-sectoral, multidisciplinary and cross sectoral initiatives</li> <li>• Contribution to SDG targets 17.9, 17.16, and 17.17.</li> </ul>	

### Supporting Member States in the implementation of the 2030 Agenda

179. The social dimensions of the 2030 Agenda and the targets on social inclusion, the eradication of extreme poverty, the reduction of inequalities, inclusive policies for cities, as well as inclusive and participatory decision-making, resonate with UNESCO's mandate to support Member States in managing contemporary social transformations. Intercultural dialogue is essential to understanding contemporary social transformations and to ensuring peaceful societies. UNESCO, in cooperation with sister agencies and other partners, will continue to support Member States to deliver on the goals set by the 2030 Agenda for Sustainable Development and the African Union Agenda 2063, two sets of long-term goals which are ambitious and broad in their scope. Their achievement will depend on researchers and policymakers, practitioners and stakeholders having access to and being able to share pertinent and accurate information about the societies and communities targeted by their actions, as well as a coherent intellectual framework in which to proceed.


180. Alongside Member States' engagement in the production of knowledge, the effective use of research through a strengthened research-policy nexus can improve evidence-informed public policy, guided by universal values and principles based on human rights and ethical principles; enhance public services and raise the level of public debates. The integrated nature of the 2030 Agenda and its 17 SDGs requires greater policy coherence at the national, regional and international levels that can be obtained through stronger links between social science research and public policy-making. At the same time, at the United Nations level, enhanced inter-agency collaboration, innovative implementation mechanisms and more precise impact measurement will support Member States' endeavours to make better decisions about how and where they allocate resources needed to achieve the outcomes of 2030 Agenda.

181. The work of MP III, focusing on policy advice and capacity-building, makes a direct contribution to supporting Member States in the achievement of three Sustainable Development Goals: SDG 16 "Promote peaceful and inclusive societies for sustainable development, provide access to justice for all, build effective, accountable and inclusive institutions at all levels" (targets

16.6 and 16.7); SDG 10 “Reduce inequality within and among countries” (targets 10.3 and 10.7); and SDG 11 “Make cities and human settlements inclusive, safe, resilient and sustainable” (target 11.3). MP III also provides indirect contributions to supporting Member States in the implementation of three other SDGs and a number of associated targets: SDG 4 “Ensure inclusive and equitable quality education and promote lifelong learning education for all” (target 4.7); SDG 3 “Ensure healthy lives and promote well-being for all at all ages; and SDG 13 “Take urgent action to combat climate change and its impacts”. In addition, in line with UNESCO’s Global Priority Gender Equality of the Organization, MP III will contribute to supporting Member States in the achievement of SDG 5 “Achieve gender equality and empower all women and girls”, in particular of the targets 5.1, 5.5 and 5.c.

### Indicative mapping of the contribution of MP III thematic areas to the implementation of the 2030 Agenda

**MAJOR PROGRAMME III**



	SDG 1	SDG 2	SDG 3	SDG 4	SDG 5	SDG 6	SDG 7	SDG 8	SDG 9	SDG 10	SDG 11	SDG 12	SDG 13	SDG 14	SDG 15	SDG 16	SDG 17		
<b>Proposed Thematic Areas</b>	1. Strengthening the research-policy nexus			4.7	5.5 5.c												16.6 16.7	17.9 17.16 17.17	
	2. Addressing discrimination and fostering values and rights				5.1 5.c					10.3 10.7	11.3						16.6 16.7	17.9 17.16 17.17	
	3. Promoting ethical norms and standards to address challenges for society deriving from scientific development			✓	5.5 5.c								13.3 13.b					16.6 16.7	17.9 17.16 17.17
	4. Sport for development			3.5 3.6	5.1 5.c													16.6 16.7	17.9 17.16 17.17
	5. History, memory and intercultural dialogue				4.7	5.1 5.c												16.6 16.7	17.9 17.16 17.17
	6. Engaging young women and men as agents of change				4.7	5.5 5.c												16.6 16.7	17.9 17.16 17.17

### Global Priority Africa

182. With respect to Priority Africa, MP III will focus on two main approaches. One is to work with all partners to ensure more active and equitable African engagement in global social and human sciences processes, ethical deliberations, sports governance, youth engagement and intercultural dialogue processes and initiatives. MP III will also endeavour to increase resource mobilization efforts for the effective implementation in Africa of activities to be developed in the context of, and taking into account the aspirations of the Agenda 2063 for Africa. Focus will be on capacity building and policy advice in priority areas such as gender equality and youth (Aspiration 6 – Unleashing the Potential of Women and Youth), rights and inclusion (Aspiration 3 – An Africa of Good Governance, Democracy, Respect for Human Rights, Justice and the Rule of Law) and tolerance and intercultural dialogue (Aspiration 4 – A Peaceful and Secure Africa).

183. Two or three targeted initiatives will be developed at regional, subregional or national level to ensure visibility and demonstrate results along the lines of the *General History of Africa* and UNESCO’s support for the National Programme for a Culture of Peace in Mali.

### Global Priority Gender Equality

184. Mainstreaming of gender equality will be pursued through more focused collaboration within existing platforms, such as the MOST schools, and through youth large-scale projects such as NET-MED Youth. This will benefit from lessons learnt from stand-alone initiatives (e.g. the El Salvador MOST School applying a gender-transformative lens to issues such as male roles and masculinity, and the adaptation of Mediterranean tools/approaches to address youth violence in Central America and in other regions). Evidence-based best practice of gender-specific programming at city level, building on the work and experience achieved in ICCAR, will also be pursued. Activities on gender, youth and migration in India, as well as work on women and sport, are other examples of gender-specific approaches that will be pursued.

## **Intersectoral cooperation**

185. Actions in the areas of sustainability science and climate change in line with the UNESCO Strategy for Action on Climate Change are inherently inter-sectoral, to be pursued through close collaboration between MP III and MP II, with particular emphasis on climate change adaptation and a major contribution from ethics, building on the preparation of a draft declaration of ethical principles in relation to climate change. Collaboration with MP II will also be enhanced in Bioethics and the Ethics of Science and Technology in science policies, notably through the follow-up of the implementation of the 1974 Recommendation on the Status of Scientific Researchers. The development of the Inclusive Policy Lab will rely on inputs from all major programmes including education and STIs policies.

186. Similarly, the work of the Management of Social Transformations (MOST) programme on the socially transformative implications of digital technology will be closely coordinated with MP V.

187. Activities on inclusion at city level through the International Coalition of Inclusive and Sustainable Cities-ICCAR will also engage all major programmes in the context of the follow-up to the New Urban Agenda to be adopted at the 2016 Habitat III Conference.

188. The implementation of the Action Plan of the International Decade for the Rapprochement of Cultures cuts across all of UNESCO's domains of expertise. The General and Regional Histories, in particular the General Histories of Africa, the Silk Roads Online Platform, and the Slave Route projects are also being implemented through inter-sectoral collaboration in particular with the Education, Culture, Communication and Information Sectors.

189. Efforts are already in place to further strengthen intersectoral cooperation in the field of youth, particularly the work on social inclusion, prevention of violence and the promotion of citizenship. Multi-disciplinary projects such as the NET-MED Youth project will be continued and replicated in light of the achievements and lessons learnt from the previous C/5 document, further mobilizing the Youth Focal Points network across UNESCO and the United Nations inter-agency system.

## **Proposed key programmatic adjustments (compared with 38 C/5)**

190. In positioning itself to support Member States in the implementation of the 2030 Agenda, MP III will refocus its programme activities so as to strengthen coherence across all work streams. A more integrated approach will be pursued in programme delivery by seeking to leverage synergies between thematic areas.

191. The diversity of activities should be drawn together by a common thread: mobilizing knowledge and values through dialogue with our stakeholders to equip societies to understand the challenges they face and to transform themselves in response. To this end, MP III will reinforce existing – and develop new – interdisciplinary, cross-sectoral and results-oriented initiatives that foster increased international collaboration and participation. For example, the new Strategy for the MOST Programme will enable a more integrated approach to recast core activities, by and within regions, in line with the criteria of relevance to current challenges, efficiency and high-level visibility for enhanced and sustained impact. The rights and inclusion work stream will be refocused on a renewed engagement with cities and municipalities, by promoting inclusion, diversity and the fight against racism and discrimination focused on the revitalization of the International Coalition of Inclusive and Sustainable Cities-ICCAR. Furthermore, a more integrated approach to intercultural dialogue, and history and memory will be pursued, building on the newly established Road Map for the International Decade for the Rapprochement of Cultures.

192. This should also bring about improvements in the definition of expected results and targets. Such action will enable MP III to determine more precisely actions to be undertaken at the global,

regional, and national levels and synergies between them, while seeking a more decentralized modality of implementation.

### **Partnerships**

193. MP III will work closely with relevant United Nations partners such as the Office of the United Nations High Commissioner for Human Rights (OHCHR), the United Nations High Commissioner for Refugees (UNHCR), the United Nations Entity for Gender Equality and the Empowerment of Women (UNWOMEN), the World Health Organization (WHO), the United Nations Department of Economic and Social Affairs (UNDESA) and the Regional Economic Commissions.

194. Increased coordination at global level will be pursued through UNESCO's membership of relevant inter-agency platforms such as the United Nations Development Group Human Rights Working Group (UNDG-HRWG) and the Global Migration Group (GMG), as well as with relevant regional and global intergovernmental organizations, such as the Commission of the African Union and its various institutions, the Commonwealth, the World Anti-Doping Agency (WADA), and the International Olympic Committee.

195. With respect to expanding UNESCO's knowledge base in the social and human sciences and the application of this knowledge, efforts will be made to consolidate and build on the strong collaboration with global and regional social science and humanities councils.

### **Programme delivery**

196. MP III will strengthen integrated programme delivery through enhanced Headquarters-field synergies. This will include joint design, planning and quality control of activities as well as coordinated efforts to mobilize field networks of partners to optimize results and impact, most notably by upscaling successful pilot projects and replicating good practices.

197. MP III will also strengthen its decentralization efforts towards an integrated approach to communications and outreach as a sector-wide priority. Building on the above, this should ensure more agile and accessible programmes in line with the national needs and priorities of Members States.

### **Proposed Main lines of Action**

198. The thematic programme areas proposed under the two MLAs derive from the Action Plans and Operational Strategies that have been previously endorsed by UNESCO's governing bodies. The implementation of MP III under these two MLAs will be carried out through an integrated and intrasectoral approach cutting across the different thematic areas identified.

## **Main Line of Action 1: Mobilizing knowledge and embedding rights and ethics to foster inclusive and equitable societies**

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199. In view of supporting Member States in the implementation of the 2030 Agenda for Sustainable Development, MP III will pursue a future-oriented understanding of social evolution, promoting the incorporation by Member States of universal values of peace, justice and human rights in the design and review of evidence-based, inclusive public policies. In this respect it is important to create an enabling environment through national policies – on youth in particular.

### **Thematic area 1: Strengthening the research-policy nexus**

200. Drawing on the revised strategy of the Management of Social Transformations (MOST) programme, MP III will strengthen the links between research, practice and policy-making mainly through support for the development of more effective, accountable and transparent institutions and more responsive, inclusive, participatory and representative decision-making at all levels with emphasis on LDCs and SIDS.

201. The strengthening of the research-policy nexus requires the development of an analytical framework and an evidence base upon which to assess the impact of policy interventions on the achievement of the SDG 16 targets. Conceptual and methodological work towards this objective, in cooperation with relevant academic and policy stakeholders, will be an essential component of MLA 1 and will also have transversal relevance for activities under MLA 2.

202. The intergovernmental mechanisms and networks of scientific cooperation of the MOST programme constitute a valuable global and regional platform for the achievement of the knowledge-oriented and policy-relevant objectives under MLA 1, within the context of the Comprehensive Strategy endorsed by the Executive Board at its 199th session. In addition, efforts will focus on UNESCO's distinctive role in the humanities, building on the agenda that will be set by the 2017 World Humanities Conference; on the systematic development and promotion of futures literacy as a tool to unlock latent action potential; and on enhancing UNESCO's knowledge-brokering role.

### **Thematic area 2: Addressing discrimination and fostering values and rights**

203. Science-based understanding of the transformative challenges, and the prevailing conditions that underlie actions in response to them, is necessary for the development, promotion and effective implementation of the principles laid down in international human rights instruments and normative statements of ethical principles. These principles must take form in and be applied by institutions and policies that are designed and assessed for equity and inclusiveness, so that disadvantaged social groups are not excluded from the benefits of the implementation of the 2030 Agenda.

204. In fostering an enabling environment for social transformations that “leave no one behind”, MPIII will develop advocacy and awareness-raising initiatives on rights, inclusion and citizenship – in partnership with civil society and other stakeholders and interest groups – upholding the universal values of human rights and gender equality. Efforts will focus on tackling all forms of stereotypes and prejudices that disempower the most disadvantaged groups. Concrete examples include emphasis on improving public perceptions of migrants and refugees through more nuanced media narratives and capacity-building; developing frameworks for city authorities to measure good practices in addressing all forms of discrimination; and promoting inclusion and respect for diversity and collaboration through international days and relevant prizes. Collaboration with relevant United Nations inter-agency platforms and United Nations human rights monitoring mechanisms will be enhanced, as will cooperation with ICCAR, which offers a good example of a city-level platform for global solidarity to promote inclusive urban development, in response to the pressing challenges of rising intolerance, discrimination, and all forms of violence and xenophobia.

### **Thematic area 3: Promoting ethical norms and standards to address challenges for society deriving from scientific development**

205. Particular emphasis will be placed on global ethical considerations of the impact of scientific and technological development on human and environmental integrity, human rights and gender equality and on how to ensure fair access to the benefits of science. This reflection is embedded in the widely-recognized work of the International Bioethics Committee (IBC) and the World Commission on the Ethics of Scientific Knowledge and Technology (COMEST). Along with the Intergovernmental Bioethics Committee (IGBC), both advisory bodies will also be advancing the identification of emerging ethical challenges in science and technology and advising on potential normative action, if needed. Such reflection is closely linked to supporting the efforts of national institutions to include in their policies populations' rights, global bioethics principles and science ethics as enshrined in existing normative instruments; and to reinforce action towards public awareness-raising and engagement.

### **Thematic area 4: Sport for development**

206. In the area of sport, support to Member States will focus on the provision of inclusive quality physical education, the formulation of national sport policy, action to combat doping and other threats to the integrity of sport as well as guidance on how national policies can leverage sport to make progress towards the SDGs, for example by including its impact on health, quality education and gender equality. Sport for peace and development will be promoted within the mandate of UNESCO's International Charter for Physical Education, Physical Activity and Sport and the International Convention against Doping in Sport, building on the outcomes of MINEPS V and MINEPS VI and in cooperation with the Intergovernmental Committee for Physical Education and Sport (CIGEPS).

### **Main Line of Action 2: Fostering intercultural dialogue and engaging youth for peaceful and participatory societies**

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207. As a priority target group for UNESCO's programme, young women and men are vital actors and partners in innovative initiatives in response to global challenges. Their energy, creativity and critical spirit in identifying solutions and building bridges and networks continue to be demonstrated around the world. UNESCO will sustain efforts to enhance investment in research, policies and programmes to create enabling conditions for youth, including the most vulnerable and marginalized and especially young women, to prosper, exercise rights and engage as responsible citizens and social actors.

208. Increasingly alarming phenomena today include pervasive social injustice, the spread of fear and prejudice, the increase in hate speech and violence, and the fact that the majority of young people live in the world's 48 least-developed countries in fragile, transitional and conflict-affected contexts where they face debilitating challenges including unemployment, poverty and skills inadequacy. MP III will endeavor to apply the social and human sciences to enhance understanding of the driving forces behind tension and conflict as well as to contribute to the development of responses that can engage citizens in shaping more inclusive, peaceful and participatory societies. In this context, young women and men have a crucial role to play as change-makers and peacebuilders.

209. Consistently with the transversal emphasis in MP III on mobilizing knowledge to assess impact and strengthening evidence-based policy making, MLA 2 will, focus on the evaluation of the effectiveness of policy interventions in intercultural dialogue and on youth, sharing the concepts and methods used for related activities under MLA 1.

### **Thematic area 5: Engaging young women and men as agents of change**

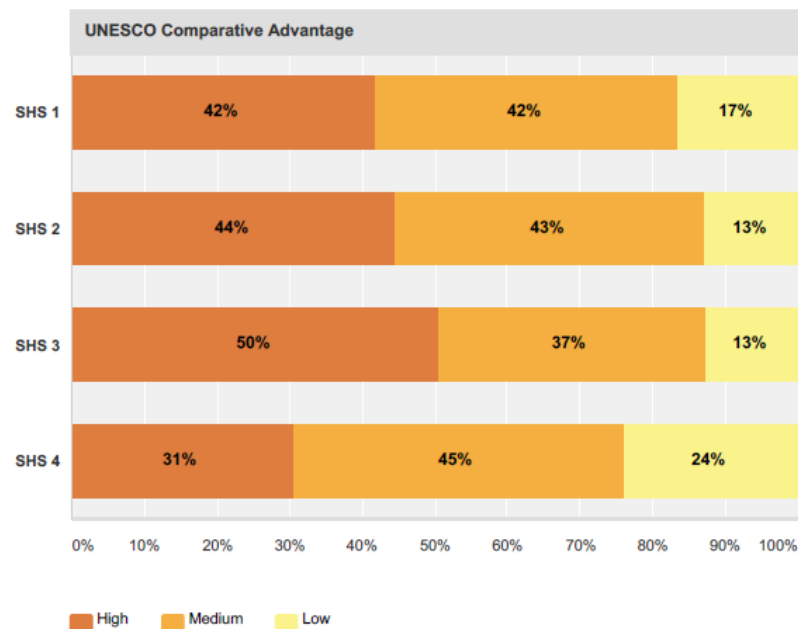
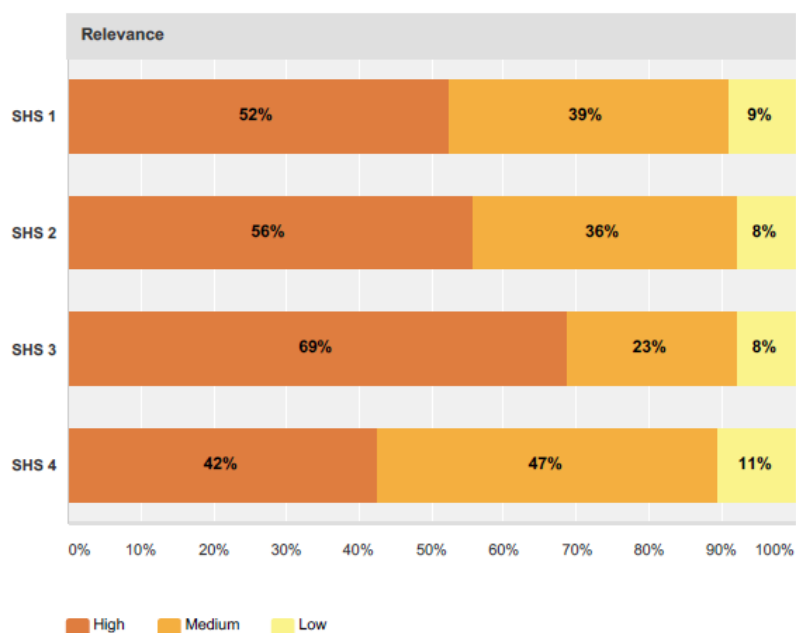
210. The Operational Strategy on Youth (2014-2021) gives UNESCO an agreed framework to harness the potential of the young generation for constructive change, sustainable development and peace. Coordinated by MP III, UNESCO will continue to leverage its multidisciplinary expertise to enable young women and men to engage in their societies and harness their full potential as agents and subjects of social and economic transformations. Operational activities will be developed through three complementary, transversal and interlinked axes: (a) policy formulation and review with the participation of youth; (b) capacity development for the transition to adulthood; (c) civic engagement, democratic participation and social innovation. Such efforts will also be geared towards addressing the core causes of youth vulnerability and supporting young women and men to take an active role in promoting peace and countering violent extremism, in line with United Nations Security Council Resolution 2250 on Youth, Peace and Security (2015). UNESCO will continue to pay particular attention to and support, whenever possible (e.g. through the UNESCO Youth Forum, an integral part of the General Conference), youth from LDCs, as well as from SIDS, in line with UNESCO's SIDS Action Plan and Implementation Strategy.

### **Thematic area 6: history, memory and intercultural dialogue**

211. As United Nations lead agency for the International Decade for the Rapprochement of Cultures (2013-2022), UNESCO will pursue its efforts to coordinate and contribute to the implementation of the Decade's Action Plan, which offers a comprehensive framework for the development, promotion and assessment of the outcomes of dialogue. In line with the Action Plan, UNESCO will focus on enhancing inter-sectoral and field-based responses and innovative cooperation in the following key areas: the promotion of intercultural and interreligious dialogue through closer inter-agency collaboration; the strengthening of cultural literacy through intercultural competence tools and programmes; and the production of globally comparable data on intercultural dialogue in the context of the 2030 Agenda. UNESCO will also continue to lead the preparation of the United Nations Secretary-General's annual report on the Promotion of a Culture of Peace and Interreligious and Intercultural Dialogue, Understanding and Cooperation for Peace.

212. In addition, mutual understanding and intercultural dialogue will also be fostered through the mobilization of history and memory in close connection with the strengthening of the humanities throughout MP III, drawing on UNESCO's internationally recognized expertise. Specific projects in this area will include the Slave Route Project: Resistance, Liberty, Heritage; the Pedagogical Use of the *General History of Africa* project; the cross-reading of the UNESCO General and Regional Histories; and the Silk Road Online Platform. This work will be conducted in close cooperation with field offices, other relevant United Nations organizations and other partners, and will include coordination of the UNESCO's contribution to the International Decade for People of African Descent (2015-2024).

**GRAPH MP III: ASSESSMENT OF 38 C/5 SOCIAL AND HUMAN SCIENCES THEMATIC AREAS  
ACCORDING TO RELEVANCE AND COMPARATIVE ADVANTAGE  
(based on Member States replies to the 39 C/5 questionnaire)**



- SHS 1** Mobilizing knowledge and values to equip societies to comprehend and accompany social transformations
- SHS 2** Participatory and inclusive policy formulation to promote equity, rights and ethical principles
- SHS 3** Peaceful and inclusive societies harnessing the potential of dialogue and the participation of youth
- SHS 4** Integrity and governance of sport as an enabler of sustainable development and peace.



## Major Programme IV – Culture

213. During the period 2018-2021, Major Programme IV will continue to support the two Overarching Objectives of the Medium-Term Strategy 2014-2021 of Peace and Sustainable development and lead work towards the achievement of Strategic Objectives 7 “Protecting, promoting and transmitting heritage” and 8 “Fostering creativity and the diversity of cultural expressions” of the Organization’s Medium-Term Strategy (2014-2021). It will do this through two Main Lines of Action (MLAs) and eight thematic areas as shown below, in accordance with lessons learnt, findings of recent evaluations, and the results and recommendations emanating from the first Strategic Results Report (199 EX/4 Part I (B)) and the Director-General consultations with Member States (See also Graph at the end of MP IV section).

214. Accordingly, priority action in the second quadrennium 2018-2021 will assist Member States in their efforts to implement the **six cultural conventions**. They will also be used as platforms to deliver on the 2030 Agenda for Sustainable Development and to respond to conflicts and natural disasters that have an impact on heritage and cultural diversity.

Major Programme IV – Culture		
<b>37 C/4 Strategic Objectives</b>	<b>Strategic Objective 7</b> Protecting, promoting and transmitting heritage	<b>Strategic Objective 8</b> Fostering creativity and the diversity of cultural expressions
<b>Proposed Main lines of action</b>	<b>MLA 1</b> Protecting, conserving, promoting and transmitting culture and heritage for dialogue and development	<b>MLA 2</b> Fostering creativity and the diversity of cultural expressions, as well as the safeguarding of intangible cultural heritage for sustainable development
<b>Proposed Thematic areas</b>	<ol style="list-style-type: none"> <li>1. Protecting and promoting tangible cultural and natural heritage (1972 Convention and the 2011 Recommendation on the Historic Urban Landscape) (SDG targets 4.7, 5.5, 5.c, 6.6, 8.3, 8.9, 11.4, 13.1, 14.5, 14.7, 15)</li> <li>2. Combating the illicit import, export and transfer of cultural property and enhancing the capacities of museums (1970 Convention and the 2015 Recommendation on Museums) (SDG targets 4.7, 5.5, 5.c, 11.4, 16.4, 16.a)</li> <li>3. Protecting cultural property in the event of armed conflict (1954 Convention and its two Protocols (1954 and 1999)) (SDG targets 4.7, 5.5, 5.c, 11.4, 16.4, 16.a)</li> <li>4. Protecting and managing underwater cultural heritage (2001 Convention) (SDG targets 4.7, 5.5, 5.c, 11.4, 14.5, 14.7)</li> <li>5. Protecting heritage and promoting cultural pluralism in complex emergencies through better preparedness and response (SDG targets 4.7, 5.5, 5.c, 11.4, 11.5, 11.b, 13.1, 13.3, 16.4, 16.a)</li> </ol>	<ol style="list-style-type: none"> <li>6. Safeguarding and enhancing the transmission of the intangible cultural heritage (2003 Convention) (SDG targets 2.4, 2.5, 3.d, 4.7, 5.5, 5.c, 8.3, 8.9, 11.4, 12.b)</li> <li>7. Fostering the diversity of cultural expressions and the development of cultural and creative industries (2005 Convention and the 1980 Recommendation on the Status of the Artist) (SDG targets 4.7, 5.b, 5.c, 8.3, 8.9, 10.a, 11.4, 12.b, 16.10)</li> <li>8. Monitoring and measuring the role of culture in the implementation of the 2030 Agenda (SDG targets 2.4, 2.5, 3.d, 4.7, 5.5, 5.b, 5.c, 6.6, 8.3, 8.9, 10.a, 11.4, 11.5, 11.b, 12.b, 13.1, 13.3, 14.5, 14.7, 15, 16.4, 16.10, 16.a)</li> </ol>
<b>Cross-cutting work</b>	<b>Cross-cutting</b> (across all thematic areas): <ul style="list-style-type: none"> <li>• Protecting heritage and promoting cultural pluralism in complex emergencies through better preparedness and response (housed under MLA 1)</li> <li>• Monitoring and measuring the role of culture in the implementation of the 2030 Agenda (housed under MLA 2)</li> <li>• Contribution to SDG targets 17.9, 17.16 and 17.7.</li> </ul>	

215. Cutting across the two Main Lines of Action on heritage and on creativity, this **transversal approach** responds to the findings of the recent evaluations of UNESCO's standard-setting work in culture that calls for synergies in the convention Secretariat's activities, in particular through the design of integrated operational programmes.

216. In delivering on these Main Lines of Action, UNESCO will sustain and strengthen its leadership on culture by undertaking its **core functions as standard-setter, capacity-builder and catalyst for international cooperation** in the context of the United Nations Reform and Delivering as One, the 2030 Agenda for Sustainable Development, African Union 2063 Agenda, the Paris Climate Change Agreement, the Samoa Pathway Outcome Document for SIDS, the Sendai Framework on Disaster Risk Reduction 2015-2030 and the forthcoming "New Urban Agenda" to be adopted at the Habitat III Conference in October 2016.

217. Drawing further from the recommendations made by the IOS evaluations of the conventions, the Culture sector will work to strengthen the normative and operational connexions that can lead to sustainable results through: (i) **capacity-building** to advance the operationalisation of the key provisions of the conventions, and (ii) **policy support** for their translation into legal and policy frameworks. In that respect, efforts will be invested to determine the impact of the conventions through effective monitoring systems and results frameworks. This will include strengthening periodic reporting exercises and the provision of technical assistance that can support country's efforts in this area. In parallel, Member States will be encouraged to reflect on international recognition systems in the context of the debates on the credibility and the sustainability of the statutory machinery, as per the analysis provided in the first Strategic Results Report (199 EX/4 Part I (B)).

218. The persisting funding gap between the resources available, as documented in the IOS Audit and evaluation reports, and the workload of the conventions' secretariats, means that the situation of the **culture conventions remains unstable and unsustainable**. Most identified challenges for MP IV could be tackled with adequate financial and qualified human resources and sustainable institutional partnerships to broaden the impact of the conventions. Equipped with this, the governance of the conventions as well as the support provided to Member States in terms both of long-term capacity-development activities and on-demand technical support services could be improved. With this in mind, Member States, and especially States Parties having ratified the conventions, should identify and focus on a limited number of key priorities, and contribute to their financing to bridge the gaps, including through adequate support to special funds established for human resources as well as through secondments, loans, or provision of qualified project staff. This will also imply a **focused commitment by and the proactive involvement of the governing bodies** and their structures in promoting this approach (Chairpersons, Bureaux, and Committees). Reinforced governance of these bodies and their collaboration with the Secretariat to maintain programme delivery capacity will be key for the future.

219. UNESCO's engagement in **protecting cultural heritage affected by natural disasters, in complex emergencies, including conflict situations**, has deepened in recent years. Appropriate financial and human resources to deliver at the scale needed will be required. This will include strengthening the Secretariat's capacities (institutional, financial and staff expertise) in human rights, security and conflict prevention in order to be able to engage across the board with United Nations partners. It will also require adjusting its presence in the field, given there are at present no established international posts in offices covering conflict-affected areas such as Syria and Iraq. This does not mean a departure from the core mandate of the Culture Sector and its six cultural conventions. On the contrary, while housed under MLA 1, it will give concrete application to UNESCO's fundamental mission by emphasizing the relevance of culture for priority themes such as conflict prevention, peacebuilding and human rights as well as implementing its *Strategy for reinforcing UNESCO's action for the protection of culture and the promotion of cultural pluralism in the event of armed conflict*.

220. The results achieved through the implementation of the culture conventions provide evidence to **monitor and measure the role of culture in the 2030 Agenda for Sustainable Development**. At the forefront of the Sector’s activities and housed under MLA 2, actions will be undertaken transversally to demonstrate the impact of culture and its role driving and enabling development.


**Supporting Member States in the implementation of the 2030 Agenda**

221. In addition to specific targets listed under SDG 11 to make cities and human settlements safe, sustainable and resilient for all, the implementation of the culture conventions directly or indirectly support the implementation of several SDGs including 2, 3, 4, 5, 6, 8, 10, 11, 12, 13, 14, 15 and 16. UNESCO’s work to protect culture in complex emergencies, including in conflict situations and those resulting from natural disasters also contributes to the implementation of the SDGs, in particular SDGs 4, 11, 13 and 16, aiming to strengthen resilience, promote peaceful and inclusive societies, address post-disaster and post-conflict displacement.

222. As pictured in the below table, culture conventions and their operational activities demonstrate how culture as an enabler can help achieve the 2030 Agenda by promoting: **an environment of peace and dialogue** as a necessary condition for socio-economic development; **a methodology for implementation** that recognizes local communities and their places as resources; creativity and innovation through **approaches that are inclusive and participatory**; and **people’s positive relationships** with their natural environment.

**Indicative mapping of the contribution of MP IV thematic areas to the implementation of the 2030 Agenda**

**MAJOR PROGRAMME IV**



	SDG 1	SDG 2	SDG 3	SDG 4	SDG 5	SDG 6	SDG 7	SDG 8	SDG 9	SDG 10	SDG 11	SDG 12	SDG 13	SDG 14	SDG 15	SDG 16	SDG 17
<b>Proposed Thematic Areas</b>	1. Protecting and promoting tangible cultural and natural heritage (1972 Convention and the 2011 Recommendation on the Historic Urban Landscape)			4.7	5.5 5.c	6.6		8.3 8.9			11.4		13.1	14.5 14.7	All		17.9 17.16 17.17
	2. Combating the illicit import, export and transfer of cultural property and enhancing the capacities of museums (1970 Convention and the 2015 Recommendation on Museums)			4.7	5.5 5.c						11.4					16.4	17.9 17.16 17.17
	3. Protecting cultural property in the event of armed conflict (1954 Convention and its two Protocols (1954 and 1999))			4.7	5.5 5.c						11.4					16.4	17.9 17.16 17.17
	4. Protecting and managing underwater cultural heritage (2001 Convention)			4.7	5.5 5.c						11.4			14.5 14.7			17.9 17.16 17.17
	5. Protecting heritage and promoting cultural pluralism in complex emergencies through better preparedness and response			4.7	5.5 5.c						11.4 11.5 11.b		13.1 13.3			16.4	17.9 17.16 17.17
	6. Safeguarding and enhancing the transmission of the intangible cultural heritage (2003 Convention)	2.4 2.5	3.d	4.7	5.5 5.c			8.3 8.9			11.4	12.b					17.9 17.16 17.17
	7. Fostering the diversity of cultural expressions and the development of cultural and creative industries (2005 Convention and the 1980 Recommendation on the Status of the Artist)			4.7	5.b 5.c			8.3 8.9	10.a	11.4	12.b					16.10	17.9 17.16 17.17
	8. Supporting the effective promotion and evaluation of the role of culture in the achievement of the 2030 Agenda Sustainable Development Goals	2.4 2.5	3.d	4.7	5.5 5.c	6.6		8.3 8.9	10.a	11.4 11.5 11.b	12.b	13.1 13.3	14.5 14.7	All	16.4	16.10	17.9 17.16 17.17

223. While not all of the activities of the Culture Sector will aim to support the achievement of all targets of the 2030 SDGs, nor are the current mandates of all culture conventions to work exclusively towards achieving all SDGs, actions will aim to support Member States to implement these goals as appropriate. This will be done through capacity-building as well as sector-wide activities to measure and monitor the role of culture in their implementation.

**Global Priority Africa**

224. As concerns Priority Africa, action will support the implementation of the African Union 2063 Agenda: “The Africa We Want” and its Ten-Year Implementation Plan 2014-2023, focusing in particular on **Aspiration 5 “Africa with a Strong Cultural Identity, Common Heritage, Values and Ethics”**. The focus will be on supporting African countries in strengthening their institutional and legal frameworks in cultural and natural heritage and the cultural and creative industries. This will be undertaken through activities to build national capacities to implement the culture sector recommendations and conventions. While ratification will be promoted where relevant, particular attention will be given to upstream policy efforts aiming to integrate the conventions into the

legislations, policies and strategies of Member States. Finally, field offices will work on consolidating the participation of UNESCO in the United Nations Regional Coordination Mechanism for Africa and its Cluster on “Advocacy, Information, Communications and Culture” to strengthen the contribution of culture to the implementation of the African Union Agenda 2063.

### Global Priority Gender Equality

225. The gender equality dimensions of the standard-setting work in culture will be deepened through **gender mainstreaming, as a means of supporting the implementation of SDG 5**. This will be done through a greater integration of gender equality in the periodic reports on the conventions. This will generate information and baseline data required to inform programme strategies, generate impact assessments and monitor gender mainstreaming policies. New capacity-building programmes and advocacy activities will be designed for Member States to support their efforts to elaborate and implement policies and strategies that support **equal rights of access to and participation in heritage and creativity**, as well as creators and producers of diverse cultural expressions. For this purpose, the eight recommendations of the first UNESCO report *Gender Equality: Heritage and Creativity* will be further promoted.

### Intersectoral cooperation

226. Intersectoral engagement supporting the implementation of the 2030 Agenda will focus on priority initiatives with emphasis on implementation in the field. This will include working with the Education Sector on the implementation of SDG 4 and, indirectly SDG 5, in particular as regards developing **technical and vocational skills** for decent jobs and entrepreneurship in the field of culture as well as on **global citizenship and the appreciation of cultural diversity**. In this regard, the role of education programmes that promote heritage values, the arts and creativity as well as cultural diversity will be emphasized, building on the corpus of values enshrined in the culture conventions and promoting them among youth as a primary target group. This will include links with the Memory of the World Programme managed by the Communication and Information Sector and constitute a key element of the Organization’s house-wide action to **prevent violent extremism and radicalization**, particularly in situations where cultural diversity and heritage are at risk. Joint initiatives will be undertaken with the Social and Human Sciences Sector to support access to culture for migrants and refugees as part of their cultural rights, using **cities** as platforms (SDGs 11 and 16); with the Natural Sciences Sector to protect natural heritage and reinforce the culture-nature nexus (SDGs 11, 13 and 14); with IOC in respect of SDG 14 on Oceans; and with CI in respect of artistic freedoms, as well as promoting diversity in media content, newsrooms and journalism classrooms (SDG 16).

227. MP IV will also contribute to house wide work on themes common to all sectors such as **climate change and disaster risk reduction**.

### Proposed key programmatic adjustments (compared with 38 C/5)

228. Recent years have witnessed **a radical refocusing of the work of the Culture Sector** with the implementation of the conventions as a priority that support Member States in implementing the 2030 Agenda for Sustainable Development; and in dealing with new and emerging challenges such as protecting culture and cultural diversity during and after conflicts, including through increased emphasis on the role of **heritage education to prevent violent extremism**. This requires a transversal approach across the culture conventions.

229. As indicated in the first Strategic Results Report (199 EX/4 Part I (B)), the current focus on **listing mechanisms under the 1972 and 2003 Conventions should be shifted to more important and long-term conservation and safeguarding mechanisms**. As stated in the Audit by the External Auditor for the 1972 Convention, there should be a refocus from nominations to conservation and effective management of existing sites. The same goes for the 2003 Convention, where the current emphasis should be moved from the Representative List to other mechanisms

that can support national safeguarding efforts. Discussions with the respective Governing Bodies will be necessary to implement these IOS recommendations.

230. **For all Conventions, capacity-building has to be a core activity** and needs to be strategically addressed by encouraging and assisting States Parties to introduce national legal frameworks and to implement them through regulatory, policy and other programmatic means.

### Programme delivery (normative and operational work)

231. For all thematic areas, Headquarters will provide the Secretariats of the different normative instruments and lead policy development and monitoring, working in conjunction with field offices to ensure effective support to Member States to translate the key provisions of the conventions and recommendations into legal frameworks and policy actions. Field offices will also work to integrate culture dimensions into relevant United Nations country programmes.

232. A **Sector-wide shared platform on “Cities, Culture, and Sustainable Development”** will provide an opportunity for increasing synergies across the conventions and bringing together the activities of the World Heritage Cities Programme and the Creative Cities Network, as well as the Recommendation on Historic Urban Landscapes, particularly in the context of SDG 11 on safe, sustainable, and resilient cities and Target 11.4 on protecting cultural and natural heritage. The platform will also be the focus for MP IV’s intersectoral engagement on cities.

### Partnerships

233. UNESCO’s work in culture will promote **South-South and North-South-South cooperation** and strengthen national and local capacities, innovation and exchange by means of its extensive **global networks** and assisting individuals, civil society and the private sector, including small- and medium-sized enterprises. For all conventions and recommendations, partnerships and collaboration will be pursued with a variety of stakeholders. These include, for example, UNESCO Networks and Chairs, category 2 centres, universities, regional organizations, conservation NGOs, the World Heritage Advisory Bodies, the 2005 Convention Expert Facility, the private sector and non-profit organizations from all regions of the world. The aim being to build and strengthen capacities of culture professionals, decision-makers and local communities, to undertake research activities and share good practices.

234. Partnerships with relevant institutions and agencies within and beyond the United Nations system including development agencies will be pursued in order to **integrate culture into development programmes and processes**. Strategic partnerships with selected actors will be established with United Nations entities and relevant NGOs, aimed at the effective implementation of the provisions of the culture conventions. **Cooperation with United Nations peacekeeping missions**, subject to Resolutions of the United Nations Security Council, will also be pursued.

### Proposed Main Lines of Action

#### **Main Line of Action 1: Protecting, conserving, promoting and transmitting culture and heritage for dialogue and development**

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235. Heritage in all its forms will continue to be promoted as a repository of knowledge, driver of economic growth, symbolic force for stability, conveyor of meaning and a vector for dialogue, cooperation and mutual understanding, especially in complex emergency situations.

236. Discharging the **statutory functions** necessary for the effective and efficient implementation of the 1954, 1970, 1972 and 2001 Conventions, will remain a priority of MLA 1, as well as the promotion and monitoring of the 2011 and 2015 Recommendations on the Historic Urban Landscape and Museums and Collections respectively.

237. Activities will be pursued to **promote ratification** of the tangible cultural heritage conventions by States not yet party to them, as prerequisites for the global implementation of the Organization's normative action to protect and promote the informed and sustainable management of such heritage against overexploitation, ill-advised development, natural disasters, civil unrest and armed conflicts.

**Thematic area 1: Protecting and promoting tangible cultural and natural heritage (1972 Convention and the 2011 Recommendation on the Historic Urban Landscape) (SDGs 4, 5, 6, 8, 11, 13, 14, 15)**

238. The informed and sustainable management of the world's cultural and natural heritage against these threats will be protected and promoted especially by pursuing the goals set out in the **World Heritage Strategic Action Plan 2012-2022** and the World Heritage policy on sustainable development adopted in 2015.

239. Efforts will continue to **enhance the credibility of the 1972 Convention including Tentative Lists, nominations** clearly demonstrating outstanding universal value, and decision-making by the World Heritage Committee. Ways will be identified to manage the pressures outlined in the recommendations of the External Auditor on the Global Strategy, and the IOS Audit on Working Methods of UNESCO's Culture Conventions, regarding the need to **focus on protection and safeguarding mechanisms**.

**Thematic area 2: Combating the illicit import, export and transfer of cultural property and enhancing the capacities of museums (1970 Convention and the 2015 Recommendation on Museums) (SDGs 4, 5, 11, 16)**

240 The fight against the **illicit trafficking in cultural property** will build on the new impetus - and new obligations – arising from the adoption in 2015 of United Nations Security Council Resolutions 2199 and 2253, which highlighted the importance of UNESCO's mandate in the protection of cultural heritage. Strong partnerships will be developed with the art market, the United Nations Security Council Sanctions Monitoring Team, Interpol, UNODC, UNIDROIT, the World Customs Organization, ICOM and ICOMOS – to staunch such flows and to counter the financing of terrorism.

241. Particular attention will be placed on **boosting ratifications in conjunction with those of the UNIDROIT Convention**; the **harmonization of national legislations** with the 1970 Convention to ensure greater conformity; as well as further engaging the art market and consolidating cooperation with its actors and others.

242. Global events including meetings of the **UNESCO High-Level Forum on Museums** will be used to promote the **2015 Recommendation** and stimulate international cooperation among museums in key areas such as sustainable development and intercultural dialogue.

**Thematic area 3: Protecting cultural property in the event of armed conflict (1954 Convention and its two Protocols (1954 and 1999)) (SDGs 4, 5, 11, 16)**

243. Priority attention will be given to increasing the levels of ratification to the 1954 Convention and its two (1954 and 1999) Protocols, and to **further developing strategies and tools aiming to strengthen their operational application**, in particular in view of the new types of conflicts that involve non-state actors. These include the ongoing necessary reflection on the concepts of "responsibility to protect", in-country "safe havens" and "protected cultural zones".

#### **Thematic area 4: Protecting and managing underwater cultural heritage (2001 Convention) (SDGs 4, 5, 11, 14)**

244. Priority attention will be given to increasing the levels of ratification to the 2001 Convention and on the work of its **Scientific and Technical Advisory Body (STAB)** to support Member States to develop their capacities to protect underwater cultural heritage, especially against pillage and commercial exploitation as well as industrial destruction. Efforts will continue to promote underwater cultural heritage research, improve education, awareness-raising, human and institutional capacities on **climate change** mitigation, adaptation and impact reduction. These activities will be undertaken in partnership with category 2 centres and the UNITWIN Network.

#### **Thematic area 5: Protecting heritage and promoting cultural pluralism in complex emergencies through better preparedness and response (SDGs 4, 5, 11, 13, 16)**

245. Emergency preparedness and response will be engaged transversally across the culture conventions. This will involve the establishment of **more integrated operational programmes** in crisis management to deal with destruction as well as specific activities to respond to emergencies resulting from conflicts and natural disasters. Long-term action to promote **peacebuilding, reconciliation, preparedness, and resilience** will be pursued through the establishment of a rapid response mechanism that is a roster of experts ready to be deployed. The sensitive issue of “reconstruction” in post-conflict and post-disaster cases will also be carefully addressed, both at conceptual and operational levels. Actions will be undertaken to enhance global awareness of the importance of intangible cultural heritage and creativity for peace, as appropriate.

#### **Main Line of Action 2: Fostering creativity and the diversity of cultural expressions, as well as the safeguarding of intangible cultural heritage for sustainable development**

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246. The power of culture, creativity, and innovation in all its forms will continue to be promoted to foster sustainable development.

247. Discharging the **statutory functions** necessary for the effective and efficient implementation of the 2003 and 2005 Conventions, as well as monitoring the 1980 Recommendation on the Status of Artists, will remain a priority of MLA 2. Particular attention will be placed on the further development of global capacity-building and knowledge management programmes.

#### **Thematic area 6: Safeguarding and enhancing the transmission of the intangible cultural heritage (2003 Convention) (SDGs 2, 3, 4, 5, 8, 11, 12)**

248. The 2003 Convention’s potential as a powerful tool to improve the social and cultural well-being of communities and to mobilize innovative and culturally appropriate responses to the various challenges of sustainable development will be fully explored. The Intangible Heritage Convention will continue to serve as **a tool for bridging heritage and creativity** at the community, national and international levels. Emphasis will continue to be placed on the **global capacity-building programme** as well as the sound delivery of statutory functions for the implementation of the Convention. Outreach and awareness-raising on the importance of Intangible Cultural Heritage both as a **vehicle of social cohesiveness** at the community level and **a catalyst for the safeguarding of cultural diversity** at the global level will be increased. Particular attention will be paid to the **role of intergenerational transmission** of intangible cultural heritage, at the core of safeguarding, within the context of formal and informal education.

249. The Secretariat will continue to provide technical support for capacity-building and respond to requests by Member States for activities aimed at safeguarding intangible cultural heritage including the preparation of **inventories and safeguarding elements on the Urgent Safeguarding List**.

**Thematic area 7: Fostering the diversity of cultural expressions and the development of cultural and creative industries (2005 Convention and the 1980 Recommendation on the Status of the Artist) (SDGs 4, 5, 8, 10, 11, 12, 16)**

250. Actions for the 2005 Convention will concentrate on supporting sustainable systems of governance for **creativity**, promoting preferential treatment measures to facilitate a balanced flow of **cultural goods and services** and the mobility of **artists and cultural professionals**, integrating creativity in national sustainable development plans and international assistance programmes, promoting **artistic freedom** and the social and economic rights of artists.

251. Capacity-building and knowledge management for policy making is to be achieved through demand driven technical support. The **Convention's Expert Facility** providing local expertise required to implement capacity development activities will be expanded to better provide policy guidance in a variety of relevant areas, including digital issues, preferential treatment and artistic freedoms. Strengthened international cooperation to support the collection of information, data and best practices to be disseminated through the **Convention's global report and the UNESCO Culture for Development indicators**, will be essential to the effective monitoring of the Convention as a means to determine its impact. The **UNESCO-Aschberg Programme** for Artists and Cultural Professionals has been redesigned in this context. Synergies will be created with other international instruments, in particular, the **1980 Recommendation on the Status of Artists**.

252. The **Creative Cities Network** will be further developed to better capitalize on cities and local governments as major partners for promoting sustainable development. International cooperation between cities of developed and developing countries will be pursued. In this regard, the Network will continue to explore the challenges of rapid global urbanization and urban renewal and further promote cities as the vanguard of creativity and innovation.

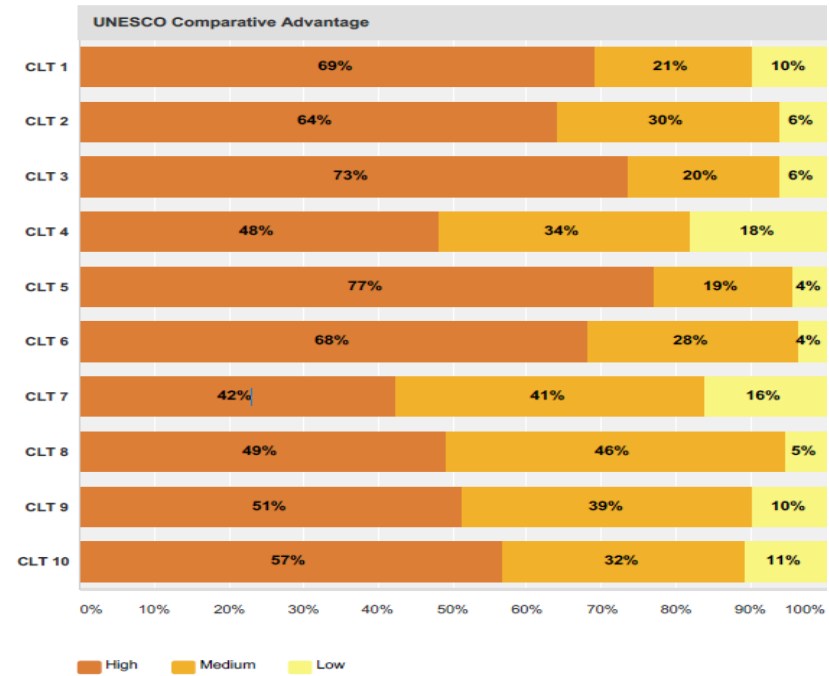
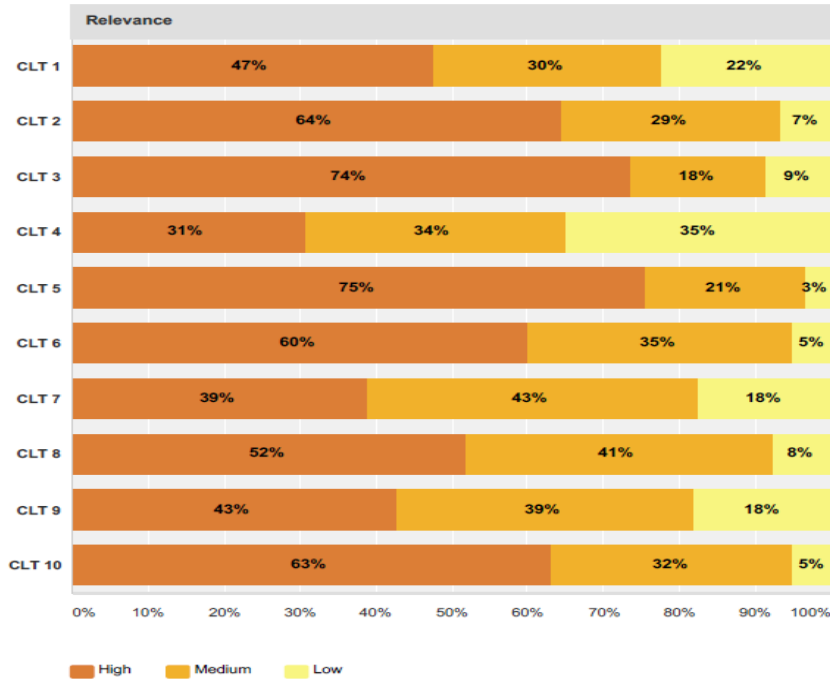
**Thematic area 8: Monitoring and measuring the role of culture in the implementation of the 2030 Agenda (SDGs 2, 3, 4, 5, 6, 8, 10, 11, 12, 13, 14, 15, 16)**

253. Efforts will be **engaged transversally across the six culture conventions** to deepen research and to develop and implement new methods, analytical and statistical tools and indicators to support national efforts to **monitor and measure the role of culture for the effective implementation of the 2030 Agenda**.

254. Building on operational guidelines, directives and policy documents already adopted by the 1972, 2003, and 2005 Conventions governing bodies, actions will focus on providing input to capacity-building, policy and technical support to Member States for the effective implementation of the relevant SDGs. Activities will concentrate on enhanced international cooperation to develop appropriate methods, tools and indicators to assist in measuring, monitoring and analysis, and to collect information, data and good practices through knowledge management tools. This thematic area will seek to reflect the important policy dimension and provide evidence of the transversal role of culture in sustainable development when implementing the Agenda 2030. This evidence will emanate from the implementation of the conventions by Member States. This thematic area would not aim to create new coordination functions.



**GRAPH MP IV: ASSESSMENT OF 38 C/5 CULTURE THEMATIC AREAS  
ACCORDING TO RELEVANCE AND COMPARATIVE ADVANTAGE  
(based on Member States replies to the 39 C/5 questionnaire)**



- CLT 1:** Protecting cultural property in the event of an armed conflict (1954 Convention and its two Protocols)
- CLT 2:** Combating illicit import, export and transfer of cultural property and enhancing the capacities of museums (1970 Convention and 2015 Recommendation concerning the Protection and Promotion of Museums and Collections, their Diversity and their Role in Society)
- CLT 3:** Identifying, protecting, monitoring and sustainably managing tangible heritage (1972 Convention and 2011 Recommendation on the Historic Urban Landscape)
- CLT 4:** Protecting underwater cultural heritage (2001 Convention)
- CLT 5:** Safeguarding the intangible cultural heritage, including indigenous and endangered languages (2003 Convention)
- CLT 6:** Sustaining and promoting the diversity of cultural expressions (2005 Convention and 1980 Status of the Artist Recommendation)
- CLT 7:** Mainstreaming Gender Equality through the implementation of the culture conventions
- CLT 8:** Culture for Sustainable Development, in particular through sustainable urban development within the 2030 Agenda
- CLT 9:** Emergency preparedness and response, including the implementation of the 2015 strategy to reinforce UNESCO's action for the protection of culture and the promotion of cultural pluralism in the event of armed conflict
- CLT 10:** Educational programmes to promote heritage values, creativity and cultural diversity.

## Major Programme V – Communication and Information

255. UNESCO's Major Programme V (MP V) has a recognized niche within the United Nations system as the key player in addressing current and emerging global challenges through a strategic focus on the contribution of communication and information to building inclusive knowledge societies which enable sustainable development.<sup>14</sup> Hence, the Communication and Information Sector (CI) will continue to strengthen freedom of expression, media development and access to information and knowledge through ICTs so that UNESCO's Member States attain the Agenda 2030 for Sustainable Development.

256. In their replies to the UNESCO's Questionnaire on the Programme and Budget for the period 2018-2021 (39 C/5), Member States stressed the importance of UNESCO's mandate in Communication and Information and its role in and contribution to the achievement of the SDGs. They considered all Communication and Information thematic areas as generally highly relevant to their countries' needs and priorities, with the majority highlighting, in particular, the following areas: ICTs in education and open ICT solutions; Memory of the World Programme; and freedom of expression and press freedom, including safety of journalists (See Graph at the end of MP V section).

257. The CI Sector will provide the lead for contributing to the Strategic Objective (SO) 9 of the Medium-Term Strategy 2014-2020 entitled "Promoting freedom of expression, media development and access to information and knowledge". During the 2018-2021 quadrennium, the CI Sector will pursue the Organization's SO 9 and contribute to the implementation of the 2030 Agenda for Sustainable Development in a focused manner. MP V will build on the achievements realized during 2014-2017 and concentrating on the following priority thematic programme areas:

Major Programme V – Communication and information		
<b>37 C/4 Strategic Objective</b>	<b>SO9: Promoting freedom of expression, media development and access to information and knowledge</b>	
<b>Main lines of Action</b>	<b>MLA 1</b> Fostering freedom of expression online and offline, promoting the safety of journalists, advancing diversity and participation in media, and supporting independent media	<b>MLA 2</b> Enabling universal access to, and preservation of, information and knowledge
<b>Proposed Thematic areas</b>	1. Press freedom, freedom of expression including the right to access information, and the implementation of the UN Plan of Action for the Safety of Journalists and the Issue of Impunity Impacting SDGs: All, and especially 5, 16.10 and 17	4. Universal access to information through open and inclusive solutions and innovative use of ICTs for sustainable development. Impacting SDGs: All, and especially 4, 5, 8, 9, 12, 16 and 17.
	2. Media and journalism in emergency and disaster; gender equality in media; media diversity; media and information literacy (MIL). Impacting SDGs: 4, 5, 16, 17	5. Preserving and promoting documentary heritage through the Memory of the World Programme and its new normative framework. Impacting SDGs: 4 and 5
	3. Strengthening norms and knowledge for media development, including through IPDC indicators-based research and grassroots projects that support freedom of expression. Impacting SDGs: All	6. Fostering knowledge societies for sustainable development and peace, through the implementation of the World Summit on the Information Society (WSIS) outcomes, the priorities of the Information for All Programme (IFAP), and the related normative framework. Impacting SDGs: 4, 5 and 16

<sup>14</sup> UNESCO. 2015. *Keystones to foster inclusive Knowledge Societies: Access to information and knowledge, Freedom of Expression, Privacy, and Ethics on a Global Internet* <http://www.unesco.org/new/en/communication-and-information/crosscutting-priorities/unesco-internet-study/>

**Supporting Member States in the implementation of the 2030 Agenda**

258. For 2018-2021, MPV will maintain the existing programmatic framework of two Main Lines of Action (MLAs), focusing on specific thematic areas and enabling the CI Sector to make distinctive and complementary contributions to how communication and information advances sustainable development, and specifically through action aimed at supporting Member States in the achievement of SDGs 4, 5, 8, 9, 11 and 16. In this context, ICTs have the power to play a crosscutting enabling role to achieve all the SDGs. Likewise, programmes that foster free public, private and community media, both off-line and on-line, promote the accomplishment of the SDGs. Through its leadership of the United Nations Plan of Action on the Safety of Journalists and Issues of Impunity, UNESCO continues to build a safe environment for access to information and fundamental freedoms. The Programme includes regular monitoring of the progress of SDG target 16.10 and fulfilling the role of custodian agency for global reporting on indicator 16.10.2.

**Indicative mapping of the contribution of MP V thematic areas to the implementation of the 2030 Agenda**

MAJOR PROGRAMME V



<b>Proposed Thematic Areas</b>	1. Press freedom, freedom of expression including the right to access information, and the implementation of the UN Plan of Action for the Safety of Journalists and the Issue of Impunity					5.b 5.c				9.c							16.10	17.9 17.16 17.17
	2. Media and journalism in emergency and disaster ; gender equality in media ; media diversity ; media and information literacy			4.7		5.b 5.c											16.10	17.9 17.16 17.17
	3. Strengthening norms and knowledge for media development, including through IPDC indicators-based research and grassroots projects that support freedom of expression			4.7		5.b 5.c											16.10	17.9 17.16 17.17
	4. Universal access to information through open and inclusive solutions and innovative use of ICTs for sustainable development			4.1 4.b		5.b 5.c		8.6	9.c			12.8					16.a	17.8 17.16 17.17
	5. Preserving and promoting documentary heritage through the Memory of the World Programme and its new normative framework			4.7		5.b											16.7	
	6. Fostering knowledge societies for sustainable development and peace, through the implementation of the World Summit on the Information Society (WSIS) outcomes, the priorities of the Information for All Programme (IFAP), and the related normative framework			4.1		5.b 5.c			9.c								16.10 16.a	17.8 17.16 17.17

*N.B.: Thematic Area 4 above has a cross-cutting enabling role to help achieve all SDGs.*

259. Communication and media are central to promoting sustainable development and democracy. The right to freedom of expression underpins a free, pluralistic, inclusive and independent media environment as well as freedom of information. These are preconditions for optimizing progress in regard to building knowledge societies. On this basis, public access to information, the safety of journalists, youth and gender equality in and through media, diversity and plurality in media, improved professional standards and the empowerment of people with media and information literacy, are advanced. This enables journalists to make an independent contribution to achieving the 2030 Agenda for Sustainable Development.

260. Knowledge has always remained crucial to human development. The high-level panel of eminent authorities on SDGs recognized the “Knowledge Challenge” as one the key barriers to achieving sustainable development. Innovation in ICT for learning and equal participation in societal development will be essential for achievement of SDG4 and 11, which calls for equitable and inclusive access to quality education for lifelong learning, including most marginalized social groups.

261. Advances in ICT and increasingly inter-connected Knowledge Societies also underscore the importance of ensuring a push to creativity and innovation through an “Open Solutions” approach towards empowerment and social, economic inclusion of all (SDG 10.2) and the reduction of the proportion of youth not in employment, education or training (SDG 8.6).

262. In addition, MP V will contribute transversally towards fulfilling the commitments made under the SIDS (Small Island Development States) Action Plan as related to CI's mandate, particularly under Thematic areas 2, 4, 5 and 6. Specific interventions will be strategized to mobilize youth to contribute to sustainable development through the use of ICTs and the Internet. UNESCO will continue to actively participate in the Broadband Commission for Sustainable Development to help governments harness broadband networks and services to meet the 17 SDGs.

263. Concerning SDG 13 and under the Paris Agreement, action would be targeted at strengthening the monitoring and public awareness-raising role of free, independent and pluralistic media as regards climate change and protection of environment. Least developed countries (LDCs) will continue to receive priority attention, such as through IPDC grant-making and bridging the digital divides related activities.

264. Given Internet's centrality in modern societies and its increasing social and political impacts in a digital age, MP V is able to tackle these emerging areas by implementing the 38 General Conference Resolution which endorsed Connecting-the-Dots Multi-Stakeholder Outcome Document that contains 38 options for UNESCO's future actions on Internet-related issues. This includes promoting the UNESCO concept framework of Internet Universality which highlights the principles of Rights, Openness, Access and Multi-stakeholder participation as pillars for the Internet's contribution to knowledge societies.

### **Global Priority Africa**

265. Cooperation with the African Union and the Pan-African Parliament will be reinforced, particularly in the domain of freedom of expression and access to information, education and knowledge, including with respect to the United Nations Plan of Action on the Safety of Journalists and the Issue of Impunity, journalism education, support to the establishment of self-regulatory frameworks and Media and Information Literacy. MPV will support the implementation of the African Union 2063 Agenda and its Ten Year Implementation Plan 2013-2023. The Agenda 2063 Goals related to peace, security, and human rights, via Goals 11, 13, 14, and 18 will be implemented particularly through MPV's ERs 1, 2, 3, 4, and 6. CI will continue empowering local radios in Africa with ICTs, thanks to support from Sweden to cover 10 sub-Saharan countries and 59 radio stations.

### **Global Priority Gender Equality**

266. The CI Sector continues to systematically promote gender equality through specific gender programming as well as gender mainstreaming in all actions. CI specifically advances gender equality in media, in both media operations and content. It helps Member States apply UNESCO's Gender-Sensitive Indicators for Media and drives change globally by strengthening international, regional and national cooperation. Accordingly, mainstreaming will be reinforced by incorporating gender equality and women's empowerment components in all projects and initiatives, and specific activities will also be rolled out, in order to promote gender inclusive policies both in media and building knowledge societies through ICTs.

### **Intersectoral cooperation**

267. The CI Sector will continue working across the different UNESCO Sectors aiming at achieving synergies and yield beneficial results. Cooperation with the Education Sector on ICT's in education and the open access to educational resources (OER) will be strengthened. CI and the Science Sector share thematic priorities on Disaster Risk Reduction (DRR), Open Access, and ICTs and Sciences programmes. To support communication efforts during disaster and emergency situations and media coverage on climate change, collaboration with the Science Sector will produce promising results. CI will pursue its cooperation with SHS on issues such as empowering youth, information-ethics and social cohesion as well as disability related themes. CI and Culture would cooperate in the area of Languages and MOW efforts and freedom of cultural expression.

Media and information literacy synergize well with Education Sector activities. Collaboration with the Culture Sector on the promotion of cultural diversity in media content, in newsrooms as well as journalism classrooms, can yield positive results. Collaboration will continue with Education and with Social and Human Sciences on youth and social cohesion themes and fighting radicalization and the “Net-MED” project. Internet Universality and World Radio Day lend themselves to cooperation across all Sectors.

268. The CI Sector will promote actions in relation to the SDGs in an intersectoral manner. The very nature of programmatic action of MPV is transversal, with the ability to synergize with other Major Programmes, providing a platform for strong intersectoral collaboration, particularly in the areas of SDGs of transversal nature, such as SDG 4 on education, as well as programmes on prevention of radicalization leading to violence, and others on disability inclusive initiatives.

269. MP V tackles complex challenges on Internet such as online hate speech, including misogyny, radicalization and incitement to violence and online threats to journalists, in particular women journalists and other vulnerable groups including persons with disabilities and speakers of lesser-used languages, as well as long-term digital heritage preservation and accessibility as part of the cultural and social memory of humanity, in a comprehensive and holistic manner. This also positions MPV to contribute to the follow-up of the “Outcome document of the high-level meeting of the General Assembly on the overall review of the implementation of the outcomes of the World Summit on the Information Society”, adopted in December 2015.

270. Lack of competencies to use diverse resources and tools for development of new knowledge is another key challenge. New literacy paradigm entitled Media and Information Literacy developed by UNESCO, including Global Media and Information Literacy Assessment Framework provides a basis for informed decision making and implementation of targeted initiatives, in particular the critical role that technology literacy plays in spurring young women (SDG 5.8) and men creativity fostering their capacity to participate in economic, social and environmental development of urban and rural areas (SDG 11).

### **Proposed key programmatic adjustments (compared with 38 C/5)**

271. The Communication and Information Sector had already streamlined a number of low performing activities in the past quadrennium. Consequently, for document 39 C/5, there are no plans for phasing out other additional activities.

### **Partnerships**

272. UNESCO has the mandate and reputation for collaborative action to make a significant impact, working closely with Member States to accomplish all objectives related to media, freedom of expression, safety of journalists and access to and preservation of information and knowledge. It leads two large coalitions: GAMAG (Global Alliance for Media and Gender) and GAPMIL (Global Alliance for Media and Information Literacy). Further partnerships are with key organizations such as UN agencies (e.g. UN Women, UNDP, OHCHR, ILO, WHO, and World Bank), associations of journalists and media organizations, regulatory and self-regulatory bodies, media outlets, media support NGOs, intergovernmental organizations (e.g. Council of Europe, OSCE, EU, Arab league, International Red Cross, Open Government Partnership, Freedom Online Coalition), Parliaments, Judiciary, Police, media training institutions, journalism schools and academic institutions as well as experts and partners in the private sector.

### **Programme delivery**

273. Activities planned under MP V will be largely conducted through UNESCOs field networks. Extrabudgetary funds are engaged at country level, with overall coordination provided by Headquarters. While UNESCOs field network will be involved in implementing various activities, actions at Headquarters will primarily be to analyse new trends, generate research, strengthen and

expand networks, and mobilize extrabudgetary funds. Headquarters will also be involved in ensuring the clearing-house function of CI.

274. Furthermore, MPV continues to promote action to meet UNESCO's global priorities. Africa and Gender Equality.

### **Proposed Main lines of Action**

#### **Main Line of Action 1: Fostering freedom of expression online and offline, promoting the safety of journalists, advancing diversity and participation in media, and supporting independent media**

275. Programmes and actions in MLA 1 support the promotion of Education (SDG 4), Gender Equality (SDG 5), access to information and fundamental freedoms (SDG 16) and revitalizing diverse range of partnerships. (SDG 17). UNESCO also advances the right to information, and leads the United Nations' reporting on progress towards SDG target 16.10 concerning public access to information and fundamental freedoms.

#### **Thematic Area 1: Press freedom, freedom of expression including the right to access information, and the implementation of the UN Plan of Action for the Safety of Journalists and the Issue of Impunity**

276. Through the implementation of the United Nations Plan of Action on the Safety of Journalists and the Issue of Impunity, UNESCO aims to create a free and safe environment for journalists, both in conflict and non-conflict situations, with a view to strengthening peace, democracy and development worldwide. Its work includes, among other undertakings, supporting countries to develop legislation and mechanisms favourable to press freedom, freedom of information, and safety of journalists, online and offline.

277. UNESCO's work in this area includes awareness-raising through World Press Freedom Day, the International Day to End Impunity for Crimes Against Journalists, and the International Day for Universal Access to Information. Furthermore, UNESCO awards annually the UNESCO-Guillermo Cano World Press Freedom Prize to honour a person, an organization or an institution that has made an outstanding contribution to the defense and/or promotion of press freedom. It also involves capacity-building for independent self-regulation, and advocating for the concept of Internet universality in relation to challenges in the digital area such as privacy issues, hate speech, sexual harassment, and incitement to violence in social media.

#### **Thematic Area 2: Media and journalism in emergency and disaster; gender equality in media; media diversity; media and information literacy (MIL)**

278. UNESCO occupies a leading role in the United Nations system in promoting Media and Information Literacy (MIL), youth media production, and gender equality in and through the media. The Organization is the only United Nations agency advancing community radio, and enhancing media capacity for responding to emergency and disasters, including coverage of violent extremism. UNESCO also has overall leadership in raising awareness and mobilizing international action through international days such as World Radio Day.

279. Diversity of audiences, sources, and content in the media are essential for both giving the voice to and satisfying the information needs and interests of all, which is also indispensable when media performs during disaster and emergency situations. By means of the application of the Gender-Sensitive Indicators for Media, the Linking Generations toolkit, and Media and Information Literacy resources, media are capacitated to tackle the issue of diversity and be agents for social cohesion, development and democracy. Empowered audiences have the ability to critically evaluate, and contribute to, media content, as well as have the competencies to participate effectively in dialogue and to engage safely with the Internet. UNESCO will continue to foster community media as key to the diversity of media systems (public, commercial and community),

whereas the worldwide observance of World Radio Day (WRD) serves to promote diversity of channels (radio, press, etc.).

### **Thematic Area 3: Strengthening norms and knowledge for media development, including through IPDC indicators-based research and grassroots projects that support freedom of expression**

280. By means of normative and operational project work, IPDC helps to develop free, independent and pluralistic media in developing countries in order to strengthen their overall contribution to achieving sustainable development goals. The Programme further generates knowledge to support effective media policy, through studies using the Media Development Indicators, through the IPDC's unique monitoring and reporting mechanism on the safety of journalists and impunity issues, and through coordinating global reporting on SDG 16.10.2 concerning public access to information and fundamental freedoms. The Programme's Global Initiative for Excellence in Journalism Education works to improve journalism education around the world. The Programme's grant-making supports all areas of MLA1.

### **Main Line of Action 2: Enabling universal access to, and preservation of, information and knowledge**

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281. UNESCO's vision of knowledge societies for sustainable development recognizes the impact of new technologies on society, culture and economy – as core dimensions of development. The decisions taken by the United Nations General Assembly in 2015 had set the international community's agenda for the future – in particular through the World Summit on the Information Society Review (WSIS+10), the 2030 Agenda for Sustainable Development and the Paris Agreement by the UNFCCC. UNESCO's work towards those goals, within its mandate, will be driven by its commitment to knowledge societies and Internet universality, aimed at securing positive economic, social and cultural change in the increasingly digital environment that all countries will experience during the next fifteen years, when the delivery on most Sustainable Development Goals (SDGs) will be reviewed. MLA 2 is well aligned with the 2030 Agenda and supports the implementation of all 17 Sustainable Development Goals. UNESCO will contribute to achieve the 2030 Agenda for Sustainable Development (Goal 11) and United Nations Convention on the Rights of Persons with Disabilities (2006).

282. Primary partnership between UNESCO on issues regarding MLA2 would be forged with member states, key organizations (e.g. United Nations agencies, international non-governmental organizations, academic institutions) and bilateral donors.

283. To support Priority Africa, CI will deliver dedicated ICT-relevant activities in the framework of MLA 2 for building institutional capacities for sustainable development and poverty eradication in Africa. KSD will work closely with African Higher Education Institutions and civil society to document and promote linguistic diversity in Africa through a development of UNESCO World Atlas of Languages. Furthermore, CI will ensure that all activities implemented in its various functions improve the health, education, rights and security of women and girls internationally and to reducing gender-based exclusion and gaps in access and use of ICTs.

### **Thematic Area 4: Universal access to information through open and inclusive solutions and innovative use of ICTs for sustainable development**

284. The second World OER Congress, to be held in September 2017, will focus on supporting Member States in overcoming challenges to mainstreaming OER in teaching and learning in a lifelong perspective, in support of SDG 4. Furthermore, version 3 of the ICT CFT will be launched in 2017 to provide an internationally recognized framework for addressing teacher training for use of technologies in emerging Knowledge Societies. UNESCO's work in Open Access (OA) will continue to leverage on the strategy that was adopted by the Member States in 2011. The Organization will continue its work in the area of advocacy, bridging, capacity-building and dissemination of OA tools, processes and contents by building partnerships and facilitating

cooperation with all relevant stakeholders. UNESCO will continue to support Member States in developing long-term strategies to scale up access to the necessary twenty-first century technology skills, FOSS tools and methodologies, harnessing the significant potential of mobile and connected devices in addressing sustainable development issues.

#### **Thematic Area 5: Documentary heritage preserved and promoted through the Memory of the World Programme and its new normative framework**

285. Efforts will be made to raise further the profile of the Memory of the World Programme and reinforce its impact as a global mechanism of raising awareness about the importance of preservation, dissemination and accessibility to documentary heritage, including in digital form; as an invaluable asset of humanity and an expression of the richness and the diversity of peoples and cultures. Facilitate networking for effective international cooperation to address long-term preservation and accessibility challenges, including through promotion of comprehensive preservation policies at the country level will also be a priority as well as exploring possible synergies with the other UNESCO heritage programmes for better understanding of cultural and documentary heritage as a bridge to social cohesion, mutual understanding and a basis for reconciliation and peace-building. Also, guidelines will be elaborated for assisting Member States in the implementation of the Recommendation Concerning the Preservation of, and Access to Documentary Heritage, including in Digital Form.

#### **Thematic Area 6: Knowledge societies for sustainable development and peace strengthened through the implementation of the World Summit on the Information Society (WSIS) outcomes, the priorities of the Information for All Programme (IFAP), and the related normative framework**

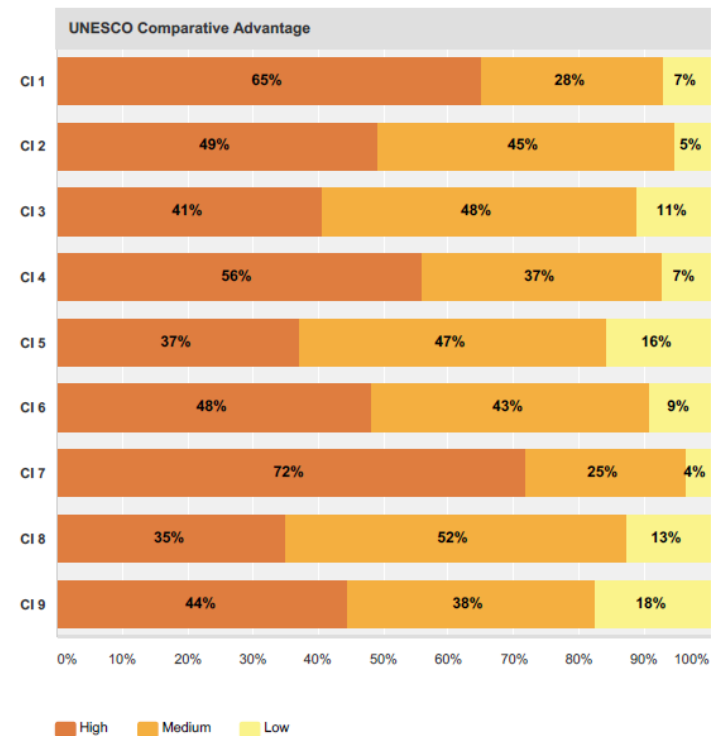
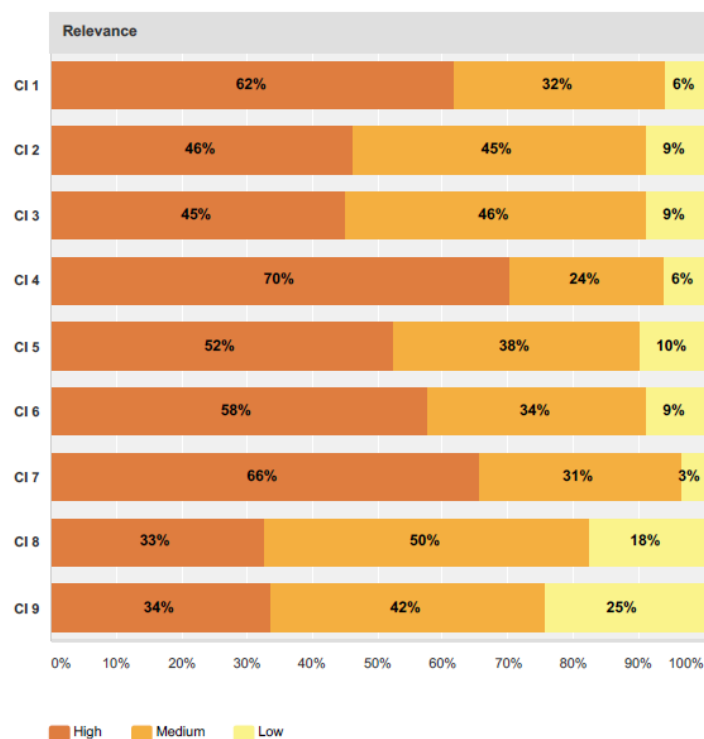
286. UNESCO's coordinated overall contribution to the follow-up to the World Summit on the Information Society (WSIS) outcomes will focus on the overarching impacts which digital technologies, communications and information services will have during the next decade, until WSIS+20, on economies, societies and cultures as a whole. UNESCO will assist Member States in paying particular attention to the opportunities, challenges and impacts that can be anticipated in its core competencies and the six WSIS Action Lines on access to information and knowledge, e-learning, e-science, cultural and linguistic diversity, media, and the ethical dimensions of information and knowledge societies.

287. The implementation of UNESCO's Recommendation concerning the Promotion and Use of Multilingualism and Universal Access to Cyberspace (2003) will be reinforced by a multi-tiered interactive platform entitled "World Atlas of Languages" with the aim to safeguard linguistic diversity, encourage digital documentation and preservation of resources in multiple languages, as well as exchange of scientific data and encourage civic participation of speakers of lesser used languages such as indigenous people.

288. Equitable access to information and knowledge is crucial for the realization of the 2030 sustainable development goals and targets. Through activities in its six strategic priority areas of information accessibility, information for development, information ethics, information literacy, information preservation and multilingualism in cyberspace, IFAP will support the exchange of international experiences, capacity-building of policy-makers and vulnerable group and development of policy resources and response frameworks that support Member States, particularly developing countries and SIDS, to meet the international targets.



**GRAPH MPV: ASSESSMENT OF 38 C/5 COMMUNICATION AND INFORMATION THEMATIC AREAS  
ACCORDING TO RELEVANCE AND COMPARATIVE ADVANTAGE  
(based on Member States replies to the 39 C/5 questionnaire)**



- CI 1** Freedom of expression and press freedom, including safety of journalists
- CI 2** Media development through the International Programme for the Development of Communication (IPDC)
- CI 3** Enhanced pluralistic media and empowered audiences
- CI 4** Information and Communication Technology (ICT) in education and open ICT solutions for building inclusive knowledge societies
- CI 5** ICTs for creating employment and achieving the Sustainable Development Goals (SDGs)
- CI 6** Universal access to knowledge including persons with disabilities, linguistic minorities, people living in remote areas and other marginalized and vulnerable social groups (2003 Recommendation on the Promotion and Use of Multilingualism and Universal Access to Cyberspace)
- CI 7** Preservation of documentary heritage including through the Memory of the World Programme (MoW)
- CI 8** Implementation of the World Summit of the Information Society (WSIS) outcomes
- CI 9** Outcomes of the Intergovernmental Information for All Programme (IFAP) priorities promoted.

## UNESCO INSTITUTE FOR STATISTICS

289. The UNESCO Institute for Statistics (UIS) is the statistical branch of UNESCO. The Institute produces the data and methodologies to monitor trends and disseminate data at national and international levels. It delivers comparative data for countries at all stages of development to provide a global and useful perspective on: education; science, technology and innovation (STI); culture; communication and information.

290. The Institute serves Member States, UNESCO and the United Nations system, as well as a range of intergovernmental and non-governmental organizations, research institutes and universities. With a network of competent statistical advisors based around the world, UIS leverages its resources to improve the quality and use of data at national and international levels to enable effective decision-making.

291. In their replies to UNESCO Questionnaire on the Programme and Budget for 2018-2021, more than 60% of the respondents considered that the UIS had a comparative advantage and its work was highly relevant particularly in leading the development of education indicators in the framework of the 2030 Agenda. Similarly, at the national level, the relevance and comparative advantage of the UIS in strengthening national statistics in education, STI and culture were largely recognized by the respondents (See Graph at the end of UIS section).

292. Since their adoption by the United Nations General Assembly in September 2015, the 2030 Agenda for Sustainable Development has set a new development framework with 17 Goals and 169 associated targets for the United Nations Member States to strive towards achieving by the end of 2030. Education has been identified as a standalone goal (SDG 4), while also recognizing that education underpins and is linked to most other SDGs. The SDGs are integrated and balance the three dimensions of sustainable development: the economic, social and environmental. Hence, UIS' mission in the fields of education, science and technology (STI), culture and information and communication technology (ICT), is to **monitor several of the SDGs and their targets, specifically SDG 4, SDG 5, SDG 8, SDG 9, SDG 11, SDG 12 and SDG 13.**

293. Monitoring the Sustainable Development Goals (SDGs) will require a “data revolution”, as highlighted by the High-Level Panel on the Post-2015 Development Agenda. The term “data revolution” has stimulated new thinking about the opportunities provided by new data and information technologies as well as about the challenges that could result. The new and expanded set of SDGs and targets cover many topics for which existing data may not be available and for which traditional data collection and integration methods may be difficult or expensive to implement.

294. In education, the new agenda presents many significant challenges for measurement. First, it takes a life-long learning approach and thus covers a broad spectrum of education and learning – from early childhood to adulthood - including areas found outside of the formal education systems. It also focuses on two key themes: education quality (as measured by learning outcomes) and equity – both areas which have presented a myriad of challenges for countries to measure, particularly in terms of building adequate systems in place to monitor these themes.

295. The Education 2030 framework for action, adopted in November 2015, stresses that:

*“... the UIS will remain the official source of cross-nationally comparable data on education. It will continue to produce international monitoring indicators based on its annual education survey and on other data sources that guarantee international comparability for more than 200 countries and territories. In addition to collecting data, the UIS will work with partners to develop new indicators, statistical approaches and monitoring tools to better assess progress across the targets related to UNESCO’s mandate ...”*

296. With the aim of becoming the principal data source for the indicators required for the global and thematic monitoring of Education 2030 and the SDGs, in UNESCO's areas of competence, the UIS is designing **a new strategy** and will consider a number of new approaches to align its work with the requirements for the follow-up and tracking of the 2030 Agenda, its goals and targets, including greater attention to data and enhanced focus on setting baselines for monitoring. The UIS will adopt new initiatives to collect more data, develop new indicators, provide new tools to support countries to assess data quality, and measure new areas to support efforts to better use and analyze resulting indicators.

297. The UIS proposed strategy is built on the following three main pillars:

- A. Setting relevant and qualitative standards and norms
- B. Data production, ensuring quality of data, including support to data producers
- C. Effective data dissemination for efficient data use in decision-making

#### **PILLAR A: Norms and standards for statistical classification and production and methodology**

298. Norms and standards are necessary to ensure quality and comparability of data. More technically, standards are “documents, established by consensus and approved by a recognized body, that provide rules, guidelines or characteristics for activities or their results”.

299. The UIS is expected to: improve official statistics and their comparability, promote close coordination of international statistical activities; respond to emerging needs for international statistical cooperation; and develop and adopt statistical standards in the fields of education, science, technology and innovation, culture, and communication and information.

300. In order to improve official statistics, the UIS is developing and encouraging the usage of international statistical standards. These provide a common denominator to the norms that apply. UIS has a leading role in international work for a strategic change in statistical production with relevance for education, STI, culture and communication and information. UIS' specific strategic objectives and activities with regard to norms, standards and methodology are the following:

- (i) Defining global standards, norms, methodology and guidelines;
- (ii) Strengthening Member States' capacities to implement the norms and standards and apply the methodologies;
- (iii) Common and agreed internal standards, norms and methodologies.

#### **PILLAR B: Data production to sustain a high quality data production system**

301. The notion of data quality refers to three aspects: the characteristics of the statistical product, the perception of the statistical product by the user and the characteristics of the statistical production process. The three aspects are closely interrelated. The data product quality is achieved through the production process, in the case of monitoring SDGs, the data production process is mainly done in respective country.

302. It is vital that data quality assessment includes the question how the users actually perceive the quality of a statistical product. Data quality assessment has to take care of all quality aspects. Focusing only on the product quality, or the process quality or the user perception respectively, will not be a sufficient solution. The quality components, criteria, are central for any assessment of product data quality in statistics. The criteria for quality on statistical data include: relevance, accuracy, timeliness and punctuality, comparability, coherence and accessibility.

303. UIS' specific strategic objectives and activities with regard to data production are the following:

- (i) Improved country engagement and readiness to report internationally comparable data to the UIS;
- (ii) Improved quality of data and metadata and UIS internal processes and tools;
- (iii) Improved efficiency of data production through expanded strategic partnerships.

#### **PILLAR C: Data analysis, data communication and data use**

304. This is the impact pillar, a last important step in the data cycle. The UIS' mandate goes beyond the development of standards and production of data. To have a real impact, UIS transforms data into relevant information that can be used by a range of stakeholders. UIS' analysis contributes to data quality by:

- looking at trends, comparisons contribute to assessment of data quality
- analytic findings raise interest and enhances the profile of comparable data
- analytic results feed back into specification of data collections

305. The overarching objective is to affirm the UIS as the lead agency responsible for SDG 4 and related targets in science and technology (STI), culture and communication and information. UIS' specific strategic objectives and activities with regard to data analysis, communication and data use are the following:

- (i) Efficient response to need for high-quality products in the fields of education, science, culture and communications with a special focus on SDG data as a public good.
- (ii) Engage key stakeholders to promote use of products and data (channels and partnerships).

**GRAPH UIS: ASSESSMENT OF 38 C/5 UIS AREAS ACCORDING TO RELEVANCE AND COMPARATIVE ADVANTAGE**  
 (based on Member States replies to the 39 C/5 Questionnaire)



- UIS 1**     Strengthening national statistics in Education
- UIS 2**     Strengthening national statistics in STI
- UIS 3**     Strengthening national statistics in Culture
- UIS 4**     Strengthening national statistics in Communication and Information
- UIS 5**     Development of education indicators by UIS
- UIS 6**     Production and dissemination of policy-relevant statistical information by UIS.

**Proposed decision**

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

The Executive Board,

1. Recalling 38 C/Resolution 104, as well as 199 EX/Decision 5.II.F,
2. Having considered document 200 EX/13 Part I, which contains the preliminary proposals by the Director-General concerning the Draft Programme and Budget for 2018-2021 (39 C/5),
3. Expresses its appreciation to Member States, including their National Commissions, to United Nations organizations, intergovernmental organizations, and to non-governmental organizations for their valuable contributions to the consultation process in preparation of document 39 C/5;
4. Underscores the abiding relevance to the preparation of the 39 C/5 of UNESCO's Medium-Term Strategy for 2014-2021, including its five functions, its two Global priorities of Africa and Gender Equality, its Guiding principles, its Mission Statement, its overarching objectives of peace and equitable and sustainable development, and its nine strategic objectives;
5. Welcomes the Director-General's efforts to further map the contribution of the Organization's programme to the implementation of the 2030 Agenda for Sustainable Development, and stresses the importance of the roles to be performed by UNESCO in this regard, including those mentioned in the Annex;
6. Further welcomes the commitment to cooperate even more closely with the United Nations development system at all levels, and to ensure that the draft document 39 C/5 will be guided in that regard by the United Nations' Quadrennial Comprehensive Policy Review of operational activities, to be published at the end of 2016, and emphasizes the importance of the integration of UNESCO's work with that of other partners, including United Nations organizations, building on UNESCO's comparative advantage and expertise, especially at the national level;
7. Agrees with the need to further enhance UNESCO's work in favour of its two Global Priorities and its priority target groups, and takes note with appreciation in that regard of the proposals contained in this document;
8. Underscores the importance of further developing UNESCO's effectiveness in programme management and delivery, and takes note of the proposals made in this regard;
9. Emphasizes the importance for UNESCO to harness its multidisciplinary expertise and experience in its fields of competence towards the achievement of the Sustainable Development Goals, and welcomes the initial proposals made for the development of concrete intersectoral engagement on a limited set of issues of recognized importance;
10. Underscores that the draft document 39 C/5 should build from and strengthen RBM and RBB principles and approaches, and welcomes the initial proposals made concerning programme sustainability and exit strategies;
11. Invites the Director-General to elaborate the Draft Programme and Budget for 2018-2021 (39 C/5) on the basis of the proposals made and the discussions held at the Executive Board, including the outcome of the discussion on this document;
12. Further invites the Director-General to ensure that the summary of the Executive Board's debates and its decision thereon are duly taken into account when preparing draft document 39 C/5;
13. Requests the Director-General to present to it at its 201st session draft document 39 C/5.



United Nations  
Educational, Scientific and  
Cultural Organization

# Executive Board

Two hundredth session

# 200 EX/13 Part I Corr.

PARIS, 26 September 2016  
Original: English

Item 13 of the provisional agenda

## **PRELIMINARY PROPOSALS BY THE DIRECTOR-GENERAL CONCERNING THE DRAFT PROGRAMME AND BUDGET FOR 2018-2021 (39 C/5)**

### **PART I**

### **CORRIGENDUM**

Regarding Major Programme V, the heading of thematic area 1 which appears in the table under paragraph 257; in the first column of the Indicative mapping table under paragraph 258; and in the text under Main Line of Action 1, following paragraph 275, should read as follows:

“Freedom of expression, including freedom of the press, the right to access information, and the coordination and implementation of the UN Plan of Action for the Safety of Journalists and the Issue of Impunity”.





United Nations  
Educational, Scientific and  
Cultural Organization

# Executive Board

Two hundredth session

# 200 EX/13 Part I (A)

PARIS, 17 August 2016  
Original: English

Item 13 of the provisional agenda

## PRELIMINARY PROPOSALS BY THE DIRECTOR-GENERAL CONCERNING THE DRAFT PROGRAMME AND BUDGET FOR 2018-2021 (39 C/5)

### PART I (A)

#### ANALYTIC SUMMARY OF THE COMMENTS AND PROPOSALS OF MEMBER STATES AND ASSOCIATE MEMBERS

##### SUMMARY

Part I of this document contains the preliminary proposals by the Director-General for the Draft Programme and Budget for 2018-2021 (39 C/5), which will be the second and final Programme of the period 2014-2021 covered by the Medium-Term Strategy of the Organization ([37 C/4](#)).

**Part I (A) presents an analysis of Member States and Associate Members replies to the questionnaire on the Programme and Budget for the period 2018-2021 (39 C/5), circulated under cover of CL/4152.**

Part I (B) presents the summaries of the responses provided by the United Nations organizations, intergovernmental organizations (IGOs) and international non-governmental organizations (NGOs).

Part I (C) contains the reports of the regional consultations of the National Commissions for UNESCO held in Shanghai, China on 15 June 2016.





## I. INTRODUCTION

1. At its 38th session, the General Conference adopted Resolution 104 related to the preparation of the Programme and Budget for 2018-2021 (39 C/5) and set the stage for the Secretariat to launch the preparation of the Draft 39 C/5. In this Resolution, Member States have underscored the continued relevance of the Organization's Medium-Term Strategy, of its two Overarching Objectives of peace and sustainable development, of its two global priorities, Africa and gender equality, and of its priority target group of small island developing States (SIDS). The Medium-Term Strategy also had defined nine Strategic Objectives for the Organization to pursue in the period 2014-2021. These nine Strategic Objectives were translated in the first quadrennial Programme and Budget for 2014-2017 (37 C/5) into actionable results.

2. In the next quadrennial period (2018-2021), the future Programme and Budget will build on the achievements and lessons learned in pursuance of the same Strategic Objectives set in the Medium-Term Strategy. Furthermore, future programme orientations for UNESCO will fully take into account the recent developments at the global level, in particular the adoption of the Agenda 2030 for sustainable development. In compliance with 38 C/Resolution 104, UNESCO's programmes will be designed so as to "contribute to the implementation and follow-up of the 2030 Agenda for Sustainable Development at appropriate levels, in particular by delivering assistance and technical support to Member States in its various fields of competence".

3. By circular letter CL/4152 of 18 April 2016, the Director-General sent a questionnaire on the Draft Programme and Budget for 2018-2021 (39 C/5) to Member States, including to their National Commissions for UNESCO, as well as to intergovernmental organizations (IGO) and non-governmental organizations (NGOs) which have established official relations with UNESCO. The questionnaire has been designed to solicit their views, comments and suggestions on key principles, priorities, challenges and core issues, which should inform the preparation of the Draft 39 C/5.

4. The response rate was high, indicating the strong engagement by UNESCO stakeholders, with responses from 117 Member States and four Associate Members compared to 109 responses from Member States and Associate Members four years ago (consultations on document 37 C/5). All responses received as at 20 May 2016 have been taken into account in the analysis.

*Table – Number of Member States' responses by region:*

	<b>Number of countries</b>	<b>Number of responses</b>	<b>Response rate</b>
Africa	47	27	57%
Arab States	19	12	63%
Asia and the Pacific	44	19	43%
Europe and North America	52	37	71%
Latin America and the Caribbean	33	22	67%
<b>Sub-total Member States</b>	<b>195</b>	<b>117</b>	<b>60%</b>
<b>Sub-total Associate Members</b>	<b>10</b>	<b>4</b>	<b>40%</b>
<b>TOTAL</b>	<b>205</b>	<b>121</b>	<b>59%</b>

5. The present document contains a summary of the views and suggestions of 117 Member States and four Associate Members (see list in Annex). The sections in the present document follow the structure of the questionnaire. The full text of responses received can be accessed at:

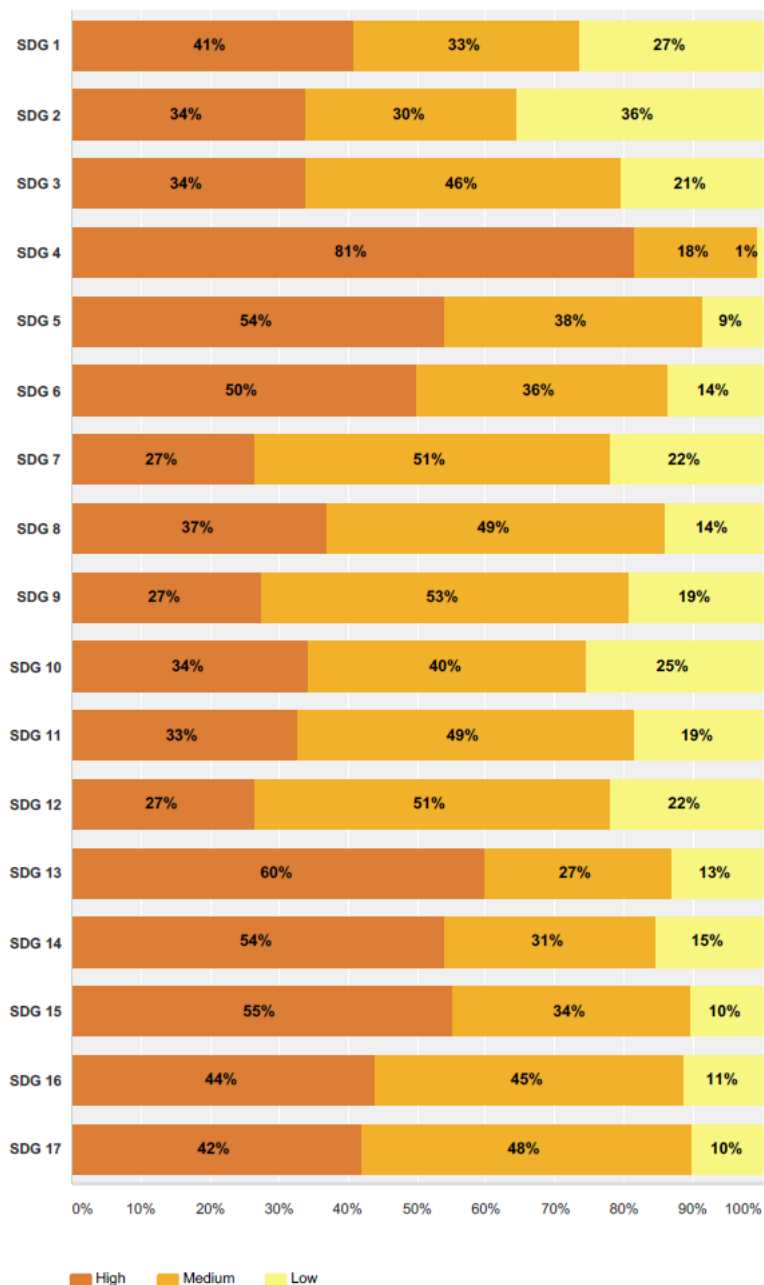
<http://www.unesco.org/new/en/bureau-of-strategic-planning/resources/preparation-39c5/>.

## II. UNESCO: THE GENERAL ENVIRONMENT

### A. The international context

**Question 1: With respect to your national needs and priorities, for which of the following SDGs would you require UNESCO’s support? Please indicate the level of priority by assigning High, Medium or Low to each Goal.**

**If you are a UN agency, IGO or NGO, please assess according to areas for joint collaboration with UNESCO, whether at global, regional or local level.**



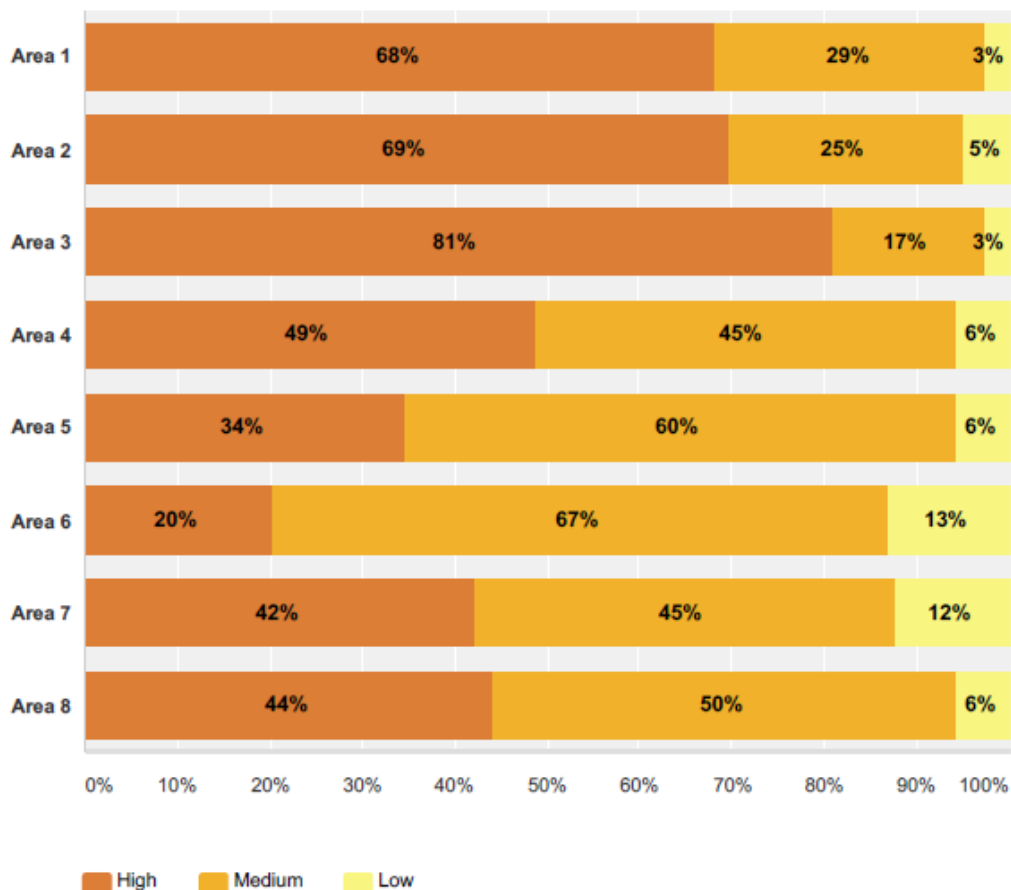
6. Member States overwhelmingly considered SDG 4 (Ensure inclusive and equitable quality education and promote lifelong learning opportunities for all) as a high priority area in which UNESCO’s support would be required. A large number of respondents (60%) have also ranked as high priority SDG 13 (Take urgent action to combat climate change and its impacts). More than half of the respondents (almost 55%) considered the following SDGs as high priority for their countries: SDG 15 (Protect, restore and promote sustainable use of terrestrial ecosystems, sustainability

manage forests, combat desertification, and halt and reverse land degradation and halt biodiversity loss); SDG 5 (Achieve gender equality and empower all women and girls); SDG 14 (Conserve and sustainability use the oceans, seas and marine resources for sustainable development) have; and half of the respondents considered SDG 6 (Ensure availability and sustainable management of water and sanitation for all) as high priority area in which UNESCO’s support would be needed.

7. While this prioritization pattern can also be observed by region, the following regional specificities could be noted: African Member States ranked highest the need for UNESCO’s support to the achievement of both the SDG 4 and SDG 13 (85%); a large number of Member States in Latin America and the Caribbean (65%) and in Africa (63%) have also ranked as ‘high’ priority SDG 1 (End poverty in all its forms everywhere); 67% of respondents in the Arab States have indicated as ‘high’ priority UNESCO’s support the areas related to SDG 8 (Promote sustained, inclusive and sustainable economic growth, full and productive employment and decent work for all); similarly, SDG 6 (Ensure availability and sustainable management of water and sanitation for all) was ranked as high priority by 58% of respondents in the Arab States, and by 63% of respondents in Africa.

**B. Intersectorality**

**Question 2: From the following list, please rate the areas where you think UNESCO should further capitalize on its multidisciplinary expertise and enhance its intersectoral approach to support Member States in the implementation of the 2030 Agenda.**



**Area 1** Intercultural dialogue, peace building and the fight against all forms of discrimination

**Area 2** Global citizenship education, including preventing violent extremism

**Area 3** Education for sustainable development

**Area 4** Climate change

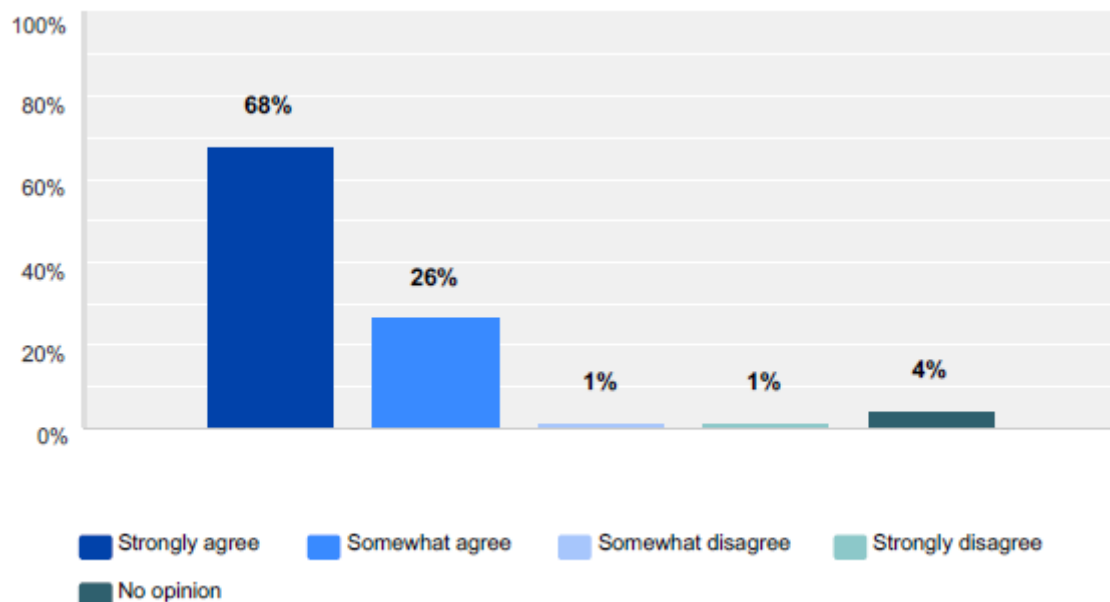
**Area 5** Biodiversity and management of transboundary natural resources

**Area 6** Sustainable cities

**Area 7** Emergency preparedness and response (including Disaster Risk Reduction)

**Area 8** Harnessing Digital and Information and Communication Technologies (ICTs) for promoting sustainable development

**Question 3: Do you agree that the Organization should enable a more flexible, cost-efficient and effective implementation of intersectoral programmes and projects?**



8. The analysis below includes the replies to questions 2 and 3.

9. The majority of respondents considered “Education for sustainable development”, “Global citizenship education, including preventing violent extremism” and “Intercultural dialogue, peace building and the fight against all forms of discrimination” as high priority areas in which UNESCO should further capitalize on its multidisciplinary expertise and enhance its intersectoral approach to support Member States in the implementation of the 2030 Agenda.

10. Several respondents suggested areas for intersectoral work, among which are the following: promoting intercultural symposia/interreligious meetings for the rapprochement of the various global communities; reducing the digital divide between the global South and North in schools; empowering young girls and boys through environmental conservation programmes to facilitate their integration into working life; human rights education and training (HRET); and gender equality.

11. Similarly, some respondents suggested merging two of the proposed areas, or adjusting them. Examples include: Education for sustainable development and Climate change; Biodiversity and Disaster Risk Reduction; Climate change, Biodiversity and Emergency preparedness and response; Education for sustainable development and Harnessing Digital and Information and

Communication Technologies (ICTs) for promoting sustainable development; Intercultural dialogue and Global citizenship education.

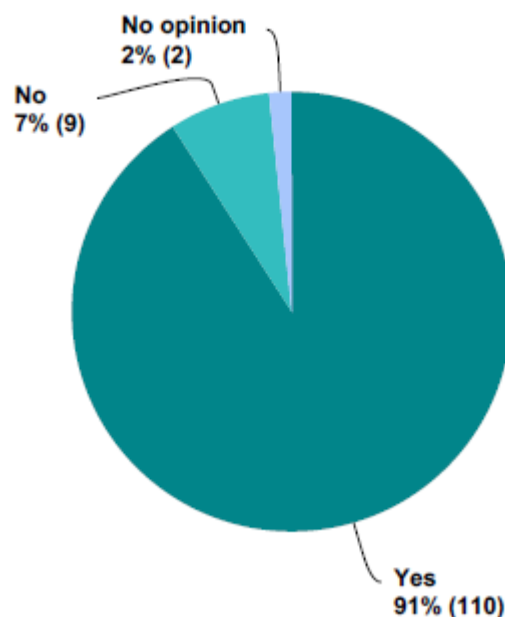
12. Several respondents stated that UNESCO's ability to respond through a multidisciplinary and intersectoral approach was an inherent component, an essential value added and a comparative advantage of the Organization. Accordingly, and since the current global challenges and the 2030 Agenda call for such a comprehensive multidisciplinary approach, the need for UNESCO responses to be built from the outset through multidisciplinary and intersectoral approaches was underscored.

13. In addition, some respondents highlighted the importance of implementing the programmes pertaining to these areas in coherence with those of other concerned United Nations system entities. To that effect, the mapping of UNESCO's contribution to the 2030 Agenda stipulating the linkages and interrelationships, whether internal or with partners of the United Nations family and beyond, was called for.

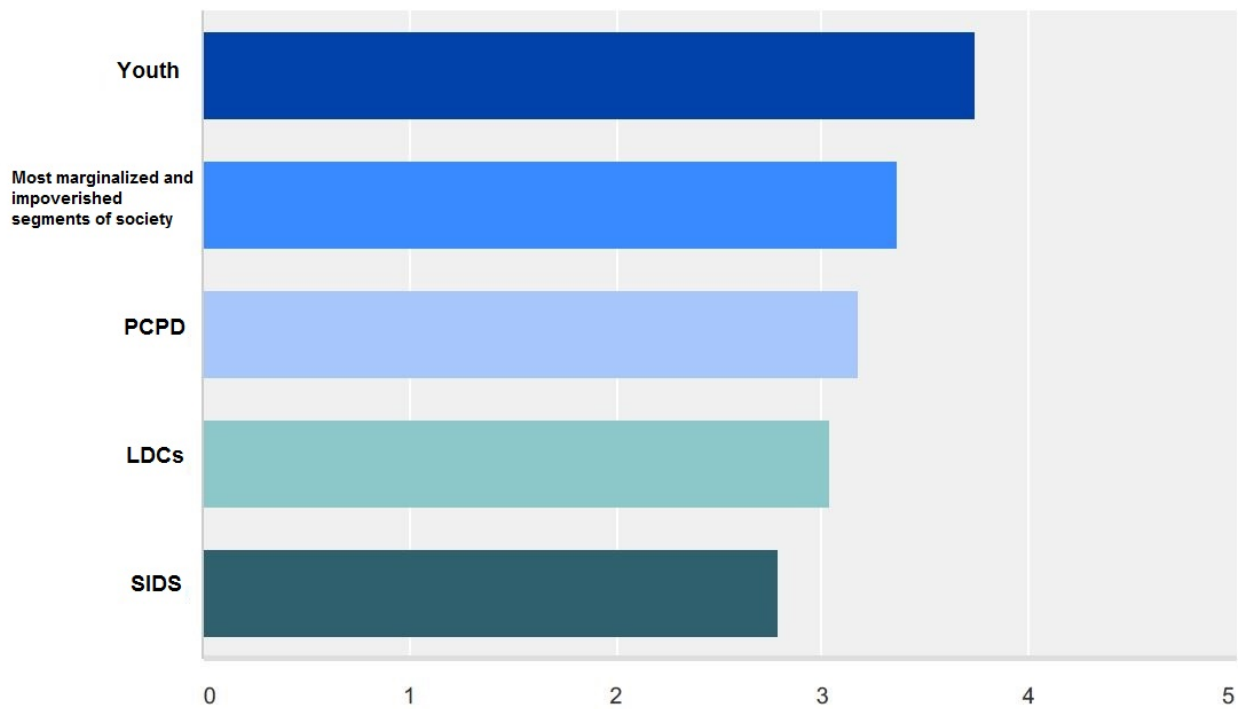
14. In their reply to the second question, the majority of respondents agreed on the need for the Organization to enable a more flexible, cost-efficient and effective implementation of intersectoral programmes and projects.

### C. Target groups

**Question 4: Do you agree that the Organization continue giving the same emphasis to specific target population or country groups?**



Respondents who agreed with the above statement proposed the following ranking (1=Lowest to 5=highest priority):

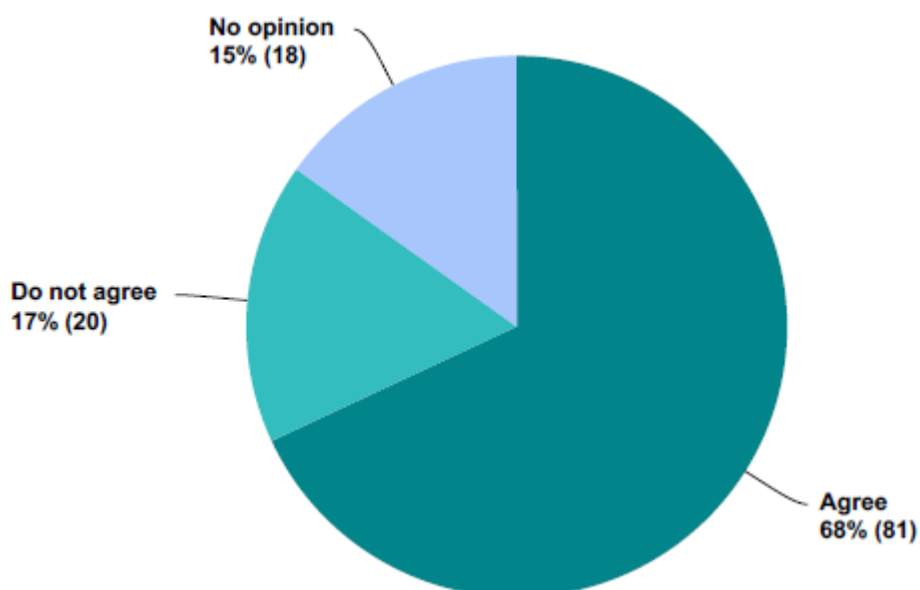


15. The large majority of respondents agreed that UNESCO should continue giving the same emphasis to specific target population and country groups. More specifically, youth should be given the highest priority for 62% of the respondents.

16. Several respondents felt that UNESCO should focus on target groups that are aligned with those targeted in the 2030 Agenda. Others suggested other priority groups, namely: the segments of populations such as indigenous people; victims of conflicts and disasters, with particular focus on displaced persons; oppressed women and girls; war-torn and middle-income countries.

**D. Functions**

**Question 5: In view of its limited resources, do you think that UNESCO should prioritize its regular budget resource allocation to support its normative and upstream work, and complement its resources with extrabudgetary funding to finance its operational work?**



17. The majority of respondents agreed on the need for the Organization to prioritize its regular budget resource allocation to support its normative and upstream work, and complement its resources with extrabudgetary funding to finance its operational work. Some variations are observed when analysing the responses by region. The greatest variation is observed among respondents in Latin America and the Caribbean, where the majority did not agree with that statement (29%) or did not have any opinion (24%).

18. A few respondents have qualified their replies indicating that they agreed with the statement of question 5 on the understanding that prioritized extrabudgetary operational work would be entirely in line with the Programme and Budget priorities.

19. Several respondents who were not in agreement with the statement in question 5 emphasized the importance of both UNESCO normative/upstream and operational work to support Member States in achieving effects/results and the SDGs. Other respondents mentioned a lack of transparent governance, whereas others cautioned against dependence on donor interests and priorities of extrabudgetary funding. Some concerns were also expressed by some respondents regarding the risk of insufficient extrabudgetary resource mobilization which would jeopardize operational work or hinder implementation. Thus, they pointed to the need to put in place new mechanisms and incentive schemes for extrabudgetary funds mobilization. Many respondents highlighted also the need for ensuring a balance in funding between normative and operational work, so as to avoid over-reliance on extrabudgetary resources for carrying out operational work.

20. A number of respondents, particularly in Europe, were of the opinion of the need to review this matter in light of the Structured Financing Dialogues and discussions on the integrated budget framework. Within this context, a respondent underlined the importance of ensuring sufficient qualified regular staff to oversee the operational work financed through extrabudgetary resources, and recommended further improvements in the application of the support cost recovery mechanism.

21. It was also indicated that more extrabudgetary funding should be decentralized to regional field offices and that a focus should be put on establishing strategic partnerships that Member States could derive benefits from.

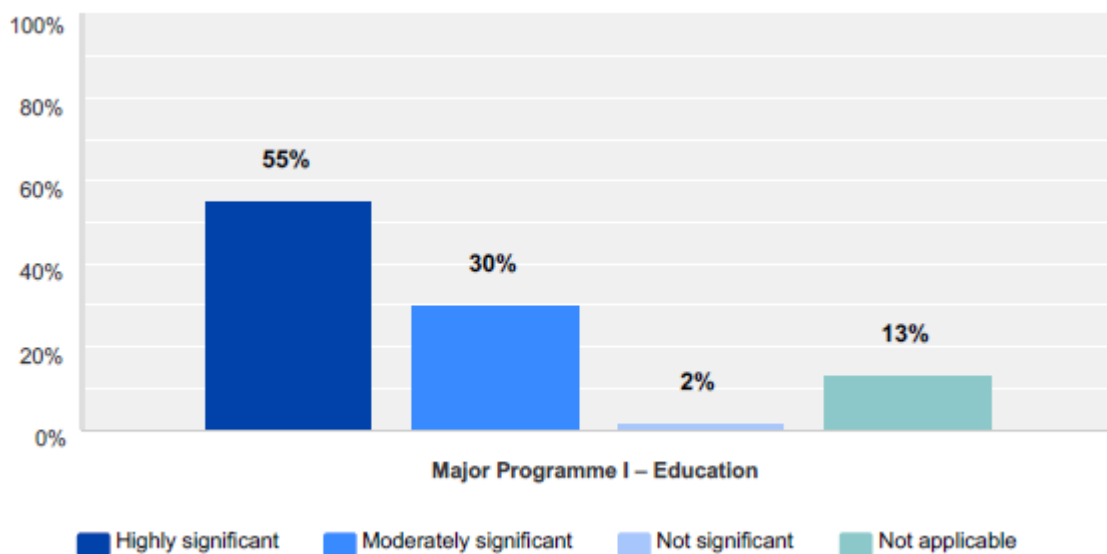
22. Finally, a few respondents have indicated that further clarification on the distinction between normative and operational work was required.

### **III. PROGRAMME ASSESSMENT AND PRIORITIES**

#### **E. Recent achievement of UNESCO**

**Question 6: If your country has benefited from UNESCO's support in the recent years in the following areas, please assess the significance of the effects/results realized on a "Highly significant/Moderately significant/Not significant/Not applicable" scale. You may also wish to comment on the nature and relevance of this support and results in the text box (maximum 200 words). If you are a UN agency, IGO or NGO, please assess according to recent joint collaboration with UNESCO, whether at global, regional or local level.**

## 6.1 Major Programme I – Education



23. On average, over 85% of the respondents considered that the benefits of UNESCO's work in the area of Education had been significant in their country. Although some countries in Europe and North America have not benefitted directly from UNESCO's support, they highlighted the relevance of UNESCO's normative, policy and standard-settings instruments for their national education programmes. In other regions, Member States also benefitted from the direct operational and technical support of UNESCO, bringing the assessment to a higher level of about 96% in Africa and 95% in Asia and the Pacific.

24. The majority of respondents referred to UNESCO's support in setting standards and norms and in supporting policy and capacity development, thus contributing holistically to on-going education reforms. In this respect, the role of UNESCO in relation to the 2030 Agenda was highlighted on different occasions.

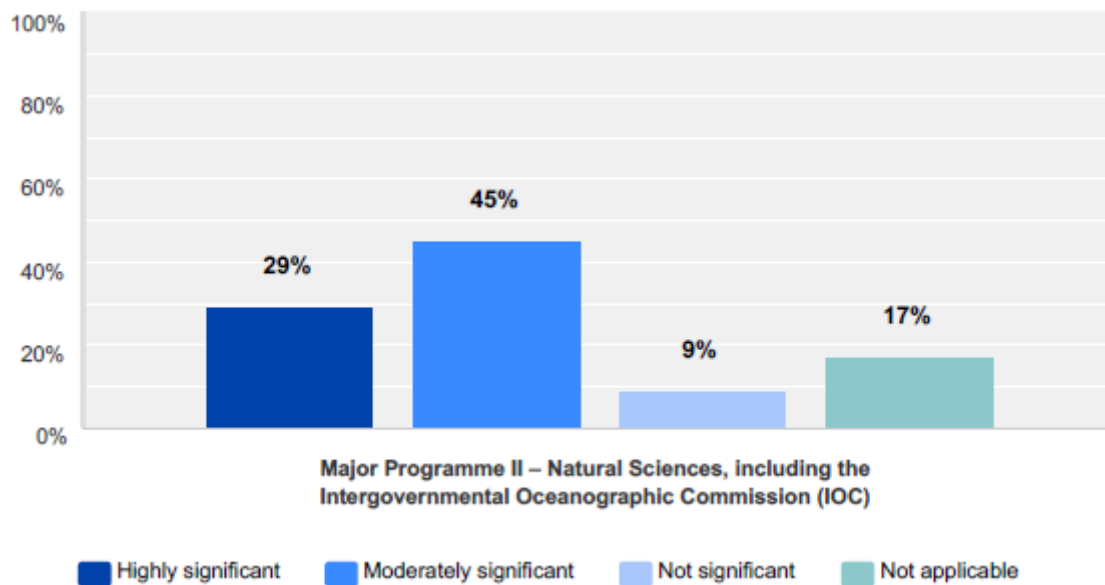
25. Moreover, in their comments, many respondents valued the programmes related to teacher training, including in the field of ICT, to literacy and technical and vocational education and training (TVET) at national level, also underlining the importance of mainstreaming gender equality and inclusion. The results of the CapEFA programme in these thematic areas were underscored by several African countries.

26. Several respondents also mentioned the effects of UNESCO's work in the area of higher education, education for sustainable development, human rights and global citizenship education including the prevention of violent extremism.

27. Finally, a number of references were made valuing the work undertaken by category 1 institutes, the Associated Schools Project Network (ASPnet), and the UNITWIN and UNESCO Chairs network.



## 6.2 Major Programme II – Natural Sciences, including the Intergovernmental Oceanographic Commission (IOC)



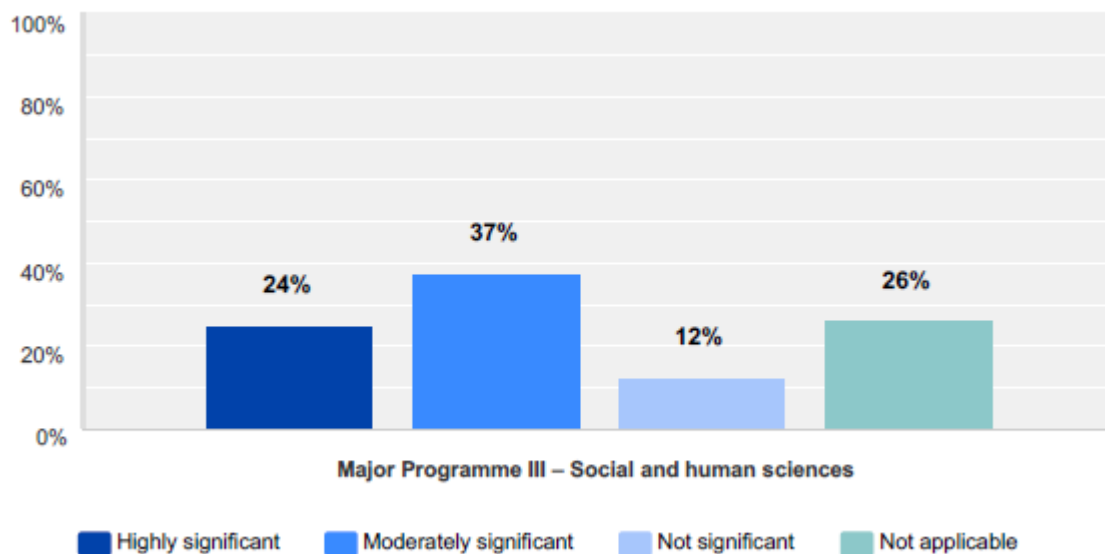
28. At the global level, almost three quarters of the respondents assessed the effects/results of UNESCO's work in the field of Natural Sciences, including the IOC, as significant. In the Arab States, Africa and Asia and the Pacific, a vast majority of respondents ranked the effects/impact achieved as a result of UNESCO's work as significant.

29. The majority of respondents indicated having benefitted from UNESCO's intergovernmental programmes MAB, IHP and IOC, in terms of both of normative and operational support. UNESCO's support in the field of Science, technology and innovation policy, including the UNESCO Science Report, disaster risk reduction, capacity-building in basic sciences and fellowships programmes, renewable energy, geosciences and geoparks, SIDS, indigenous knowledge, have also been mentioned.

30. It should be noted that, in general, respondents made reference to UNESCO's activities and projects, and to a lesser extent to the effects/impacts at country level induced by these activities. A number of respondents referred in principal to the activities of the National Commissions and/or those undertaken within the Participation Programme.

31. For the future, Member States recommended, inter alia, that UNESCO further lead in engaging national international stakeholders in natural sciences development, support Member States in addressing climate change, increase the advisory and support role of the field offices.

### 6.3 Major Programme III – Social and Human Sciences



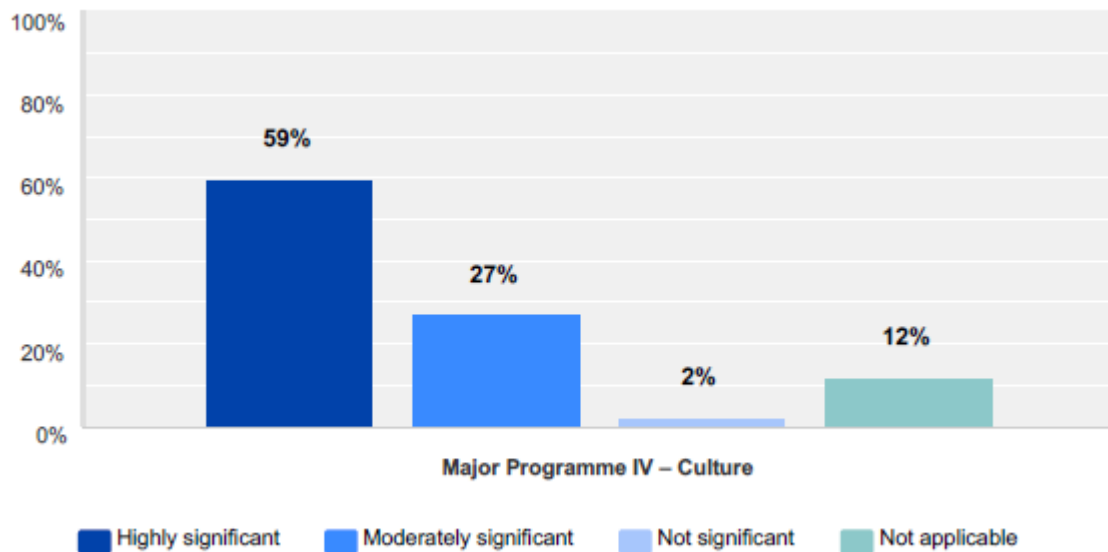
32. Globally, 61% of the respondents assessed the effects/results of UNESCO's work in the field of Social and Human Sciences as significant.

33. A majority of respondents referred to UNESCO's support in relation to various aspects of the Youth programme, the anti-doping Convention, and MOST as beneficial at country level. Support in the area of bioethics, human rights education, women empowerment and gender equality, and to a lesser extent, a culture peace was also mentioned.

34. A number of respondents referred in principal to the activities undertaken by the Secretariat or by the National Commissions as well as those undertaken within the Participation Programme.

35. Member States recommended that, in the future UNESCO should increase social and human sciences dedicated staff in the field offices; further support youth development and education on anti-doping in sport; include global citizenship and human rights education in school curricula; better balance the Sector's scientific and advocacy thrust; ensure a better coordination of work on Youth with other United Nations agencies; increase the capacity to contribute to the global debates on multiculturalism and cultural diversity, as well as address migration-related challenges.

## 6.4 Major Programme IV – Culture



36. On average, 86% of respondents assessed the achieved effects/results induced through UNESCO support in the field of culture as significant.

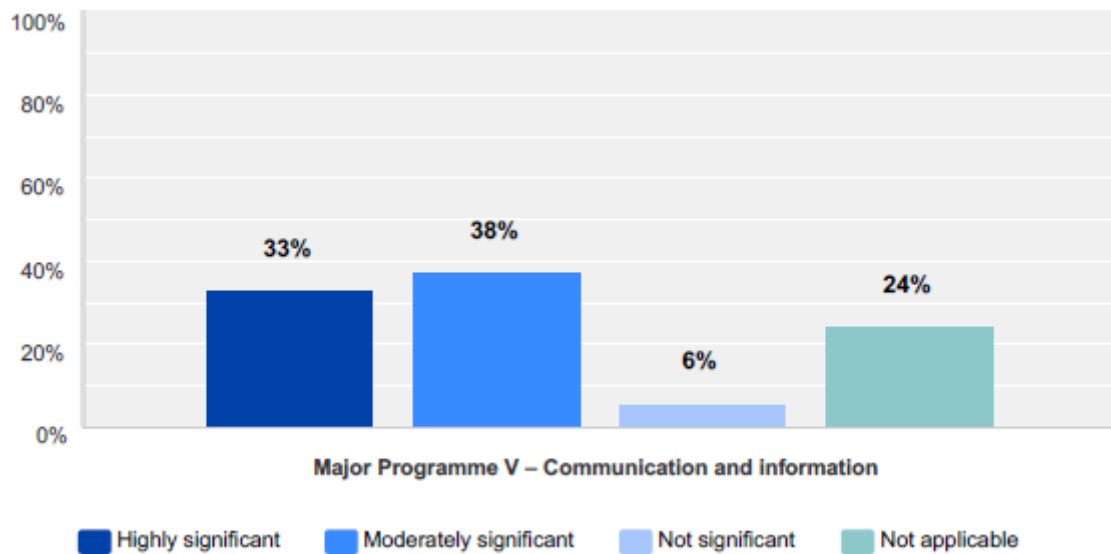
37. More specifically, the majority of respondents stated having benefited from UNESCO support in the safeguarding of intangible heritage (e.g. Intangible cultural heritage national inventories; Safeguarding Mauritanian heritage through engagement of indigenous communities and youth); the protection of cultural and natural heritage (e.g. World Heritage in Danger: Coro and its port; Demonstrating the value of heritage sites as unifying elements in the country, regionally by highlighting PH contributions to ASEAN and ASPAC and globally); as well as to the protection and promotion of the diversity of cultural expressions (e.g. monitoring artistic freedom; Port of Spain “Musical Heritage Walk” project), among others.

38. Other references were made to areas for which results were considered significant, although to a lesser extent: The protection of underwater cultural heritage (e.g. legislation and policies; underwater cultural heritage management policy); the protection and promotion of museums and collections (e.g. Barthélemy Boganda Museum collections; national museums inventories); the prevention of illicit trafficking of cultural heritage (e.g. Periodic report “Trafficking of cultural property in Tunisia”); the protection of cultural property in the event of an armed conflict, arts education and creative cities.

39. A number of Member States, particularly in Europe, have underscored that while they have not benefitted directly from UNESCO support, the normative instruments, policy papers and reports generated in the context of the cultural conventions have played an important inspirational and advocacy role for the work of national entities and others in their countries (e.g. legal system).

40. In addition, respondents made some recommendations for the future, among which are the following: Increase capacity to implement UNESCO conventions and sustainably manage heritage; develop further synergies among cultural conventions; position culture at the forefront of the national development agenda; include in programmes cultural diversity policy in the circumstances of mass migration.

## 6.5 Major Programme V – Communication and Information



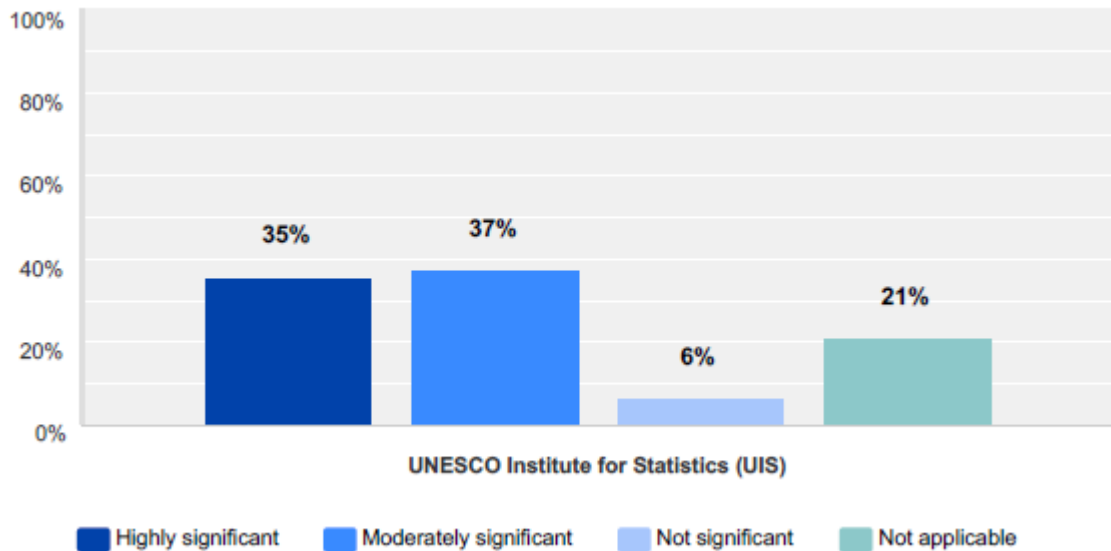
41. The majority of respondents generally assessed the results achieved through UNESCO's support in the area of Communication and Information as moderately significant in their countries. When analysed from a regional perspective, UNESCO's effects/results are assessed as highly significant for more than half of the respondents in Africa.

42. Respondents provided multiple examples of benefits from UNESCO's support, ranging from the provision of technical assistance and expertise to normative work in all fields covered by Major Programme V, including within the frameworks of its two intergovernmental programmes – IPDC and IFAP.

43. Among the areas which were specifically mentioned are the following: training of journalists and development of journalism curricula; fostering the freedom of expression and journalistic safety; development of independent media, media information literacy, and ICT education for knowledge generation; community radio stations; capacity-building in information ethics; gender and media and women and girls in ICT; preservation of and access to documentary heritage including in digital form; the Memory of the World Programme and registers.

44. A number of respondents recommended that UNESCO devote more resources in support of capacity-building, especially of women and girls, and the implementation of projects in this area at local level in the future.

## 6.6 UNESCO Institute for Statistics (UIS)

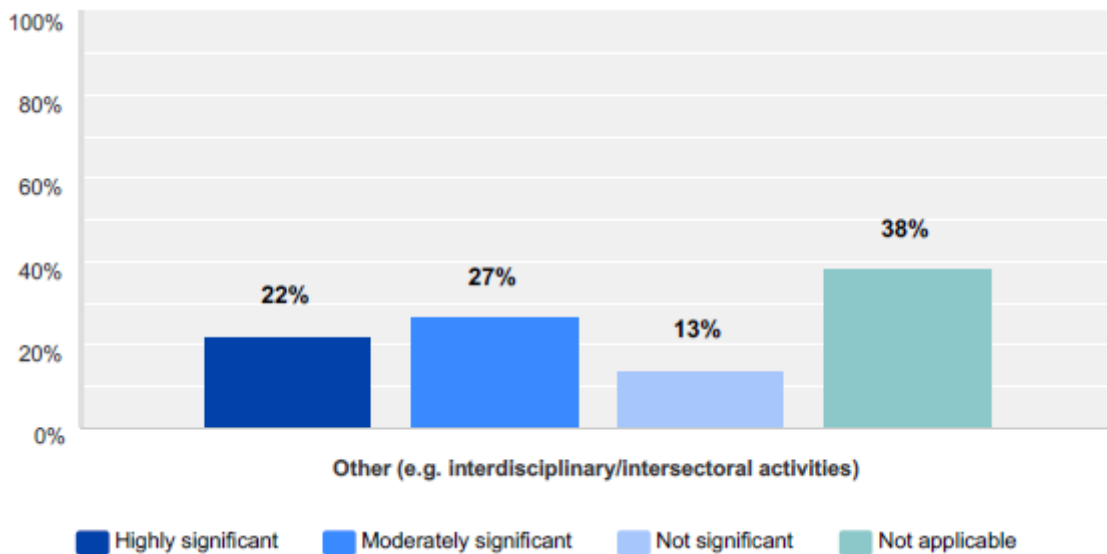


45. The role of the UIS is considered significant by 72% of the respondents.

46. Several respondents indicated that at the national level, the support provided by the UIS to develop national capacities to manage the Education Management Information Systems (EMIS), to develop best practices in order to collect high-quality, timely and reliable data was highly needed and valued.

47. At the global level and in the framework of the 2030 Agenda, the work of UIS is considered as vital for ensuring education is monitored through the development of indicators, the collection of comparable data and the dissemination of information.

## 6.7 Interdisciplinary/intersectoral activities



48. Almost half of the respondents stated having benefitted from UNESCO's support in interdisciplinary/intersectoral areas. Specific programmes and activities were mentioned, among which those related to gender equality; ICTs; education for sustainable development; comprehensive sexuality education and HIV prevention in schools.

**F. Programme priorities for the future 39 C/5**

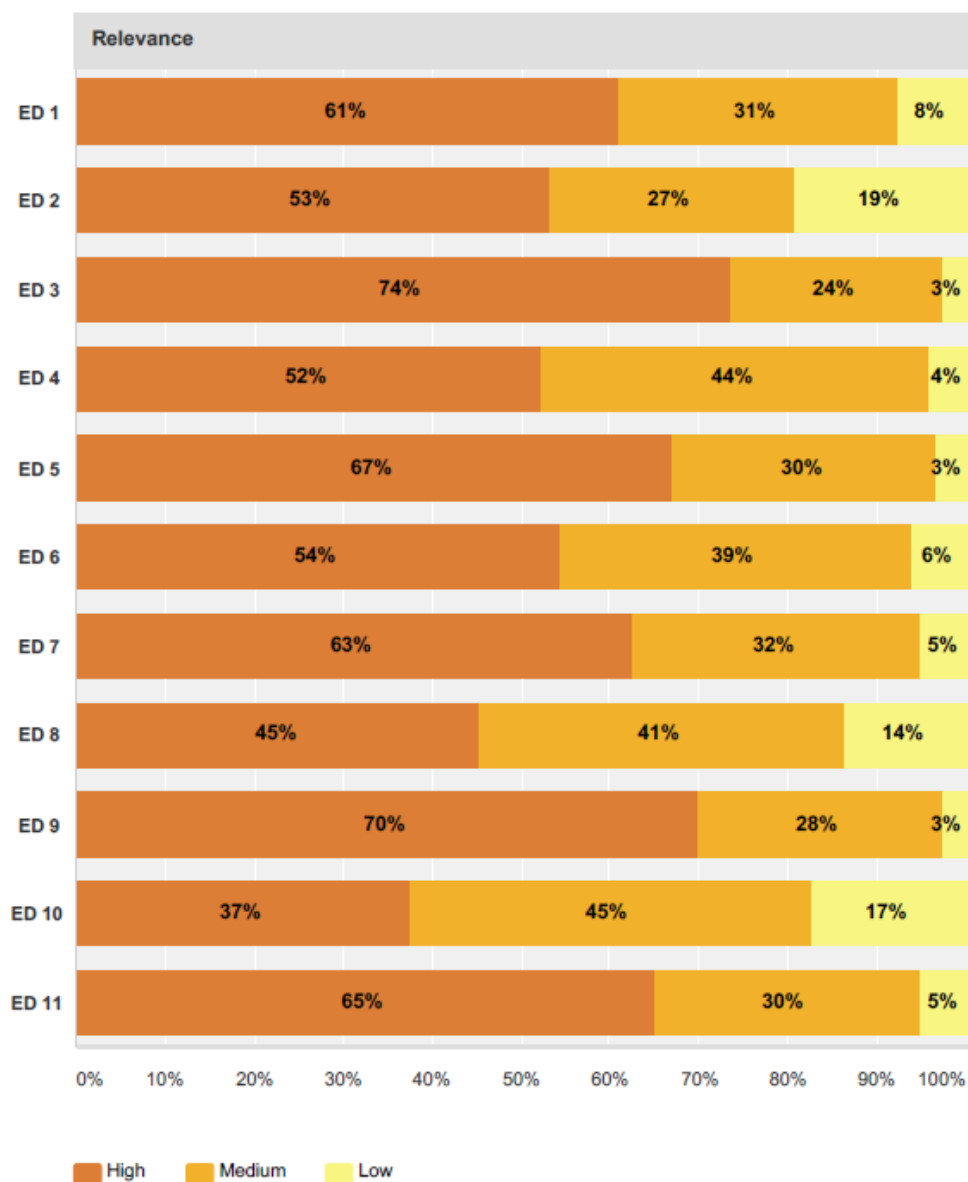
**Question 7: With respect to your national (or agency) priorities, and in order to enable the identification of UNESCO’s programmatic priorities for 2018-2021, please assess each of the thematic areas listed in the tables below according to the following two criteria:**

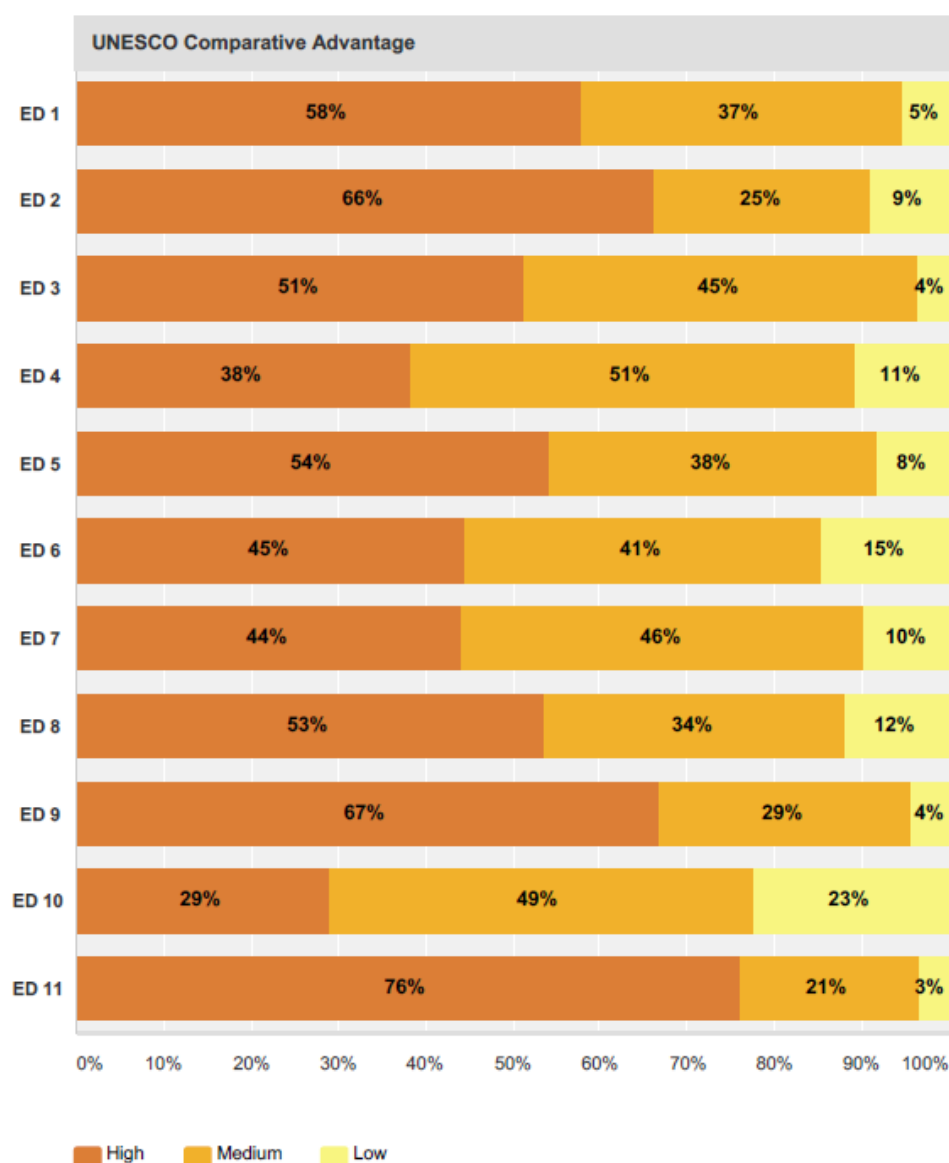
**Criteria 1: Relevance to your country/agency needs and priorities: To what extent are the following thematic areas relevant to your country needs and priorities, including in the context of the 2030 Agenda for Sustainable Development?**

**Criteria 2: UNESCO’s comparative advantage: In comparison with other (inter)national organizations, to what extent does UNESCO have a comparative advantage in the following thematic areas?**

49. It is noted that while the majority of respondents have addressed this question as is, i.e. responding in terms of their country needs and priorities, a number of Member States in Europe and North America mentioned that they addressed the question from the global level perspective.

**7.1 Education thematic areas**





- ED 1 Sector-wide policy and planning
- ED 2 Literacy
- ED 3 Technical and vocational education and training (TVET)
- ED 4 Higher education
- ED 5 Teachers
- ED 6 Promotion, monitoring and evaluation of learning outcomes
- ED 7 Information and Communication Technology (ICT) in education
- ED 8 Global citizenship education
- ED 9 Education for Sustainable Development
- ED 10 Health education, HIV and sexuality education
- ED 11 Global, regional and national coordination of Education 2030

50. The relevance and comparative advantage of UNESCO in leading and coordinating the Education 2030 were assessed as very high, including the monitoring aspects through the work of the UIS and the GEM report. Respondents suggested that the programme priorities for the Draft 39

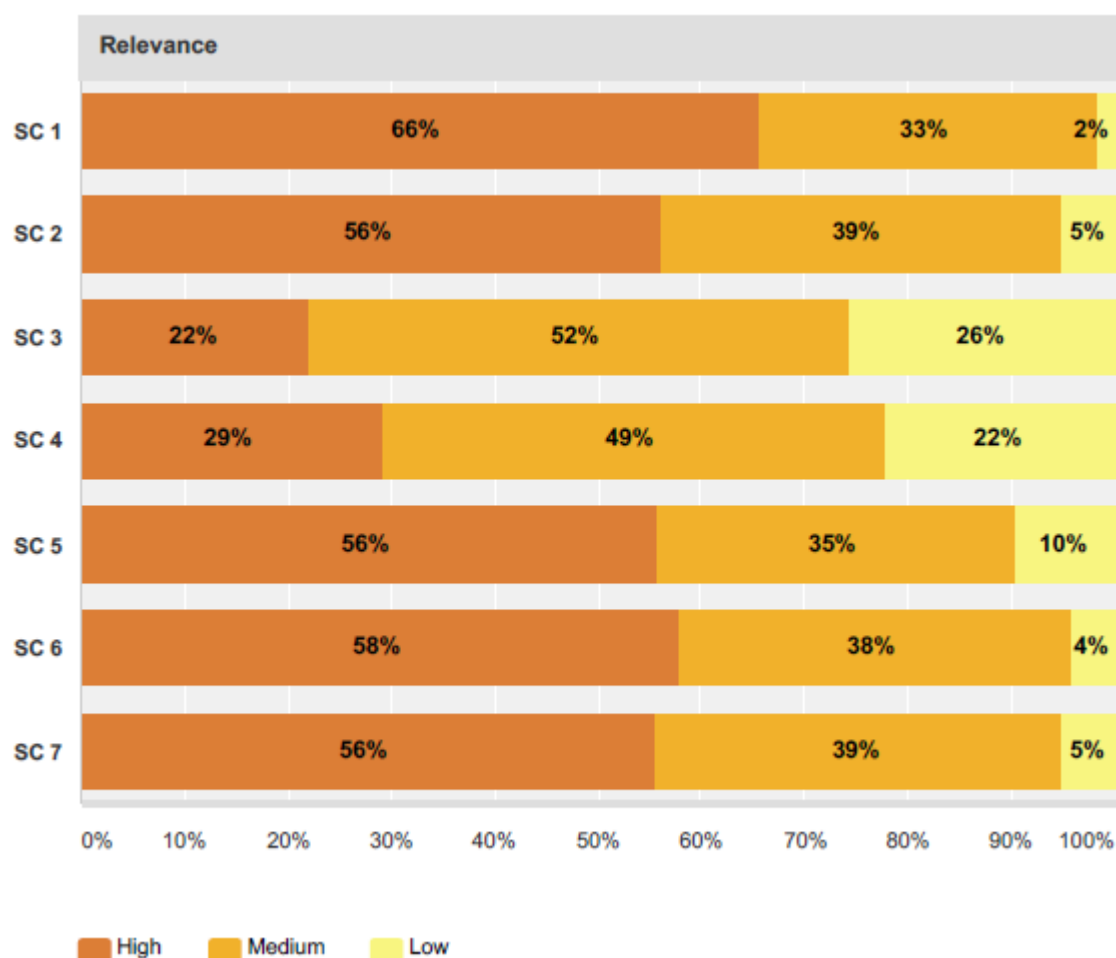
C/5 be closely aligned with the education-related goals and targets of the 2030 Agenda and be guided by the Education 2030 Framework for Action. Moreover, they valued UNESCO’s holistic approach to education, as reflected in the higher-than-average priority rating of most of the programmatic areas, both in terms of relevance and comparative advantage. One respondent however wondered whether UNESCO had the financial means to fulfil such an ambitious agenda.

51. Technical and vocational education and training (TVET) was assessed as highly relevant (74%), reflecting a rising demand from Member States for support in this area. The other thematic areas which were rated as highly relevant by more than 60% of the respondents are the following: education for sustainable development; teachers; information and communication technology (ICT) in education; and sector-wide policy and planning.

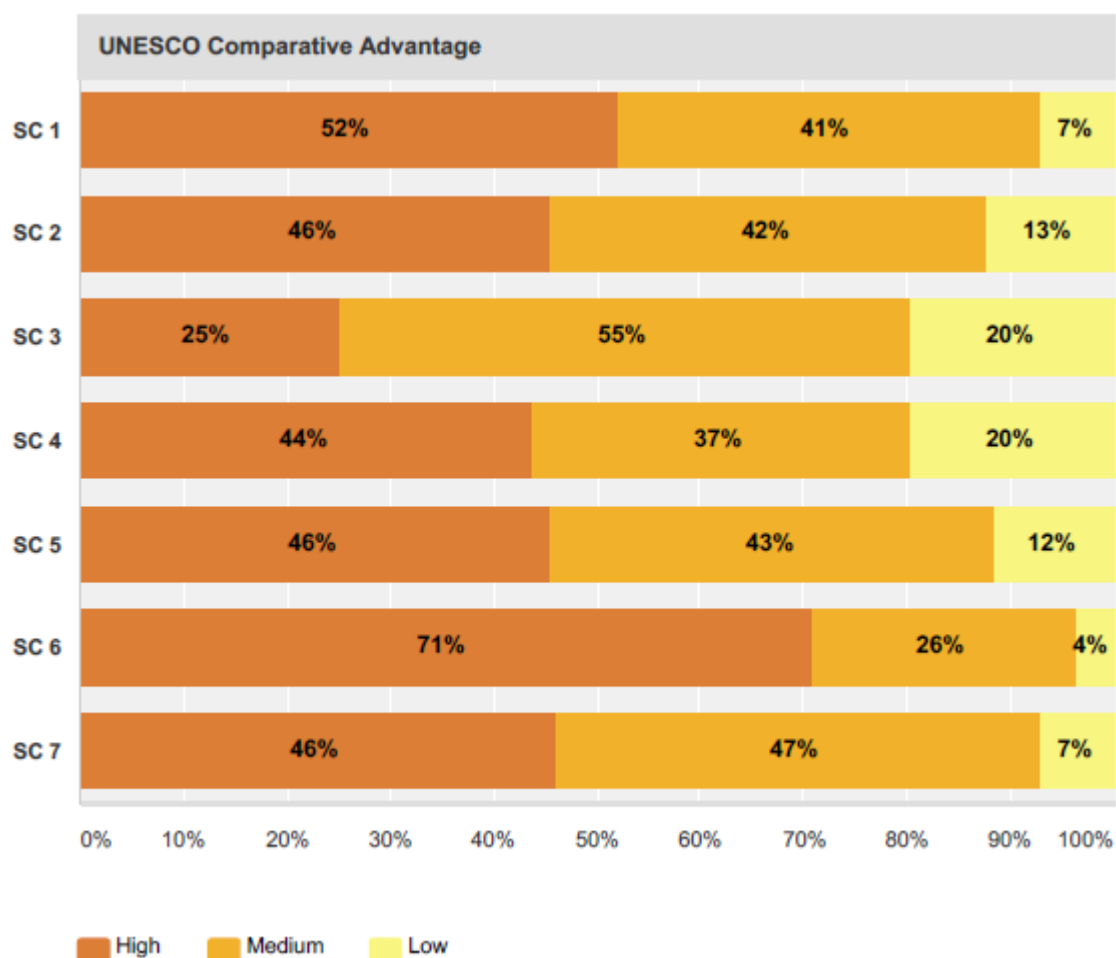
52. In their comments, Member States emphasized the importance of UNESCO’s role in higher education, particularly in conflict and post-conflict situations; shifting the focus from access to quality and the integration of “learning” into all thematic areas, as suggested in the Secretariat’s Strategic Results Report; and the need to devote particular attention to and further focus on gender equality in education.

53. UNESCO’s comparative advantage was considered high by over 50% of the respondents in the areas of education for sustainable development; literacy; sector-wide policy and planning; teachers; global citizenship education; and TVET.

### 7.2.a Natural Sciences thematic areas







- SC 1** Strengthening Science, Technology and Innovation (STI) Policy and the science-policy interface
- SC 2** Enhancing capacity-building and education in basic and applied research in natural sciences
- SC 3** Mobilizing local and indigenous knowledge and engagement with society, in particular with vulnerable groups including SIDS and indigenous people
- SC 4** Expanding global cooperation in the geological sciences
- SC 5** Enhancing risk reduction, early warning of natural hazards and disaster preparedness and resilience
- SC 6** Strengthening the use of biosphere reserves as learning places for biodiversity conservation, equitable and sustainable development, and climate change adaptation
- SC 7** Strengthening responses to local, regional and global water security challenges by enhancing knowledge, innovation, policies, human and institutional capacities and by improving international cooperation

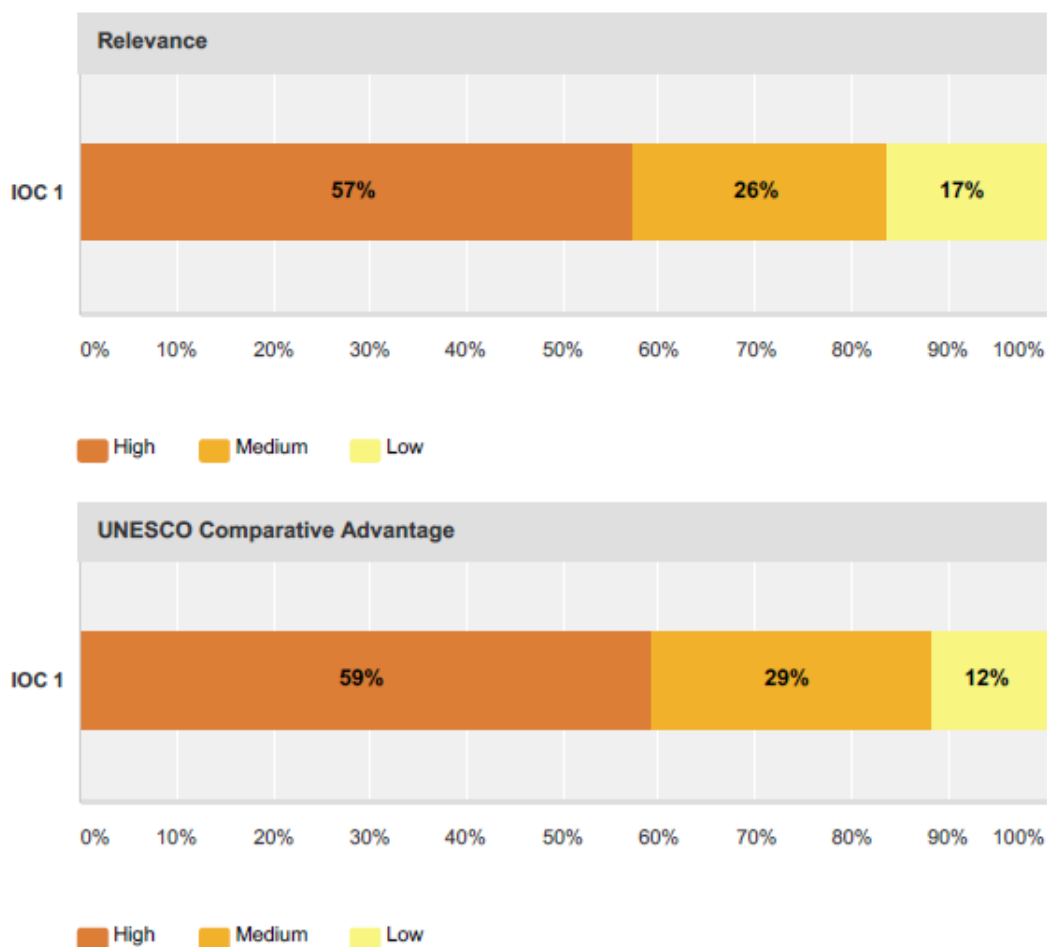
54. The relevance and comparative advantage of UNESCO were assessed as high in the areas of STI policy and Biosphere reserves, as well as in the areas of disaster risk reduction (DRR) and water security. The assessment shows divided views with regard to the area of geological sciences, with, for example, 29% of the respondents ranking UNESCO's relevance as high, while 22% ranked it as "low"; and 44% of respondents felt that UNESCO had a high comparative advantage in this field. More than half of the respondents considered UNESCO's work of high relevance in the area of capacity-building in STI. The area of local and indigenous knowledge was ranked as medium by half of the respondents with regard to both the relevance and UNESCO's comparative advantage.

55. In their comments, many respondents indicated the high importance of natural sciences in improving the quality of life of people, saving the planet and addressing challenges such as climate change and natural and man-made disasters. The areas of capacity-building, disaster risk reduction and the intergovernmental programmes MAB, IHP and IOC and global geoparks, were mentioned in this context. It was recommended that the Organization further focuses on enhancing biosphere reserves' potential to contribute to the reduction of conflicts, the promotion of sustainability and green economy. The role of the network of biosphere reserves and of the geoparks for strengthening international cooperation was also underscored.

56. Respondents have also made a number of recommendations, including that the Organization should further enhance its contribution to knowledge transfer in order to raise awareness and educate societies on global environmental challenges; enhance the role of category 2 institutes and centres and UNESCO Chairs for capacity-building; focus on gender equality in at least one of the thematic areas and aim that all areas be gender transformative; improve synergies between intergovernmental programmes such as IHP and MAB and other relevant sectors. One respondent referred to the need to protect and reinforce the recognition of the label of UNESCO sites including biosphere reserves and geoparks. Another recommended that Science for peace become a priority area. References were also made to some paragraphs (57, 60, 65, 71 and 86) of the Strategic Results Report (SRR), indicated Member States' agreement with the Secretariat's assessment. It was also noted that, despite the good results obtained, the limited resources allocated to the thematic area of local and traditional knowledge and SIDS present a risk.

57. Lastly, several countries indicated the need for UNESCO's support at national level in the areas of disaster risk reduction, STEM education and water security.

### 7.2.b IOC thematic area

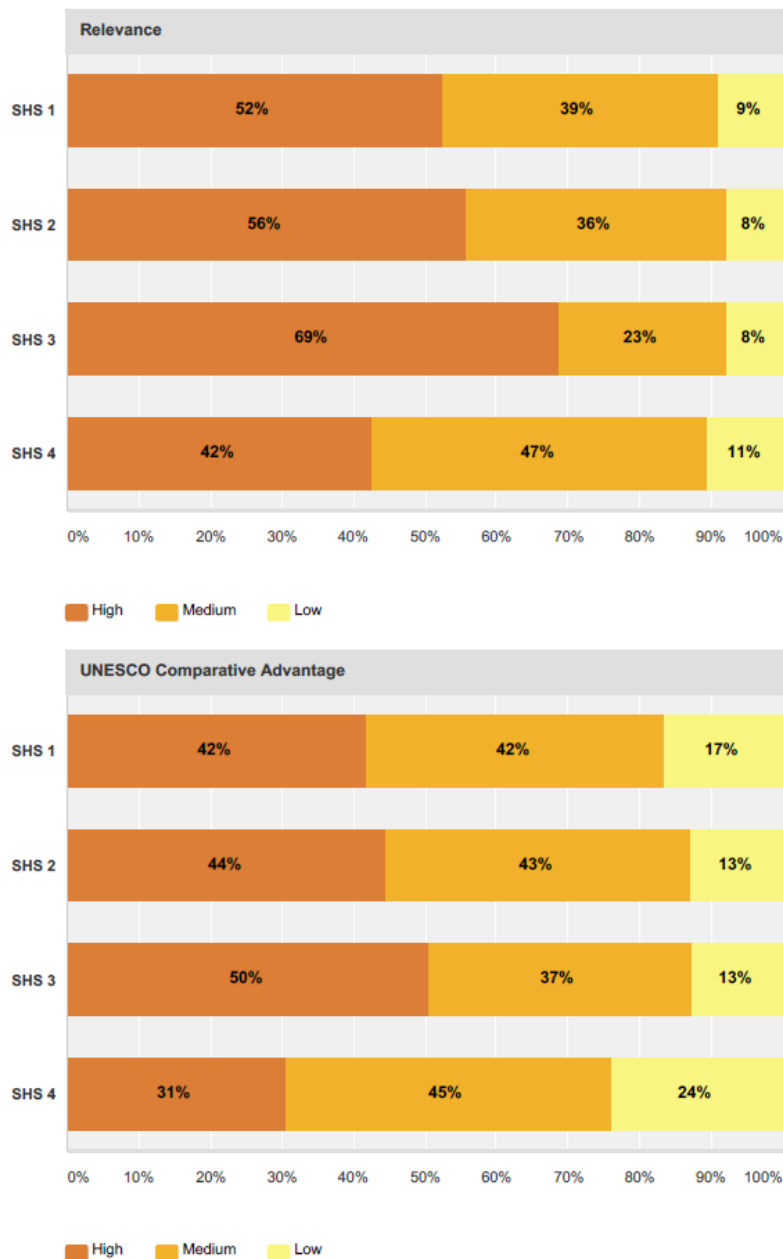


**IOC 1** Strong scientific understanding and systematic observations of the changing world ocean climate and ecosystems shall underpin sustainable development and global governance for a healthy ocean, and global, regional and national management of risks and opportunities from the Ocean

58. A majority of Member States (almost two thirds) assessed as high the relevance and the comparative advantage of IOC.

59. In their comments, Member States indicated that IOC is a flagship programme and that it should be resourced accordingly. One respondent highlighted the importance of strengthening IOC’s regional networks in order to meet the SDG 14 and the challenges of climate change, and suggested that collaborative work between IOC and MOST should be developed to this end. It was also stated that the draft 39 C/5 shall be in full accordance with the Statutes of the IOC. Finally, one respondent indicated that there was a need to clarify the division of labour between IOC and UN Ocean.

### 7.3 Social and Human Sciences thematic areas



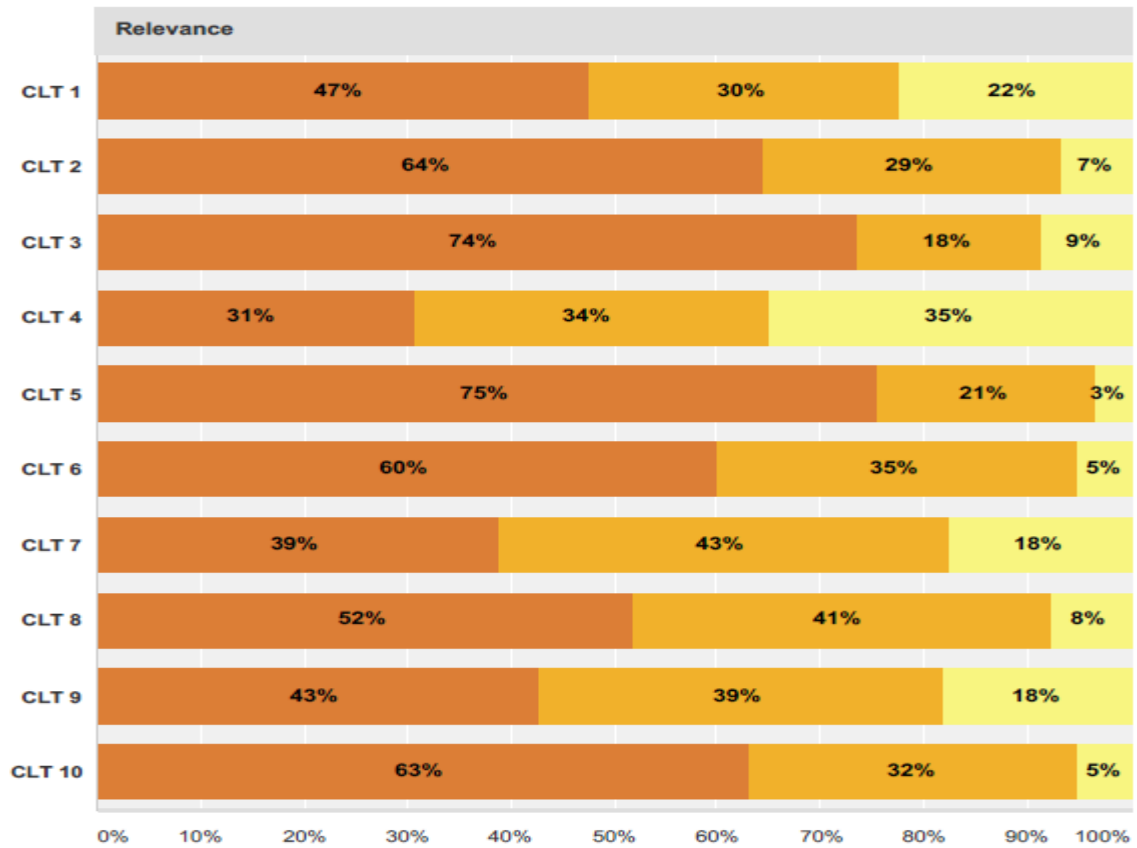
- SHS 1** Mobilizing knowledge and values to equip societies to comprehend and accompany social transformations
- SHS 2** Participatory and inclusive policy formulation to promote equity, rights and ethical principles
- SHS 3** Peaceful and inclusive societies harnessing the potential of dialogue and the participation of youth
- SHS 4** Integrity and governance of sport as an enabler of sustainable development and peace

60. A majority of respondents assessed the area of Peaceful and inclusive societies harnessing the potential of dialogue and the participation of youth as highly relevant and in which UNESCO has a high comparative advantage. Views appear to be divided with regard to UNESCO's comparative advantage in the area of Integrity and governance of sport as an enabler of sustainable development and peace as, for example, 31% of respondents ranked it as 'high' and, on the other extreme, 24% of them considered that UNESCO had a limited or low comparative advantage in this area.

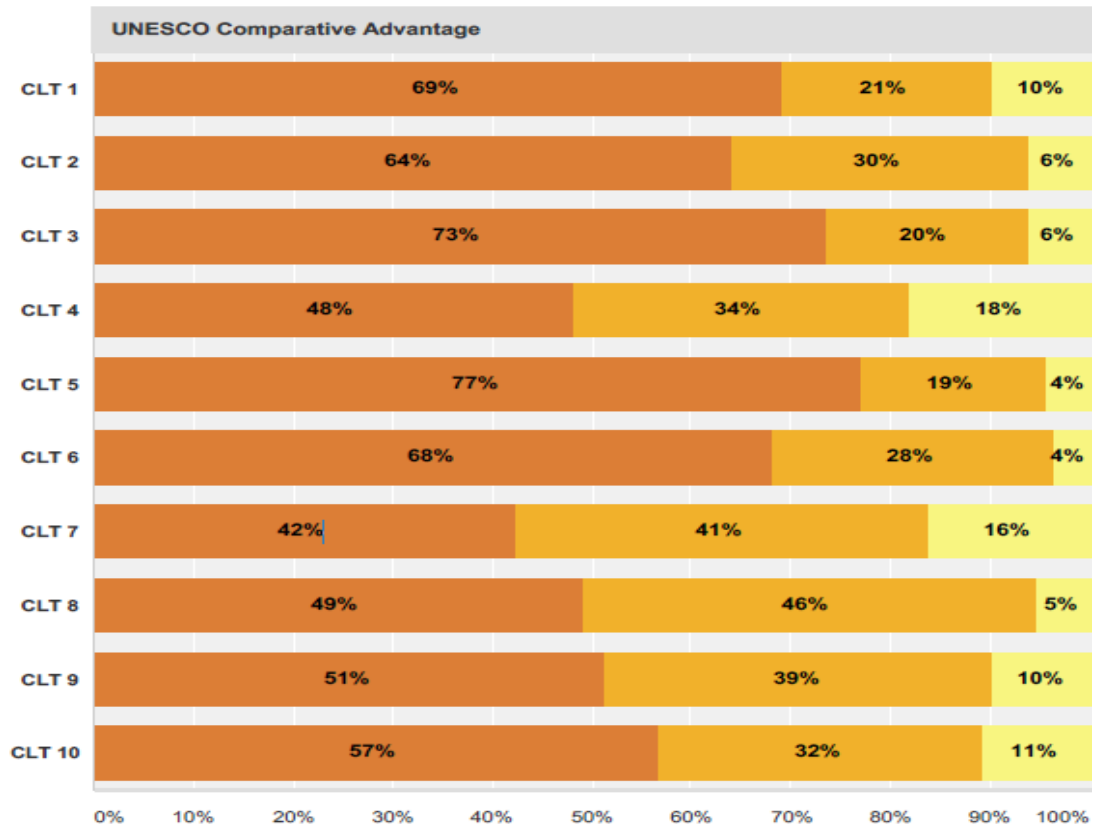
61. Member States recognized the importance of social and human sciences for sustainable development and for advancing the reflection on the definition of ethical principles. The importance, from both the relevance and comparative advantage points of view, of the MOST programme, IBC, COMEST, sustainability science and intercultural dialogue, was stressed in this context. A number of respondents expressed their support to the new orientation for the Major Programme III proposed in paragraph 139 of the SRR (proposing that "mobilizing knowledge and values through dialogue with our stakeholders to equip societies to understand the challenges they face and to transform themselves in response" be the common thread of MP III activities), as well as in paragraph 186 concerning the Operational Strategy on Youth. It was also recommended that the thematic area of Peaceful and inclusive societies be addressed in an intersectoral manner and that the linkages between social sciences and climate change be taken into account. One respondent stated that UNESCO's social and human sciences programme impact in Latin America was limited compared with that of other organizations.

62. Finally, respondents expressed divergent views with regard to the area of Integrity and governance of sport as an enabler of sustainable development and peace, with one respondent stating that UNESCO's action in this area was fundamental and another respondent indicating that UNESCO did not have a sufficient comparative advantage in this area.

### 7.4 Culture thematic areas



High Medium Low



High Medium Low

- CLT 1** Protecting cultural property in the event of an armed conflict (1954 Convention and its two Protocols)
- CLT 2** Combating illicit import, export and transfer of cultural property and enhancing the capacities of museums (1970 Convention and 2015 Recommendation concerning the Protection and Promotion of Museums and Collections, their Diversity and their Role in Society)
- CLT 3** Identifying, protecting, monitoring and sustainably managing tangible heritage (1972 Convention and 2011 Recommendation on the Historic Urban Landscape)
- CLT 4** Protecting underwater cultural heritage (2001 Convention)
- CLT 5** Safeguarding the intangible cultural heritage, including indigenous and endangered languages (2003 Convention)
- CLT 6** Sustaining and promoting the diversity of cultural expressions (2005 Convention and 1980 Status of the Artist Recommendation)
- CLT 7** Mainstreaming Gender Equality through the implementation of the culture conventions
- CLT 8** Culture for Sustainable Development, in particular through sustainable urban development within the 2030 Agenda
- CLT 9** Emergency preparedness and response, including the implementation of the 2015 strategy to reinforce UNESCO's action for the protection of culture and the promotion of cultural pluralism in the event of armed conflict
- CLT 10** Educational programmes to promote heritage values, creativity and cultural diversity

63. Overall, the two areas which were assessed by the vast majority of respondents (at least 73%) as highly relevant and in which UNESCO has a strong comparative advantage are those related to the cultural intangible (2003 Convention) and tangible heritage (1972 Convention and 2011 Recommendation on the Historic Urban Landscape). Similarly, respondents' views converged and more than 60% assessed as high both the relevance and UNESCO's comparative advantage with respect to two other areas, namely "illicit trafficking (1970 Convention and 2015 Recommendation concerning the Protection and Promotion of Museums and Collections, their Diversity and their Role in Society) and "Sustaining and promoting the diversity of cultural expressions (2005 Convention and 1980 Status of the Artist Recommendation)".

64. The analysis of replies shows that for other areas, while not considered as highly relevant, UNESCO has a strong comparative advantage, as confirmed for example by almost 70% of respondents with respect to "protecting cultural property in the event of armed conflict (1954 Convention and its two Protocols)". And as regards the protection of underwater heritage (2001 Convention), 48% of respondents recognize that UNESCO has a comparative advantage in this area, and some have emphasized that the 2001 Convention is a critical normative instrument which adequately protects underwater heritage and counters pillaging and extensive commercial activities.

65. Member States recognize the importance of normative action and consider that it's both relevant and an area where UNESCO has a comparative advantage. They called for enhanced technical support and guidance for the implementation of the conventions and recommendations. Furthermore, in view of the budgetary situation, some respondents indicated that heritage most at risk should be focused upon and prioritized.

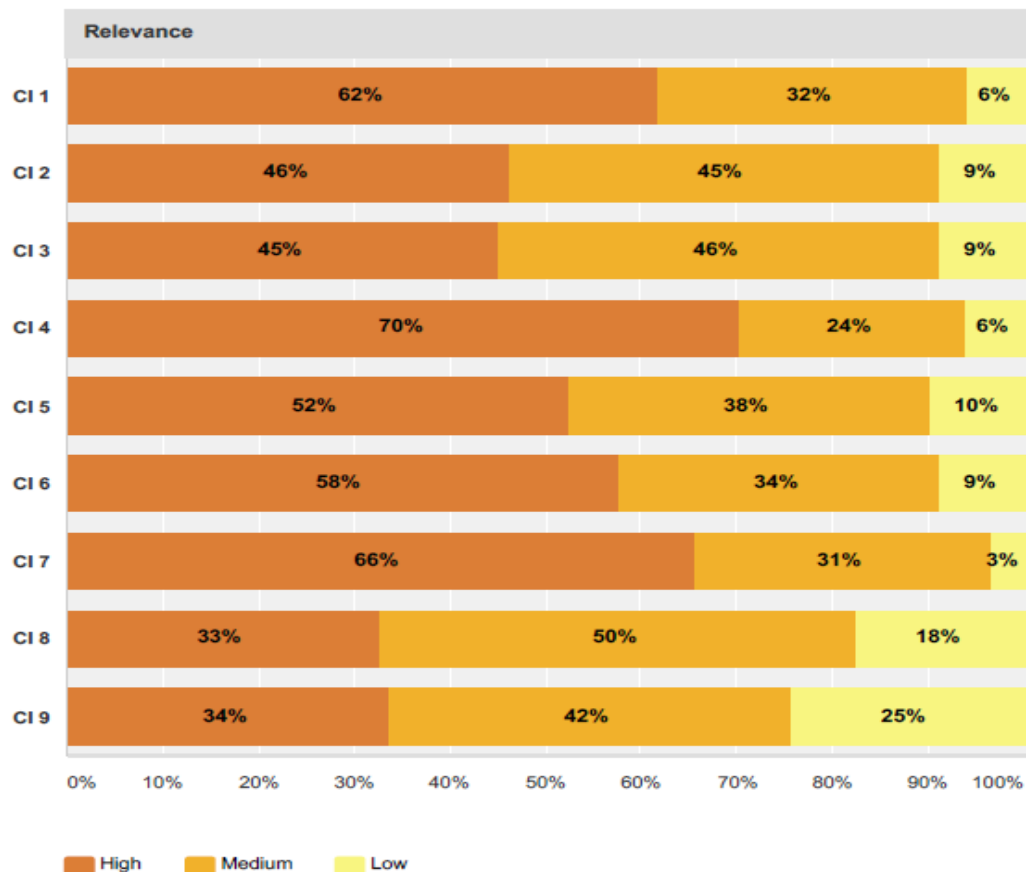
66. A respondent underscored the importance, in light of the 2030 Agenda, of implementing the Culture programme through an intersectoral approach, taking into account the potential of its existing networks, notably the creative cities network. Similarly, in light of its intersectoral nature, it was proposed to consider the "Educational programmes to promote heritage values, creativity and cultural diversity" as a distinct intersectoral area.

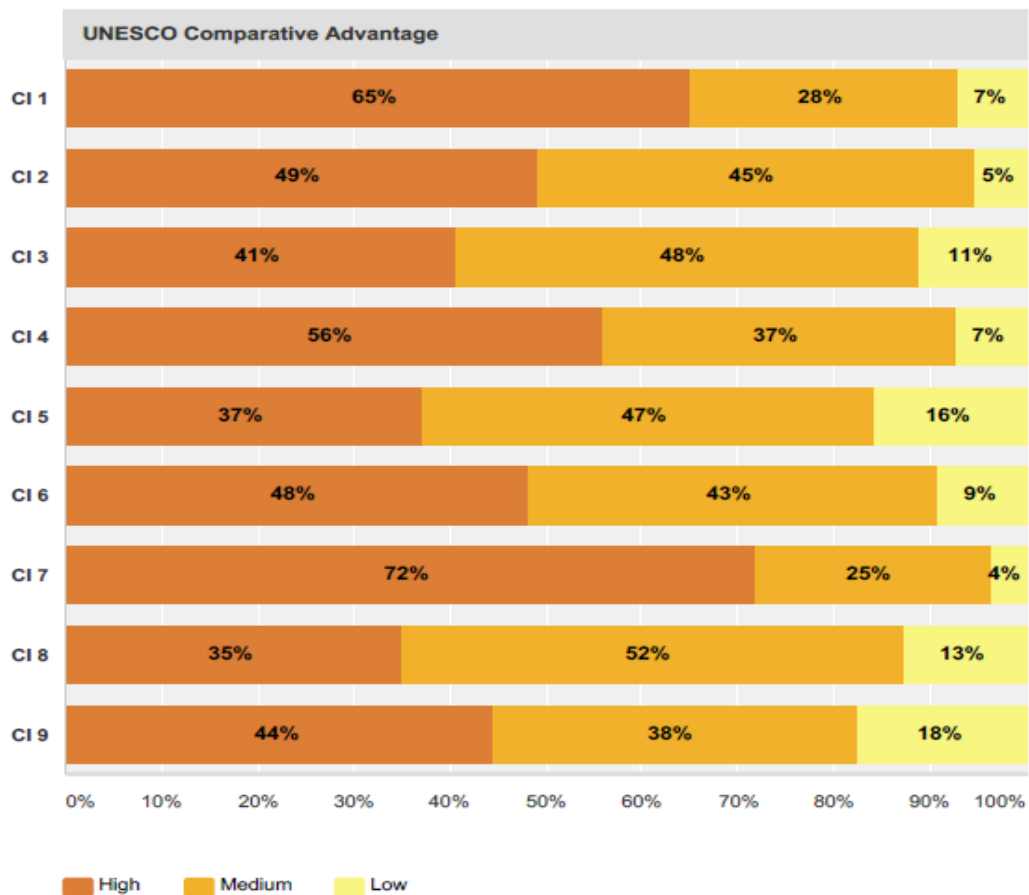
67. Regarding “Safeguarding the intangible cultural heritage, including indigenous and endangered languages (2003 Convention)” and “Identifying, protecting, monitoring and sustainably managing tangible heritage (1972 Convention and 2011 Recommendation on the Historic Urban Landscape)”, a number of respondents stressed the importance of addressing the disparity between developing and developed countries for both the World Heritage List and the Representative List of Intangible Cultural Heritage of Humanity.

68. As regards “Sustaining and promoting the diversity of cultural expressions (2005 Convention and 1980 Status of the Artist Recommendation)”, a few respondents expressed their preference for a stronger focus on freedom of expression for artists and artistic freedom.

69. Additional recommendations for the future included: Developing further synergies between the culture conventions, in particular to address new challenges such as in the case of armed conflicts; and advocacy and awareness raising on the importance of culture in national development policies.

## 7.5 Communication and Information thematic areas





- CI 1** Freedom of expression and press freedom, including safety of journalists
- CI 2** Media development through the International Programme for the Development of Communication (IPDC)
- CI 3** Enhanced pluralistic media and empowered audiences
- CI 4** Information and Communication Technology (ICT) in education and open ICT solutions for building inclusive knowledge societies
- CI 5** ICTs for creating employment and achieving the Sustainable Development Goals (SDGs)
- CI 6** Universal access to knowledge including persons with disabilities, linguistic minorities, people living in remote areas and other marginalized and vulnerable social groups (2003 Recommendation on the Promotion and Use of Multilingualism and Universal Access to Cyberspace)
- CI 7** Preservation of documentary heritage including through the Memory of the World Programme (MoW)
- CI 8** Implementation of the World Summit of the Information Society (WSIS) outcomes
- CI 9** Outcomes of the Intergovernmental Information for All Programme (IFAP) priorities promoted

70. All Communication and Information thematic areas were generally considered highly important, with three top highest relevance-ranked fields: ICTs in education and open ICT solutions for building inclusive knowledge societies (70%); preservation of documentary heritage through Memory of the World Programme (66%); and freedom of expression and press freedom, including safety of journalists (62%). The area of ICTs for creating employment and achieving the SDGs was assessed of high relevance by 52% of respondents. Views regarding the relevance of the implementation of the WSIS outcomes and IFAP are rather divergent, with the highest majority of respondents opting for the “medium” ranking, and quite a few for a low ranking (18% for WSIS; and 25% for IFAP).

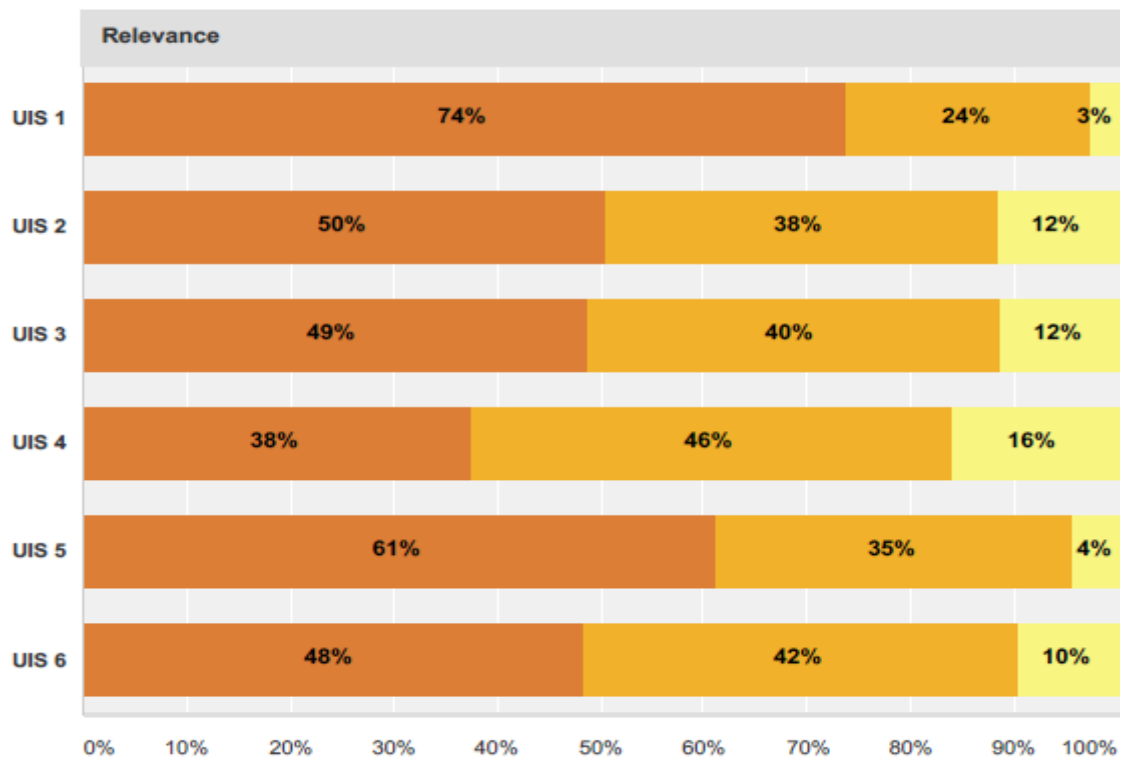


71. The picture is slightly different for the UNESCO comparative advantage with other (inter)national organizations in the same thematic areas. The three top highest-ranked fields in terms of comparative advantage remain the same as for the relevance criteria: preservation of documentary heritage through Memory of the World Programme (72%); freedom of expression and press freedom, including safety of journalists (65%); and ICTs in education and open ICT solutions for building inclusive knowledge societies (56%). UNESCO's comparative advantage in the area of ICTs for creating employment and achieving the SDGs was assessed as high by only 37% of respondents, same as the area related to the implementation of the WSIS outcomes (35%). UNESCO's comparative advantage in relation to each of the intergovernmental programmes was assessed as "high" by 49% of the respondents for IPDC and by 44% for IFAP.

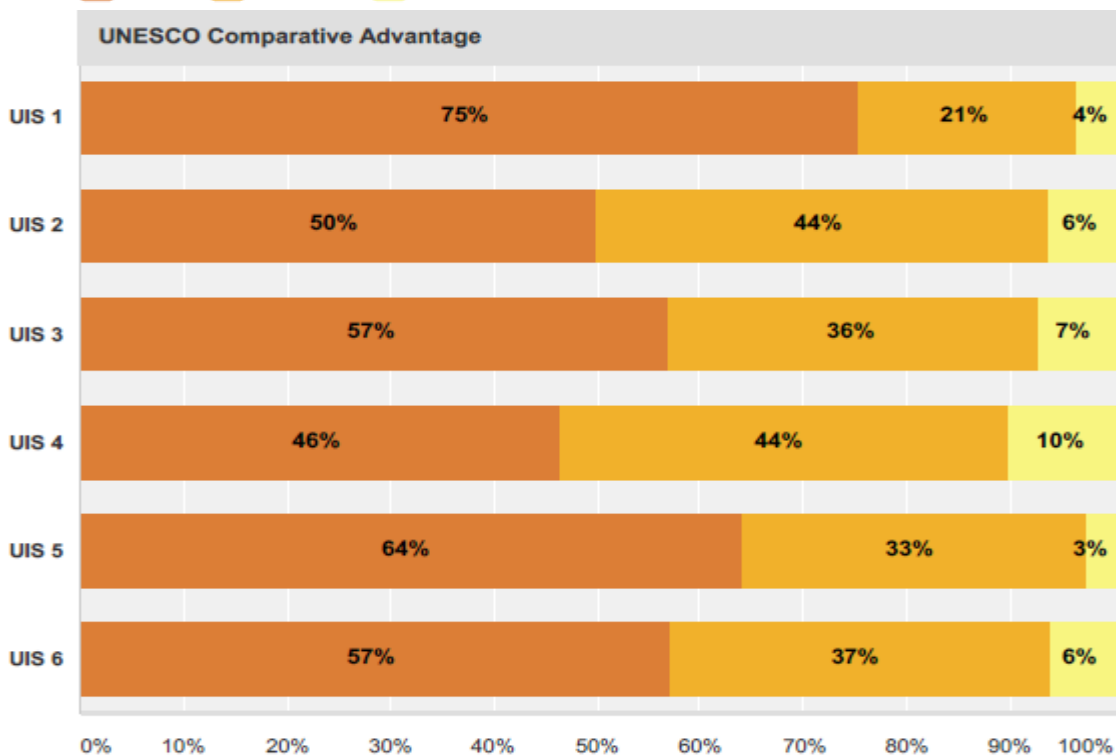
72. In their additional comments, Member States reiterated the importance of UNESCO's action in the field of communication and information, especially with regard to its role in and contribution to the achievement of the SDGs. Some also called for increased efforts and resources, in particular with respect to digital heritage; ICT in education and open ICT solutions; freedom of expression and training and safety of journalists; as well as media and information literacy. It was also underlined that specific focus should be made with respect to the promotion of gender equality – one respondent recommended that UNESCO applies gender-transformative approach to the thematic areas.

73. In relation to the intergovernmental programmes, one respondent suggested that in order to avoid duplication and fragmentation, the mandate of the IPDC could be reviewed and further focused, particularly since resources are limited; while another respondent viewed that since IFAP's priorities are well-known and visible, it was no longer necessary to refer "to the promotion of information about the Programme's priorities, but rather to work on their further development".

### 7.6 UNESCO Institute for Statistics – Major work areas



High Medium Low



High Medium Low

- UIS 1** Strengthening national statistics in Education  
**UIS 2** Strengthening national statistics in STI  
**UIS 3** Strengthening national statistics in Culture  
**UIS 4** Strengthening national statistics in Communication and Information  
**UIS 5** Development of education indicators by UIS  
**UIS 6** Production and dissemination of policy-relevant statistical information by UIS

74. At the global level, the UIS has a comparative advantage for 64% of the respondents and is considered as highly relevant (by 61%) to exert leadership in developing the education indicators, all the more in the framework of the 2030 Agenda. One respondent noted however that statistics were missing for Social and Human Sciences and STI.

75. At the national level, the relevance and comparative advantage of the UIS in strengthening national statistics in education, in STI and in culture are widely recognized by the respondents.

### G. Sunset clauses

**Question 8: In the light of the programme assessment results in the SRR, as well as the findings of external evaluations and your own assessment, please indicate which of the thematic area(s) listed above under “Part F – Programme priorities for the future 39 C/5” should be discontinued in the 39 C/5. Please use also the same text box for any other related comment.**

76. Out of the 65 respondents, 37 did not propose any thematic areas to be discontinued, and many have argued that all UNESCO’s programmes were indispensable and that sufficient programme prioritization and streamlining have been done already.

77. The hereunder listed thematic areas were proposed for discontinuation:

Sector/Thematic area	No. of respondents
<b>Education</b>	
Health education, HIV and sexuality education	4
Global citizenship education	4
Sector-wide policy and planning	2
Education for Sustainable Development	1
ICT in education	1
TVET	1
Higher education	1
Teachers	1
<b>Natural sciences</b>	
Strengthening the use of biosphere reserves as learning places for biodiversity conservation, equitable and sustainable development, and climate change adaptation	3
IOC	3

Sector/Thematic area	No. of respondents
Enhancing risk reduction, early warning of natural hazards and disaster preparedness and resilience (UNESCO should provide advice, upon request, only)	3
Global cooperation in the geological sciences	3
Mobilizing local and indigenous knowledge and engagement with society, in particular with vulnerable groups including SIDS and indigenous people	3
Enhancing capacity-building and education in basic and applied research in natural sciences (IBSP)	2
Interdisciplinary engineering research	2
Strengthening Science, Technology and Innovation (STI) policy and the science-policy interface	1
Strengthening responses to water security challenges	1
<b>Social and human sciences</b>	
Integrity and governance of sport as an enabler of sustainable development and peace	6
Mobilizing knowledge and values to equip societies to comprehend and accompany social transformations (MOST)	4
MLA 1, ER 2, Intercultural dialogue	2
Peaceful and inclusive societies harnessing the potential of dialogue and the participation of youth	2
MLA 1, ER 4, Promotion of shared history and memory for reconciliation and dialogue	1
<b>Culture</b>	
Protecting Underwater cultural heritage (2001 Convention)	5
Protecting cultural property in the event of an armed conflict (1954 Convention and its two Protocols)	2
Mainstreaming Gender Equality through the implementation of the culture conventions	2
Educational programmes to promote heritage values, creativity and cultural diversity	2
Combating illicit import, export and transfer of cultural property and enhancing the capacities of museums (1970 Convention and 2015 Recommendation concerning the Protection and Promotion of Museums and Collections, their Diversity and their Role in Society)	1
Sustaining and promoting the diversity of cultural expressions (2005 Convention and 1980 Status of the Artist Recommendation)	1
Emergency preparedness and response, including the implementation of the 2015 strategy to reinforce UNESCO's action for the protection of culture and the promotion of cultural pluralism in the event of armed conflict	1

Sector/Thematic area	No. of respondents
<b>Communication and information</b>	
ICTs for creating employment and achieving the Sustainable Development Goals (SDG)	5
Outcomes of the Intergovernmental Information for All Programme (IFAP) priorities promoted	5
Information and Communication Technologies (ICT) in education and open ICT solutions for building inclusive knowledge societies	2
Preservation of documentary heritage including through the Memory of the World Programme (MoW)	2
Implementation of the World Summit of the Information Society (WSIS) outcomes	2
Freedom of expression and press freedom, including safety of journalists	1
Media development through the International Programme for the Development of Communication (IPDC)	1
Enhanced pluralistic media and empowered audiences	1
Universal access to knowledge including persons with disabilities, linguistic minorities, people living in remote areas and other marginalized and vulnerable social groups (2003 Recommendation on the promotion and use of multilingualism and universal access to cyberspace)	1

78. Furthermore, respondents made a series of recommendations, among which:

#### **Education:**

Under Major Programme I, one respondent suggested that early childhood education should be reinforced in the 39 C/5. Moreover, one respondent considered that UNESCO should scale down its investment in health education, HIV and sexuality education and that ownership should now lie with Member States with the support of other United Nations partners active in this field.

#### **Social and Human Sciences:**

It was recommended that intercultural dialogue be addressed in an intersectoral manner and that MOST, sustainability science, the programmes for youth and disabled as well as displaced groups be given high priority. One respondent suggested that, in the context of the ongoing reforms, the intergovernmental committee in bioethics (IGBC) be phased out. One respondent suggested that the entire Social Sciences sector be reviewed and repurposed. One respondent recommended that the two science sectors be integrated into one Sector.

#### **Culture:**

- Culture conventions:

*State Parties to culture conventions should identify and focus on key priorities, and contribute to their financing to bridge the gaps; Result frameworks, an effective monitoring system, results reporting framework, including periodic reports should be defined and/or*

*strengthened; Thematic extrabudgetary programmes could be adjusted, phased out or carried out by partner organizations such as category 2 institutes and centres under the auspices of UNESCO.*

- Cultural intangible (2003 Convention) and tangible heritage (1972 Convention and 2011 Recommendation on the Historic Urban Landscape):

*Shift the current focus on listing mechanisms to more important and long-term conservation, management and safeguarding mechanisms.*

- Emergency preparedness and response, including the implementation of the 2015 strategy to reinforce UNESCO's action for the protection of culture and the promotion of cultural pluralism in the event of armed conflict:

*Protection of heritage and cultural pluralism, by UNESCO, must be carried out within the framework of its original mandate and in accordance with the provisions of existing conventions.*

- Educational programmes to promote heritage values, creativity and cultural diversity:

*Increase emphasis on the role of heritage education to prevent violent extremism, taking a more transversal approach across the heritage conventions.*

No specific recommendations were made with regard to the thematic areas related to **Natural Sciences, IOC** and **Communication and Information**.

#### **IV. CONCLUSION**

79. Generally, several respondents recalled the role of UNESCO in building peace and in bringing distinct comparative advantages and leadership in its different thematic areas. Moreover, they underscored that, in spite of limited resources, the need to foster dialogue and understanding at a time of conflicts uniquely positioned UNESCO all the more as an organization of key significance within the United Nations system for the implementation of the 2030 Agenda for Sustainable Development.

80. For the elaboration of draft 39 C/5, a number of suggestions to consider the following aspects were made:

*Strategic focus:*

- Reinforce strategic focus and prioritization. In particular, comments were made in favor of reinforcing UNESCO's leadership in education, natural sciences, and the promotion of the creation of artistic and creative industries. One respondent recommended the enhancement of UNESCO's support to countries that have their heritage and culture exposed to destruction at the hands of terrorism, and to increase the support for reconstruction and restoration.
- Further mainstream gender equality in all UNESCO programmes.
- Further include youth as a transversal theme and develop strategies on youth.
- Develop intersectoral and interdisciplinary work.
- Avoid overlaps with other organizations, reducing both efficiency and visibility.
- Discourage activities in the field which do not reflect priorities of Member States.

- Develop North-South and North-South-South cooperation.
- One Member State suggested that the Participation Programme be reinforced.

*Governance and methods:*

- Following the external audit on governance, improve the governance through the review and simplification of internal structures for further efficiency and cost savings;
- Continue the implementation of results-based budgeting (RBB) and move towards the structured financing dialogue.

*Field network:*

- Reorganize and reinforce the field network to enable more effective programme delivery and better adapted response to Member States' needs for the implementation of the SDGs;
- Promote the coordination of field offices with other United Nations actors, National Commissions and other partners;
- Develop synergies between regional and national levels through collaboration between regional and national offices, category 1 and category 2 institutes and centres, National Commissions and regional actors;
- Develop and strengthen capacity of field staff;
- Develop capacity of National Commissions.

*Category 1 institutes:*

- Further sustain and combine category 1 Institutes' work with Member States' efforts to achieve the SDGs. This is particularly applicable to Education Institutes and with regard to SDG 4. One respondent also suggested to merge the four category 1 institutes located in Europe into one.

*Financing:*

- Avoid arrears in the payment of assessed contributions
- Develop strategic partnerships to increase financial resources
- Increase the mobilization of extrabudgetary resources

81. In addition, a few comments and suggestions for improvement were made regarding the consultation process and the questionnaire itself, among which: the short period for response and some technical difficulties which did not allow ample consultation of all concerned constituencies within the same country; some Member States wished to see other issues covered by the questionnaire such as those related to the 2030 Agenda which are in UNESCO's mandate; field presence; internal structures of the Organization.

**ANNEX**

**MEMBER STATES**

<b>AFRICA</b>	<b>ARAB STATES</b>	<b>ASIA AND THE PACIFIC</b>	<b>EUROPE AND NORTH AMERICA</b>	<b>LATIN AMERICA AND THE CARIBBEAN</b>
Benin	Algeria	Australia	Albania	Antigua and Barbuda
Burkina Faso	Iraq	Bangladesh	Andorra	Argentina
Burundi	Jordan	Cambodia	Armenia	Bahamas
Cabo Verde	Kuwait	China	Austria	Bolivia
Cameroon	Lebanon	Cook Islands	Belarus	(Plurinational State of)
Central African Republic	Mauritania	Indonesia	Belgium	Chile
Chad	Morocco	Iran (Islamic Republic of)	Bulgaria	Colombia
Côte d'Ivoire	Oman	Japan	Canada	Costa Rica
Ghana	Palestine	Lao People's Democratic Republic	Cyprus	Cuba
Guinea	Qatar	Mongolia	Czech Republic	Dominican Republic
Kenya	Syrian Arab Republic	Nauru	Denmark	El Salvador
Lesotho	Tunisia	Nepal	Estonia	Grenada
Liberia		Pakistan	Finland	Honduras
Madagascar		Philippines	Georgia	Mexico
Mali		Republic of Korea	Germany	Nicaragua
Mauritius		Sri Lanka	Greece	Paraguay
Namibia		Tonga	Hungary	Peru
Nigeria		Turkmenistan	Ireland	Saint Lucia
Republic of the Congo		Uzbekistan	Italy	Saint Vincent and the Grenadines
Rwanda			Latvia	Suriname
Senegal			Lithuania	Trinidad and Tobago
Seychelles			Monaco	Uruguay
South Africa			Norway	Venezuela (Bolivarian Republic of)
Togo			Poland	
Uganda			Portugal	
Zambia			Republic of Moldova	
Zimbabwe			Romania	
			Russian Federation	
			Serbia	
			Slovakia	
			Slovenia	
			Spain	
			Sweden	
			Switzerland	
			Turkey	
			Ukraine	
			United Kingdom of Great Britain and Northern Ireland	



**ASSOCIATE MEMBERS**

**Europe and North America**

Faroes

**Latin America and the Caribbean**

Curaçao  
Sint Maarten  
British Virgin Islands



United Nations  
Educational, Scientific and  
Cultural Organization

# Executive Board

Two hundredth session

# 200 EX/13 Part I (B)

PARIS, 30 August 2016  
Original: English

Item 13 of the provisional agenda

## PRELIMINARY PROPOSALS BY THE DIRECTOR-GENERAL CONCERNING THE DRAFT PROGRAMME AND BUDGET FOR 2018-2021 (39 C/5)

### PART I (B)

### SUMMARIES OF THE RESPONSES PROVIDED BY THE UNITED NATIONS ORGANIZATIONS, INTERGOVERNMENTAL ORGANIZATIONS (IGOS) AND INTERNATIONAL NON-GOVERNMENTAL ORGANIZATIONS (NGOS)

#### SUMMARY

Part I of this document contains the preliminary proposals by the Director-General for the Draft Programme and Budget for 2018-2021 (39 C/5), which will be the second and final Programme of the period 2014-2021 covered by the Medium-Term Strategy of the Organization ([37 C/4](#)).

Part I (A) presents an analysis of Member States and Associate Members replies to the questionnaire on the Programme and Budget for the period 2018-2021 (39 C/5), circulated under cover of CL/4152.

**Part I (B) presents the summaries of the responses provided by the United Nations organizations, intergovernmental organizations (IGOs) and international non-governmental organizations (NGOs).**

Part I (C) contains the reports of the regional consultations of the National Commissions for UNESCO held in Shanghai, China on 15 June 2016.



## I. INTRODUCTION

1. By circular letter CL/4152 of 18 April 2016, the Director-General launched a consultation through a questionnaire on the Draft Programme and Budget for 2018-2021 (39 C/5) to Member States, including to their National Commissions for UNESCO, as well as to intergovernmental organizations (IGOs) and non-governmental organizations (NGOs) which have established official relations with UNESCO. The questionnaire has been designed to solicit their views, comments and suggestions on key principles, priorities, challenges and core issues, which should inform the preparation of the Draft 39 C/5.
2. The present document contains a summary of the views and suggestions of one United Nations organization and three intergovernmental organizations (IGOs) and the analysis of replies of 84 international non-governmental organizations (NGOs), foundations and similar institutions (see list in Annex), whose replies had reached the Secretariat by 20 May 2016.
3. The sections in the present document follow the structure of the questionnaire. The full text of responses received can be accessed at: <http://www.unesco.org/new/en/bureau-of-strategic-planning/resources/preparation-39c5/>.

## II. SUMMARY OF COMMENTS MADE BY UNITED NATIONS ORGANIZATIONS AND INTERNATIONAL GOVERNMENTAL ORGANIZATIONS

4. **SDG 1** (End poverty) and **SDG 5** (gender equality) were considered by all four respondents as high priority for joint cooperation with UNESCO. Three respondents indicated also **SDG 4** (quality education), **SDG 6** (sustainable management of water), **SDG 13** (urgent action to combat climate change) and **SDG 14** (oceans) as high priority areas for cooperation with UNESCO.
5. Joint cooperation with UNESCO was also relevant, albeit to a lesser degree, in the areas related to **SDG 15** (ecosystems) and **SDG 16** (peaceful and inclusive societies), according to three respondents, and in **SDG 9** (industrialization and innovation) for two respondents.
6. All respondents considered “Intercultural dialogue, peace building and the fight against all forms of discrimination” as high priority area in which UNESCO should further capitalize on its multidisciplinary expertise and enhance its **intersectoral approach** in the implementation of the 2030 Agenda. Three respondents considered as high priority area also “Education for sustainable development”, and two respondents ranked as high priority areas also “Biodiversity and management of transboundary natural resources”; “Emergency preparedness and responses (including Disaster Risk Reduction)”; and “Harnessing digital information and communication technologies (ICTs) for promoting sustainable development”.
7. It was also indicated that intercultural and interfaith dialogue as well as linkages between tourism and culture should be enhanced. Overall, respondents agreed on the need for the Organization to enable a more flexible, cost-efficient and effective implementation of **intersectoral** programmes and projects.
8. All respondents agreed that UNESCO should continue giving the same emphasis to **specific target population and country groups**, with highest given to Youth for two of them, and the most marginalized for the other respondent. Views were divided with respect to the priority to assign to each of the other target population of country groups. One respondent indicated that necessary attention should be given to children displaced by war and conflicts, in particular through the provision of education and learning opportunities.
9. Two respondents agreed on the need for the Organization to **prioritize its regular budget resource allocation** to support its normative and upstream work, and complement its resources with extrabudgetary funding to finance its operational work. One respondent did not agree with this

approach and recommended that budgetary provision for technical and preliminary work should be made according to the programme priorities to allow full implementation of all planned activities.

### **Programme assessment and priorities**

#### **A. Recent achievement of UNESCO**

10. Three respondents underlined that benefits of joint cooperation with UNESCO in the area of **education** were significant. It was recommended that UNESCO coordinate and facilitate the development of a roadmap for the implementation of the 2030 Education agenda.

11. One respondent assessed joint cooperation with UNESCO in the field of **Natural Sciences** as not significant and two other indicated that reference to this Programme was 'not applicable' in their case.

12. One respondent assessed the results of joint cooperation with UNESCO in the field of **Social and Human Sciences** as highly significant and two other indicated that reference to this Programme was 'not applicable' in their case.

13. Two respondents assessed the results of joint cooperation with UNESCO in the field of **Culture** as highly significant. In their comments, respondents made specific references to successful joint cooperation in the areas of protection of tangible and intangible heritage, and of culture and tourism.

14. One respondent assessed the results of joint cooperation with UNESCO in the area of **Communication and Information (CI)** as highly significant and two other indicated that reference to this Programme was 'not applicable' in their case.

15. Lastly, the benefits of joint work with **UIS** was assessed as highly significant for two respondents.

#### **B. Programme priorities for the future 39 C/5**

16. When assessing the **relevance of UNESCO's work and its comparative advantage**, not all four respondents have completed the assessment of all thematic areas. Overall, the responses show a general tendency to consider all areas as of medium to high relevance and comparative advantage, with a few exceptions:

17. The relevance of UNESCO's work was assessed as low for the following areas:

- Global Citizenship education; Education for sustainable Development (one respondent);
- Mobilizing local and indigenous knowledge and engagement with society, in particular with vulnerable groups including SIDS and indigenous people, (one respondent);
- Mainstreaming Gender Equality through the implementation of culture conventions (one respondent);

18. As for UNESCO's comparative advantage, it was assessed as low in the following areas:

- Global Citizenship education; Education for sustainable Development; and Health education, HIV and sexuality education
- Enhancing risk reduction, early warning of natural hazards and disaster preparedness and resilience (one respondent);

- Participatory and inclusive policy formulation to promote equity, rights and ethical principles and Peaceful and inclusive societies”; and Governance in sports (one respondent)

19. Finally, on the question related to the sunset clauses (Question 8), only one respondent replied indicating that all thematic areas were considered as necessary by its Organization.

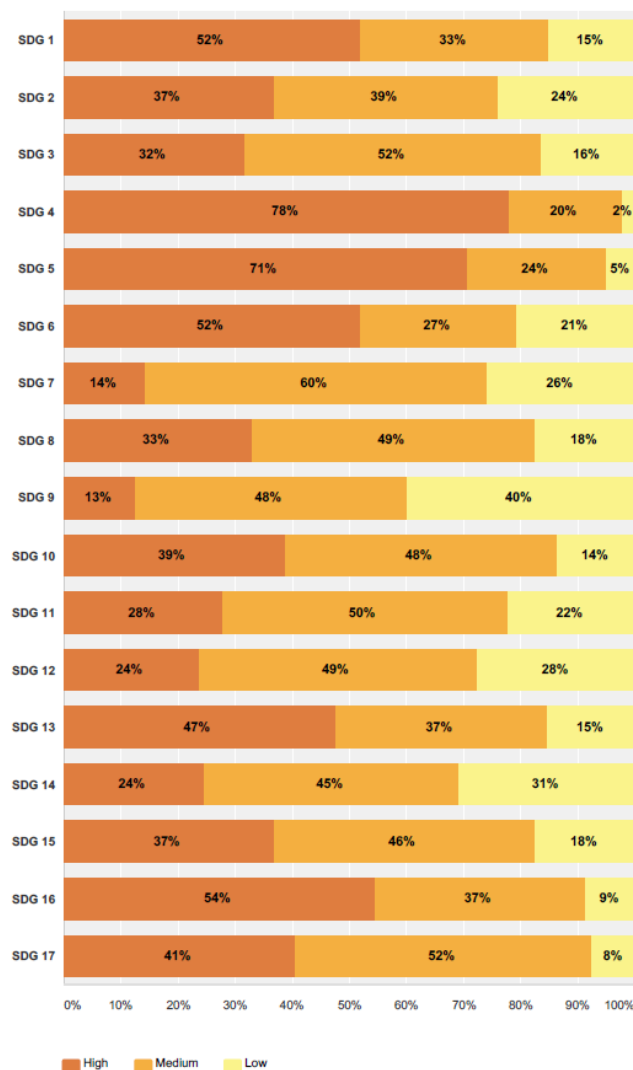
### III. SUMMARY OF COMMENTS MADE BY THE INTERNATIONAL NON-GOVERNMENTAL ORGANIZATIONS

#### UNESCO: THE GENERAL ENVIRONMENT

##### A. The international context

**Question 1: With respect to your national needs and priorities, for which of the following SDGs would you require UNESCO’s support? Please indicate the level of priority by assigning High, Medium or Low to each Goal.**

**If you are a UN agency, IGO or NGO, please assess according to areas for joint collaboration with UNESCO, whether at global, regional or local level.**



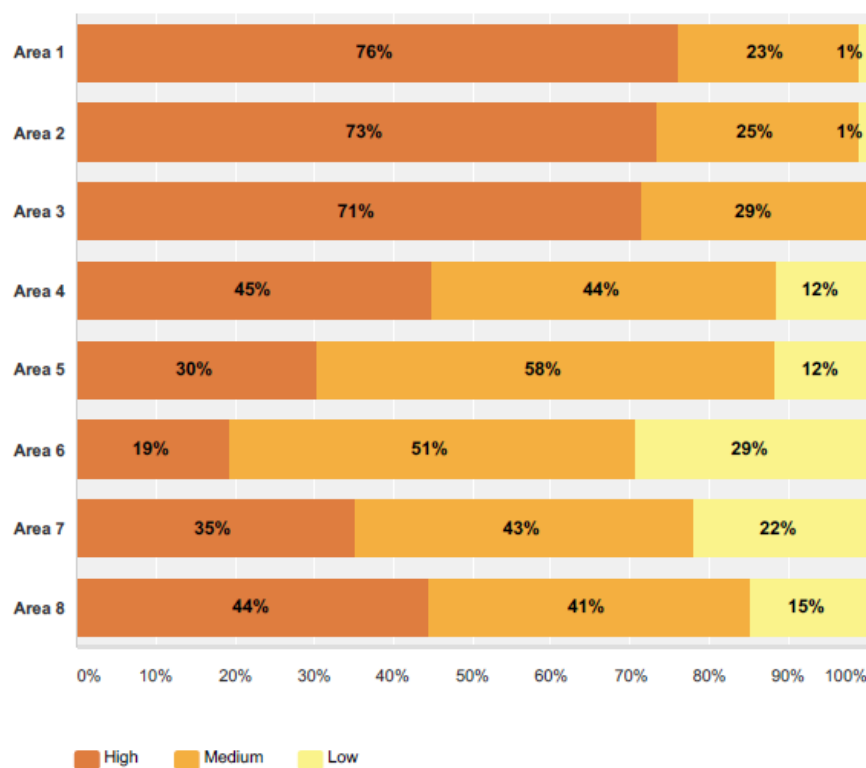
20. A large majority of NGOs ranked **SDG 4** (quality education) and **SDG 5** (gender equality) as high priority areas for joint cooperation with UNESCO. In addition, **SDG 16** (peaceful and inclusive

societies), **SDG 1** (ending poverty) and **SGD 6** (water management) were assessed as high by more than half of respondents.

21. Sixty percent of respondents ranked **SDG 7** (Energy) as of medium priority for joint cooperation with UNESCO, and views were divided with respect to the other SDGs which were considered of medium importance. At the lowest end, joint collaboration with UNESCO was considered of low importance for 40% of respondents in areas related to **SGD 9** (industrialization and innovation), for some 30% in relation to **SDG 14** (oceans) and to **SDG 12** (sustainable consumption and production).

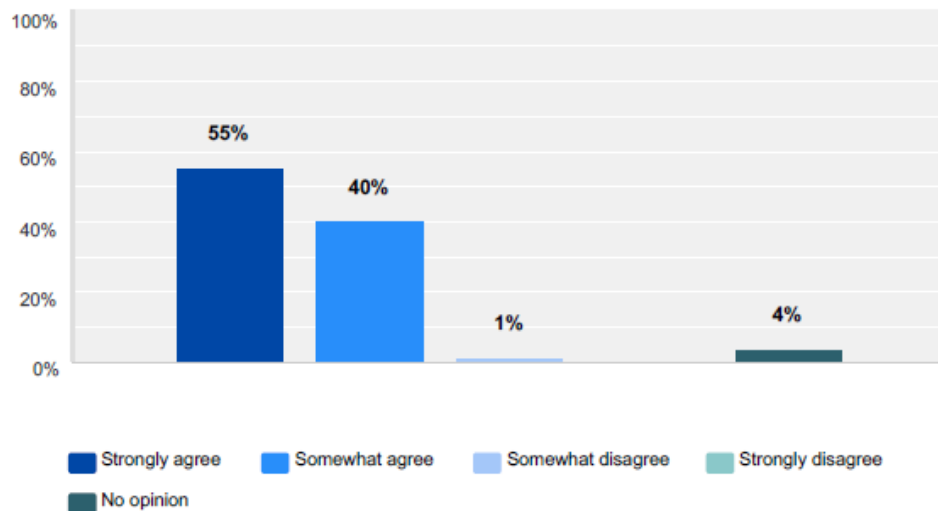
## B. Intersectorality

**Question 2: From the following list, please rate the areas where you think UNESCO should further capitalize on its multidisciplinary expertise and enhance its intersectoral approach to support Member States in the implementation of the 2030 Agenda.**



- Area 1** Intercultural dialogue, peace building and the fight against all forms of discrimination
- Area 2** Global citizenship education, including preventing violent extremism
- Area 3** Education for sustainable development
- Area 4** Climate change
- Area 5** Biodiversity and management of transboundary natural resources
- Area 6** Sustainable cities
- Area 7** Emergency preparedness and response (including Disaster Risk Reduction)
- Area 8** Harnessing Digital and Information and Communication Technologies (ICTs) for promoting sustainable development

**Question 3: Do you agree that the Organization should enable a more flexible, cost-efficient and effective implementation of intersectoral programmes and projects?**



22. The analysis below covers the replies to questions 2 and 3.

23. The majority of respondents considered “Intercultural dialogue, peace building and the fight against all forms of discrimination”, “Global citizenship education, including preventing violent extremism” and “Education for sustainable development” as high priority areas in which UNESCO should further capitalize on its multidisciplinary expertise and enhance its intersectoral approach to support Member States in the implementation of the 2030 Agenda.

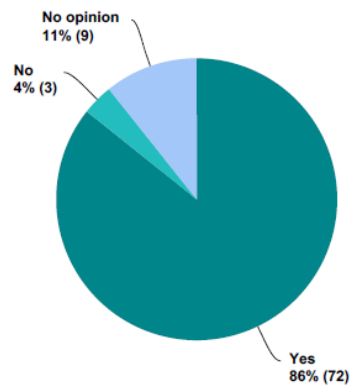
24. Respondents recommended proposed other areas which they considered relevant for intersectoral work. Examples include: education in emergencies; protection of cultural heritage and property against armed conflicts, anthropic threats and natural disasters; promotion of culture and contemporary creative industries as enabler of sustainable cities; regulations of new technologies; combatting discriminations and hate speech conveyed through information and communication technologies (ICTs), among others.

25. It was also suggested that, while all proposed areas seemed relevant for intersectoral work, UNESCO should focus on those such as climate change, sustainable cities and ICTs which were relatively new and, accordingly, required dialogue, further reflection and a new vision.

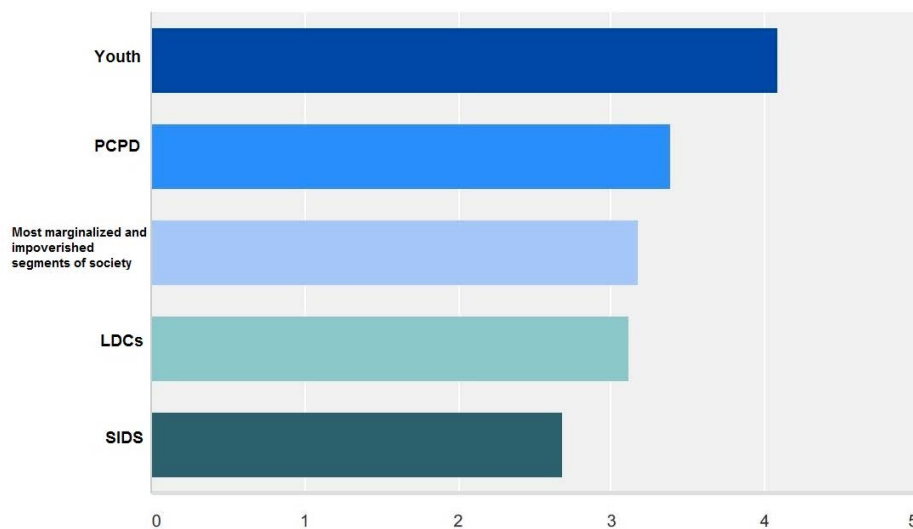
26. In their reply to the second question, the majority of respondents agreed on the need for the Organization to enable a more flexible, cost-efficient and effective implementation of intersectoral programmes and projects.

### C. Target Groups

**Question 4: Do you agree that the Organization continue giving the same emphasis to specific target population or country groups?**



**Respondents who were in agreement with the above statement have proposed the following ranking of the target groups (1=Lowest to 5=highest priority):**



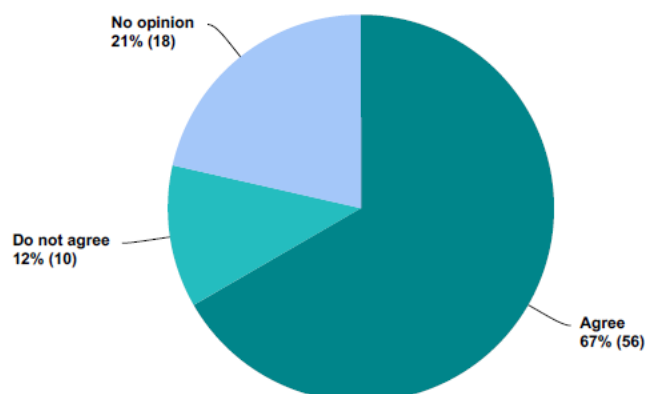
27. The large majority of respondents agreed that UNESCO should continue giving the same emphasis to specific target population and country groups. While there is an overall agreement that all these groups deserve high attention, the majority of respondents (59%) consider that youth should be given the highest priority.

28. Several respondents felt that UNESCO should also focus on other priority groups, such as: children displaced by conflicts and disasters, early childhood and elderly populations; girls and women, especially mothers; workers in precarious conditions. One respondent particularly advocated for the prevention of child and forced marriages. Suggestions were further made towards reinforcement of interagency cooperation in these fields, as well as with the civil society and the private sector, the latest to become a better contributor.



## D. Functions

**Question 5: In view of its limited resources, do you think that UNESCO should prioritize its regular budget resource allocation to support its normative and upstream work, and complement its resources with extrabudgetary funding to finance its operational work?**



29. The majority of respondents agreed on the need for the Organization to prioritize its regular budget resource allocation to support its normative and upstream work, and complement its resources with extrabudgetary funding to finance its operational work. Some respondents who were in agreement stated that normative and upstream work: was UNESCO's comparative advantage; supported NGO's work; and lead to efficient civil society engagement. A few respondents also underlined that operational work could be undertaken in collaboration with implementing partners such as NGOs.

30. A few respondents have qualified their replies indicating that they agreed with the statement on the understanding that prioritized extrabudgetary operational work would be entirely in line with the Programme and Budget priorities and that the independence of the Organization would be safeguarded.

31. Among those respondents who were not in agreement with the statement, some emphasized the importance of both UNESCO normative/upstream and operational work to support Member States in achieving effects/results and sustainable development. A few respondents also indicated that operational work was essential to nurture reflection and assess normative work.

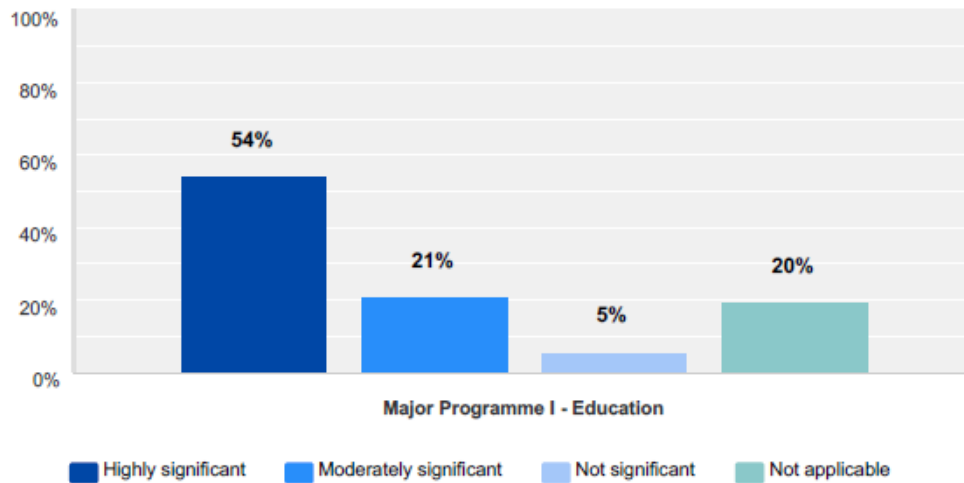
32. The need for establishing new mechanisms and incentive schemes for extrabudgetary funds mobilization, including from the private sector was emphasized by some respondents. Others highlighted also the need for ensuring a balance in funding between normative and operational work, so as to avoid over-reliance on extrabudgetary resources for carrying out operational work and ensure engagement and ownership of beneficiaries.

## PROGRAMME ASSESSMENT AND PRIORITIES

### E. Recent achievement of UNESCO

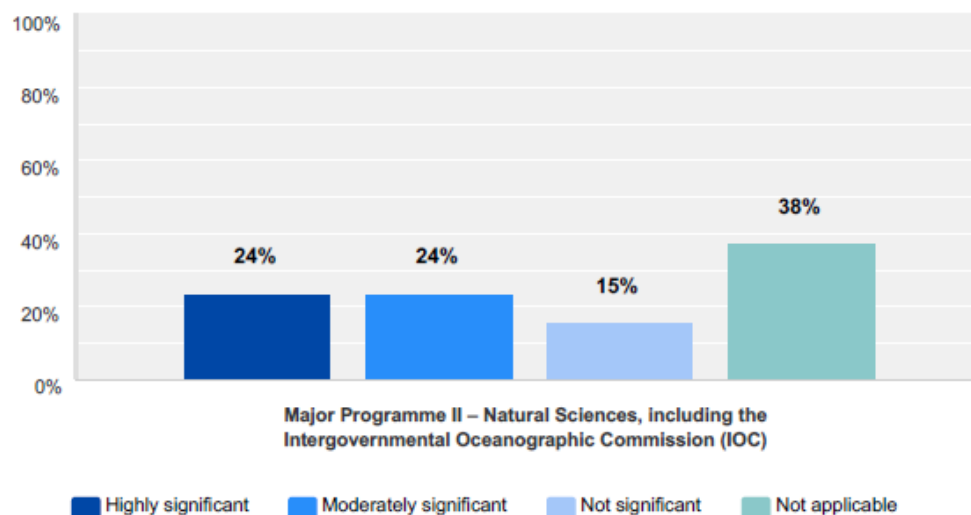
**Question 6: If your country has benefited from UNESCO's support in the recent years in the following areas, please assess the significance of the effects/results realized on a "Highly significant/Moderately significant/Not significant/Not applicable" scale. You may also wish to comment on the nature and relevance of this support and results in the text box (maximum 200 words). If you are a UN agency, IGO or NGO, please assess according to recent joint collaboration with UNESCO, whether at global, regional or local level.**

## 6.1 Major Programme I – Education



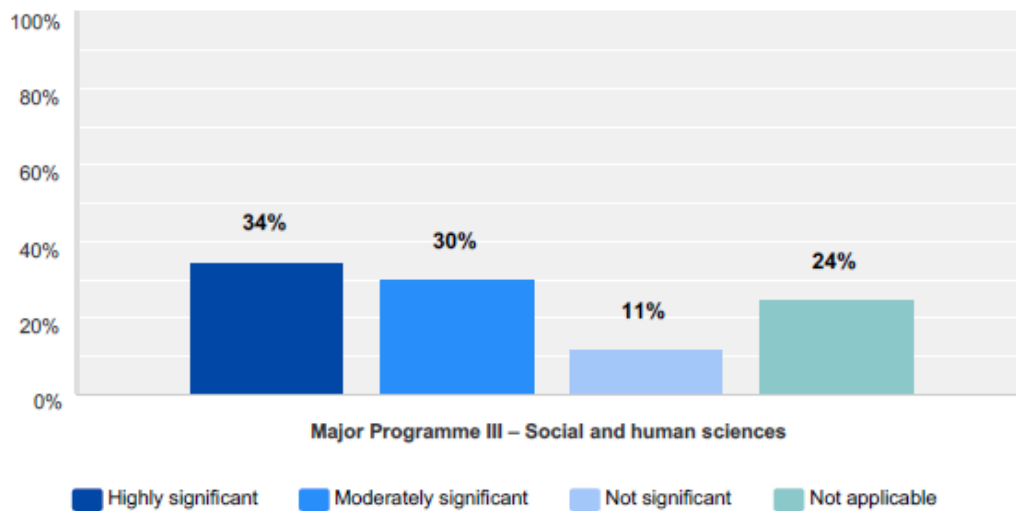
33. Seventy-five percent of the NGOs responded that the benefits of UNESCO's work in the area of Education were significant, a trend which echoes that observed in the replies of Member States' to the questionnaire. The NGOs expressed their wish to further develop cooperation with UNESCO in Education, and valued its role of standard setter and for implementing the 2030 Agenda. Among the areas of cooperation which they have indicated are the following: adult literacy and lifelong learning, TVET; teachers training and continuous professional development; quality education for all; gender equality and empowerment of girls and women; multilingualism; and technologies. It was also recommended that UNESCO strengthen and harness more effectively its partnerships, in particular with UNESCO Chairs.

## 6.2 Major Programme II – Natural Sciences, including the Intergovernmental Oceanographic Commission (IOC)



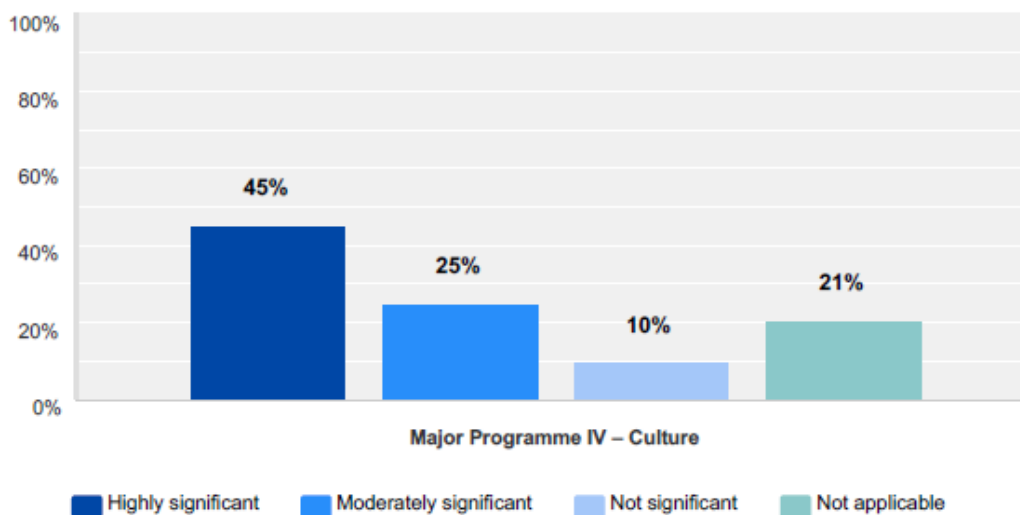
34. On average, less than half of the respondents considered that their recent collaboration with UNESCO in the Natural Sciences was significant. In their comments, the respondents referred to fruitful cooperation with UNESCO within the framework of the intergovernmental programmes such as MAB, IHP and IOC, as well as of COP-21. Joint projects and events on enhancing water access in Africa, cities and water and women empowerment to monitor water resources were specifically mentioned. Successful partnerships with IOC's GOOS, TWAS, ICTP, WWAP, as well as for the organization of major events such as the World Science Forum were also mentioned.

### 6.3 Major Programme III – Social and human sciences



35. Among the 70 NGOs who replied to this question, 64% considered that their recent collaboration with UNESCO in the Social and human Sciences was significant. In their comments, the respondents referred in particular to the importance of UNESCO's work in the area of Youth, including capacity-building in relation to the promotion of peace and non-violence. Successful collaboration in a number of other areas, including peace and intercultural dialogue, rapprochement of cultures, anti-racism and anti-xenophobia, gender equality and women rights, migrations, minorities and inclusion, as well as ethics were also mentioned.

### 6.4 Major Programme IV – Culture



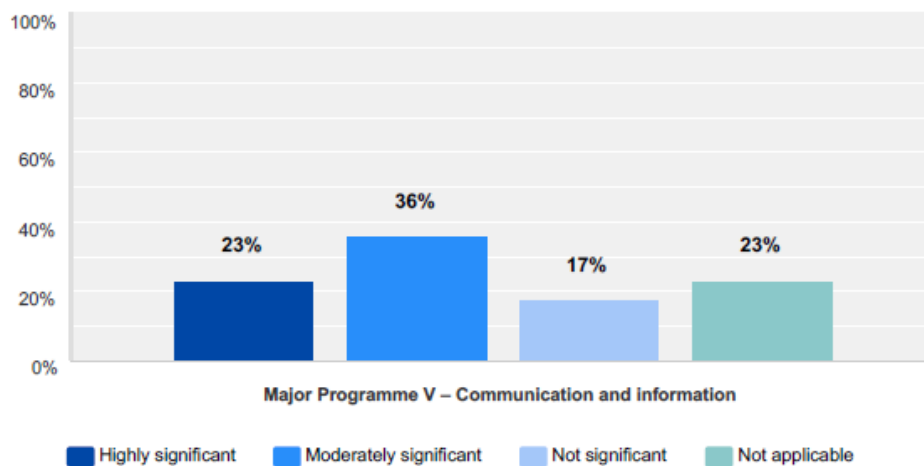
36. On average, 70% of respondents assessed the achieved effects/results induced through collaboration with UNESCO in the field of culture as significant. The following areas were mentioned in particular: the protection of cultural and natural heritage; the protection and promotion of the diversity of cultural expressions; and the safeguarding of intangible heritage. Other references were made, although to a lesser extent, regarding: creative cities; urban planning; the protection of cultural property in the event of an armed conflict; and the prevention of illicit trafficking of cultural heritage.

37. A number of respondents have underscored that cultural conventions and normative instruments have served as key references; proven useful to work with communities; and

contributed towards the rapprochement of cultures, intercultural dialogue and sustainable peace. The linkages and interrelationships between culture and education were emphasized.

38. Respondents made additional recommendations for the future, among which are the following: improve the predictability of collaboration with the Culture Sector; increase support from regional and local levels; develop a more transversal integration of linguistic diversity in culture and its contribution to sustainable development.

### 6.5 Major Programme V – Communication and information

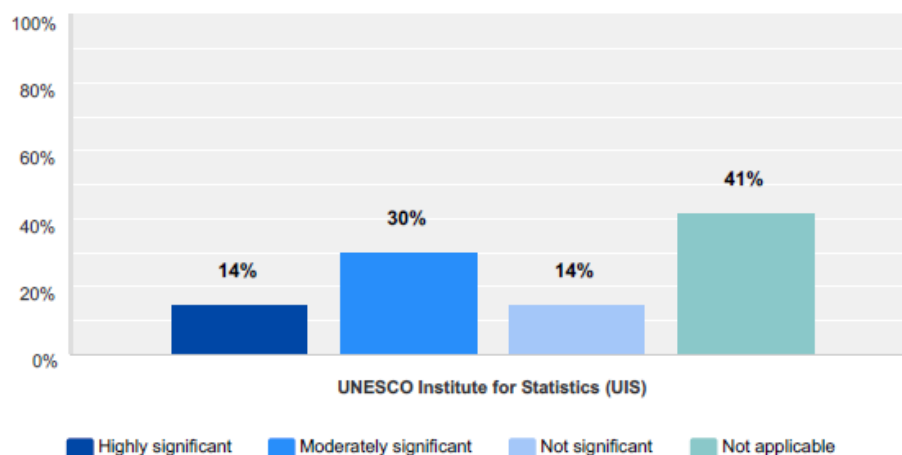


39. The majority of respondents generally assessed the results achieved through UNESCO’s support in the area of Communication and Information (CI) as moderately significant.

40. The examples of benefits provided pertain to various thematic areas in Communication and Information, such as: world’s documentary heritage and atlas of languages; media support to communities; gender equality and ethics in CI initiatives; development of mobile programmes, among others.

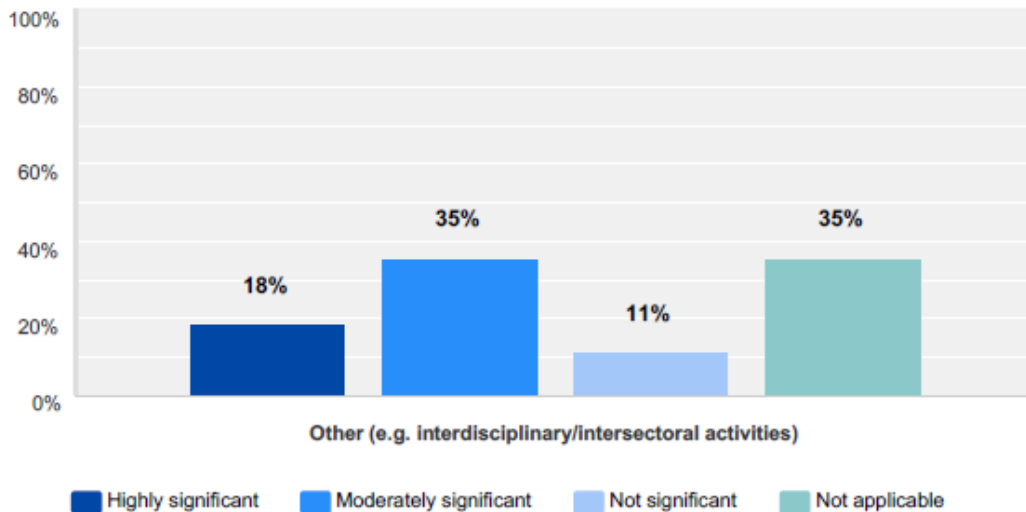
41. It was recommended that UNESCO strengthen its partnerships with the NGOs and expand joint collaboration with them so as to achieve greater synergies. For this purpose, it was suggested to undertake a joint UNESCO-NGOs evaluation of past cooperation to assess the results and inform future cooperation.

### 6.6 UNESCO Institute for Statistics (UIS)



42. A large number (41%) of respondents considered that the work of UIS was not applicable to the work of their NGO. However, 44% responded that the work of UIS was significant in providing an important database in the areas of UNESCO's competence to monitor progress at global, regional and country levels, including through sex disaggregated data. They also highlighted the importance of data and indicators for monitoring the SDGs.

## 6.7 Interdisciplinary/intersectoral activities



43. Fifty-three percent of the respondents considered that the role of UNESCO in interdisciplinary/intersectoral activities was significant and that the five Major Programmes were interlinked in many ways. They mentioned transversal thematic areas of importance such as peace, gender equality, youth, climate change or sustainable development and more generally, the fight against poverty.

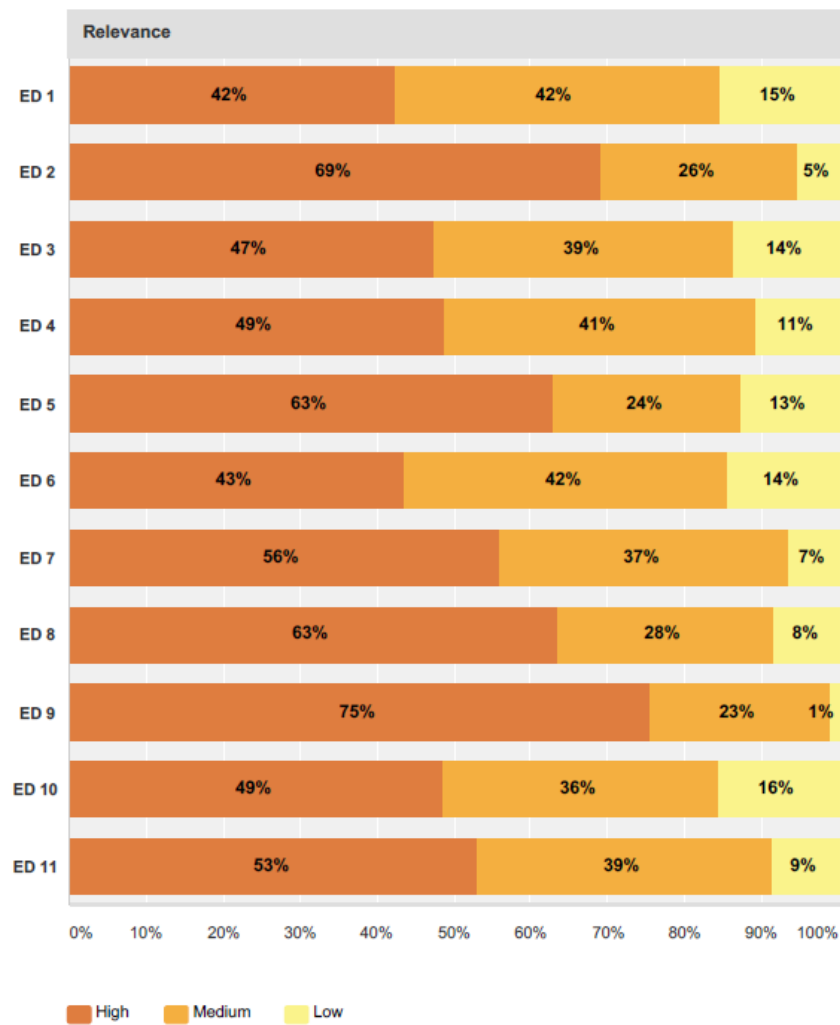
### F. Programme priorities for the future 39 C/5

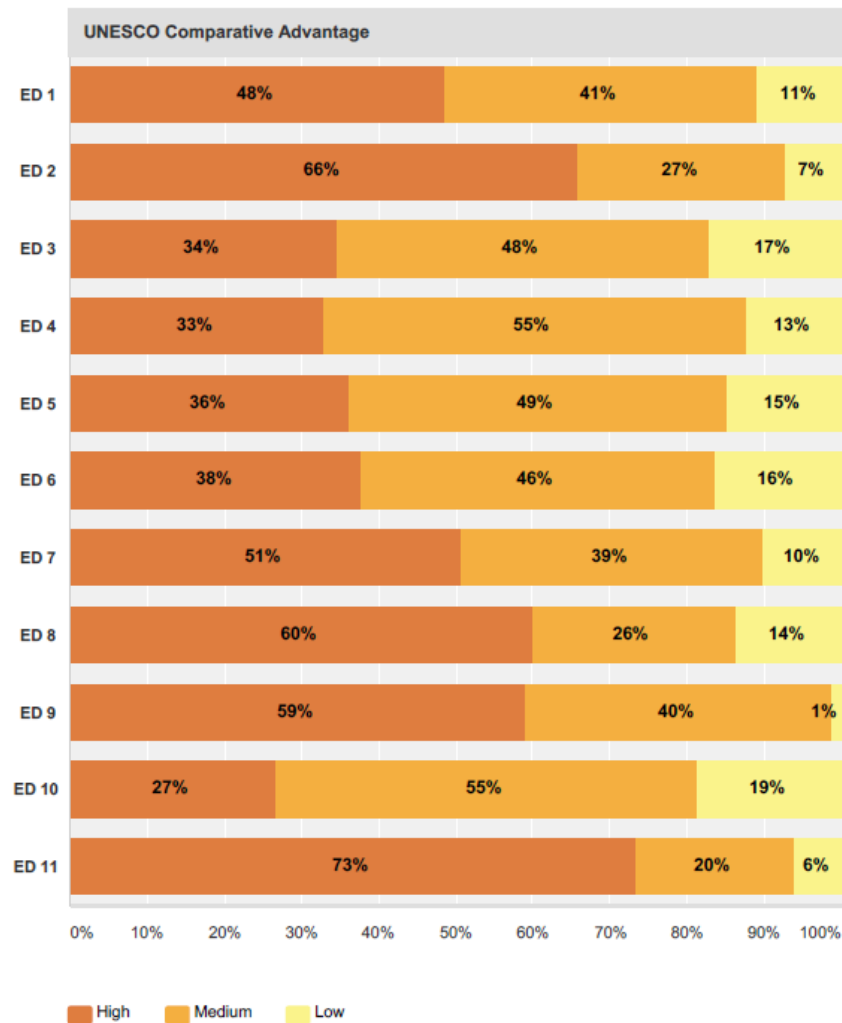
**Question 7: With respect to your national (or agency) priorities, and in order to enable the identification of UNESCO's programmatic priorities for 2018-2021, please assess each of the thematic areas listed in the tables below according to the following two criteria:**

**Criteria 1: Relevance** to your country/agency needs and priorities: To what extent are the following thematic areas relevant to your country needs and priorities, including in the context of the 2030 Agenda for Sustainable Development?

**Criteria 2: UNESCO's comparative advantage:** In comparison with other (inter)national organizations, to what extent does UNESCO have a comparative advantage in the following thematic areas?

### 7.1 Education thematic areas



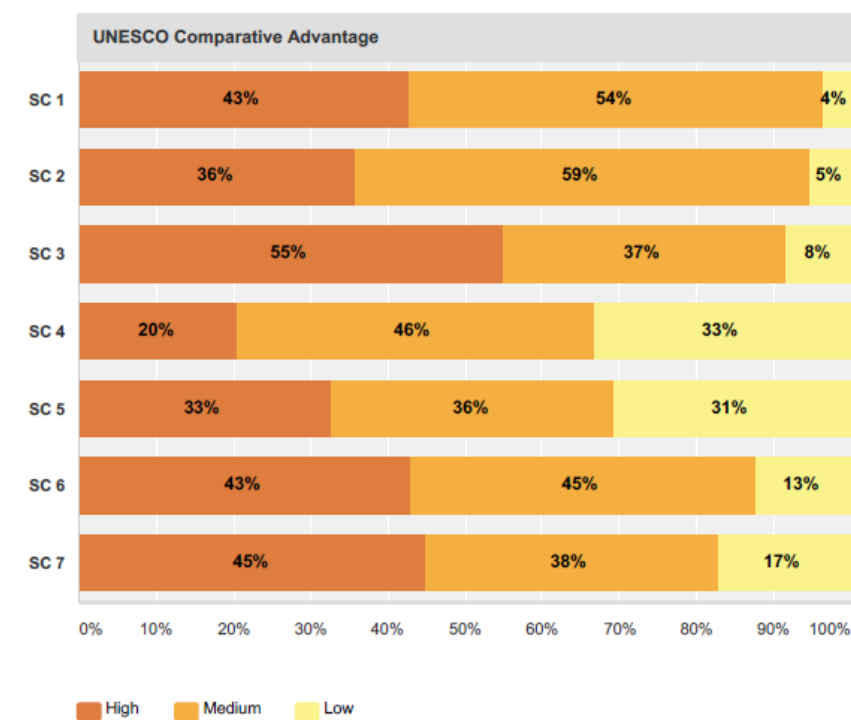
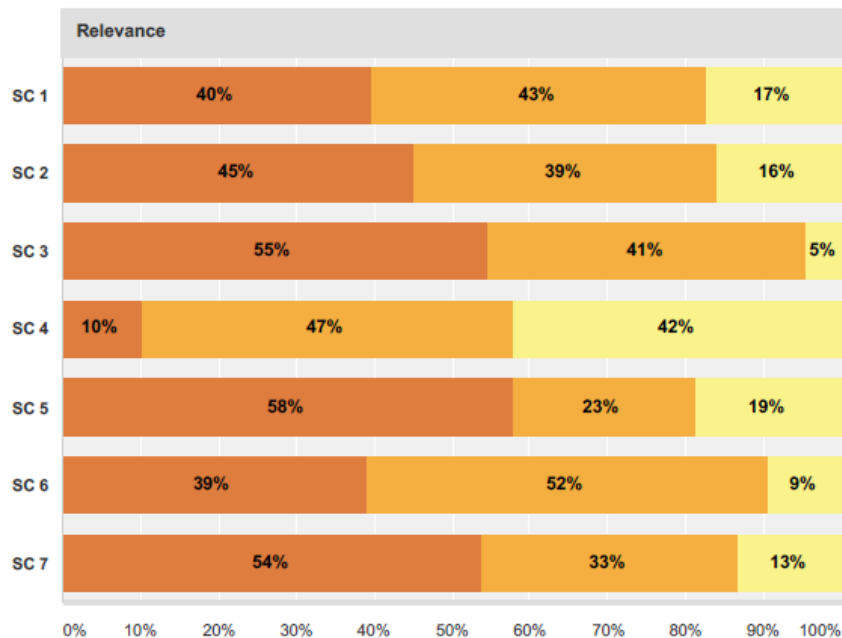


- ED 1** Sector-wide policy and planning
- ED 2** Literacy
- ED 3** Technical and vocational education and training (TVET)
- ED 4** Higher education
- ED 5** Teachers
- ED 6** Promotion, monitoring and evaluation of learning outcomes
- ED 7** Information and Communication Technology (ICT) in education
- ED 8** Global citizenship education
- ED 9** Education for Sustainable Development
- ED 10** Health education, HIV and sexuality education
- ED 11** Global, regional and national coordination of Education 2030

44. Education for sustainable development (ESD) was considered of high relevance to a large majority of respondents (75%), as well as an area where UNESCO has a high comparative advantage. Literacy and global citizenship education were areas of high relevance for the NGOs and where UNESCO has a significant comparative advantage. While the area related to teachers was considered as highly relevant to 63% of the respondents, the majority indicated that UNESCO has a moderate comparative advantage in this area.

45. The majority (73%) recognized UNESCO’s high comparative advantage in leading and coordinating Education 2030. In their additional comments, most of the respondents stressed the need to focus on gender equality in education and emphasized the importance of UNESCO’s holistic approach in education and valued all areas of education, including non-formal education.

### 7.2.a Natural sciences thematic areas



- SC 1** Strengthening Science, Technology and Innovation (STI) Policy and the science-policy interface
- SC 2** Enhancing capacity-building and education in basic and applied research in natural



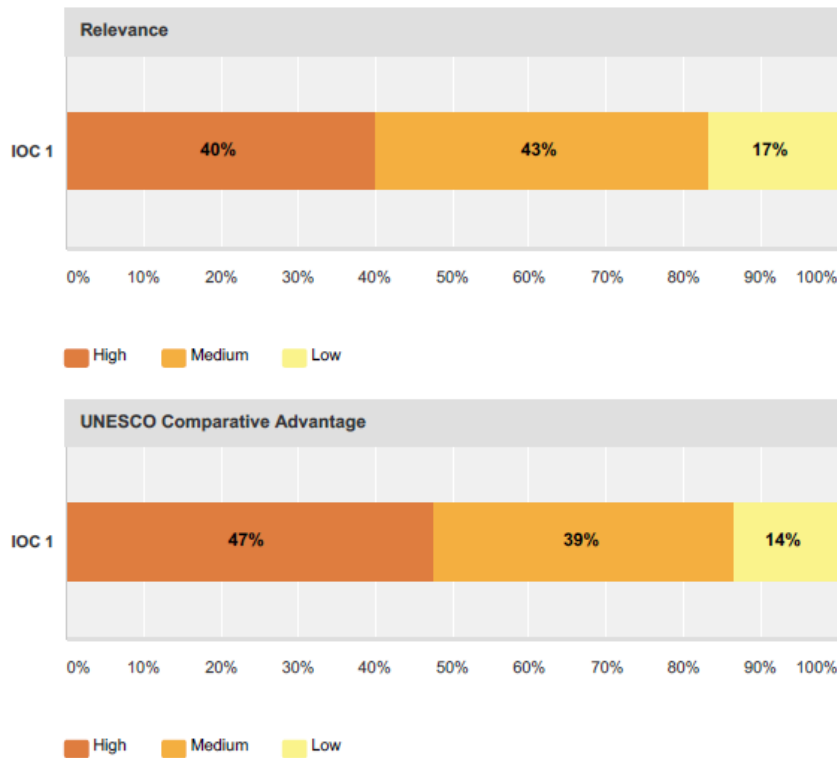
sciences

- SC 3** Mobilizing local and indigenous knowledge and engagement with society, in particular with vulnerable groups including SIDS and indigenous people
- SC 4** Expanding global cooperation in the geological sciences
- SC 5** Enhancing risk reduction, early warning of natural hazards and disaster preparedness and resilience
- SC 6** Strengthening the use of biosphere reserves as learning places for biodiversity conservation, equitable and sustainable development, and climate change adaptation
- SC 7** Strengthening responses to local, regional and global water security challenges by enhancing knowledge, innovation, policies, human and institutional capacities and by improving international cooperation

46. The relevance and comparative advantage of UNESCO in the area of local and indigenous knowledge were assessed as high by more than half of respondents. UNESCO’s work on disasters risk reduction (DRR) and water security was also assessed as highly relevant. Only 10% of the respondents considered UNESCO's contribution to geological sciences as highly relevant. The comparative advantage of UNESCO was assessed as high by nearly half of the respondents in the areas of water security, STI policy and biosphere reserves.

47. In their comments, several respondents underlined that all areas of the Natural Sciences programme are important, in particular for addressing challenges related to climate change. Respondents have also underlined the strong linkages between natural sciences and education, as well as the need to focus on women empowerment in science.

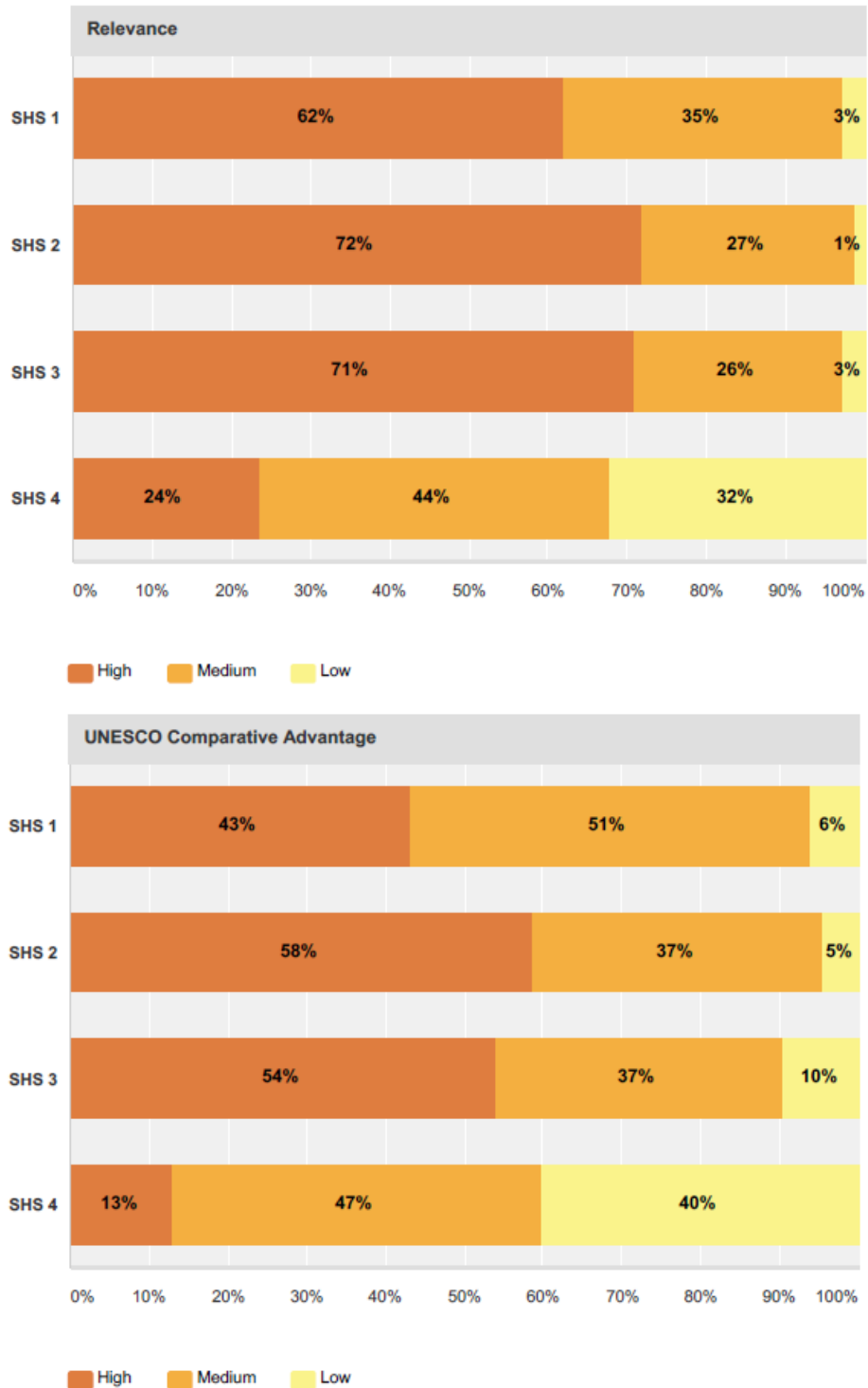
**7.2.b IOC thematic area**



**IOC 1** Strong scientific understanding and systematic observations of the changing world ocean climate and ecosystems shall underpin sustainable development and global governance for a healthy ocean, and global, regional and national management of risks and opportunities from the Ocean.

48. The relevance and comparative advantage of the IOC were assessed as high by almost half of the respondents. In their comments, the respondent highlighted IOC’s role in addressing climate change and its contribution to COP 21, as well as for knowledge sharing.

### 7.3 Social and human sciences thematic areas



- SHS 1** Mobilizing knowledge and values to equip societies to comprehend and accompany social transformations
- SHS 2** Participatory and inclusive policy formulation to promote equity, rights and ethical principles

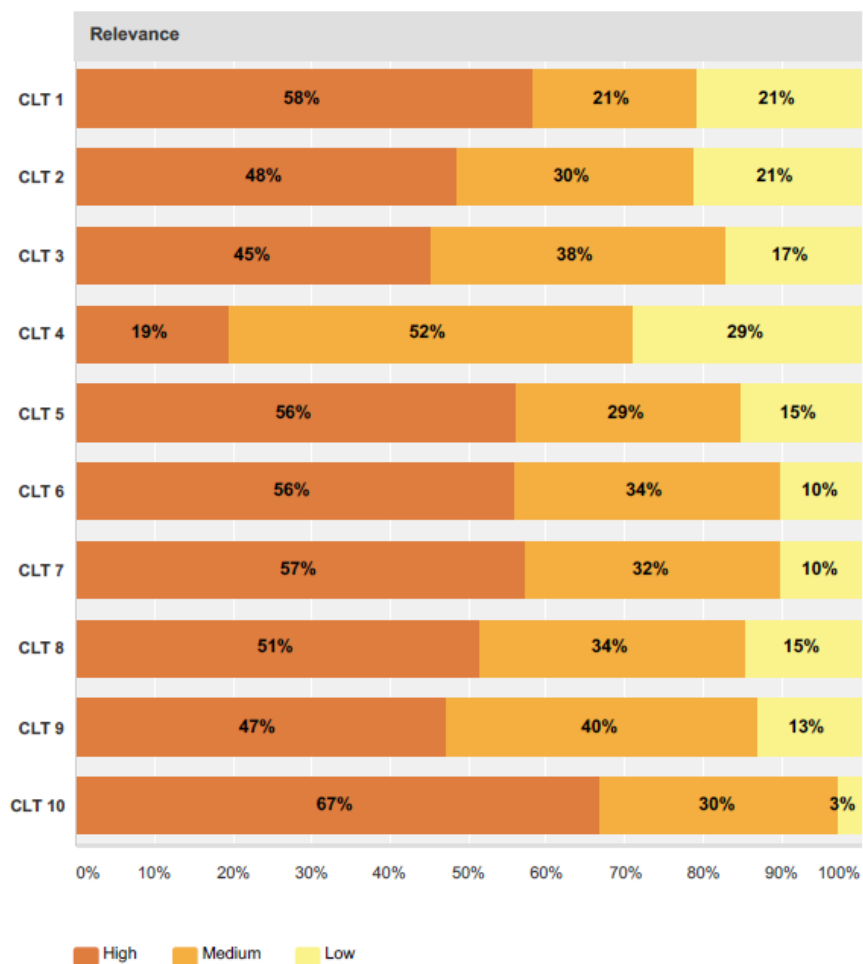
**SHS 3** Peaceful and inclusive societies harnessing the potential of dialogue and the participation of youth

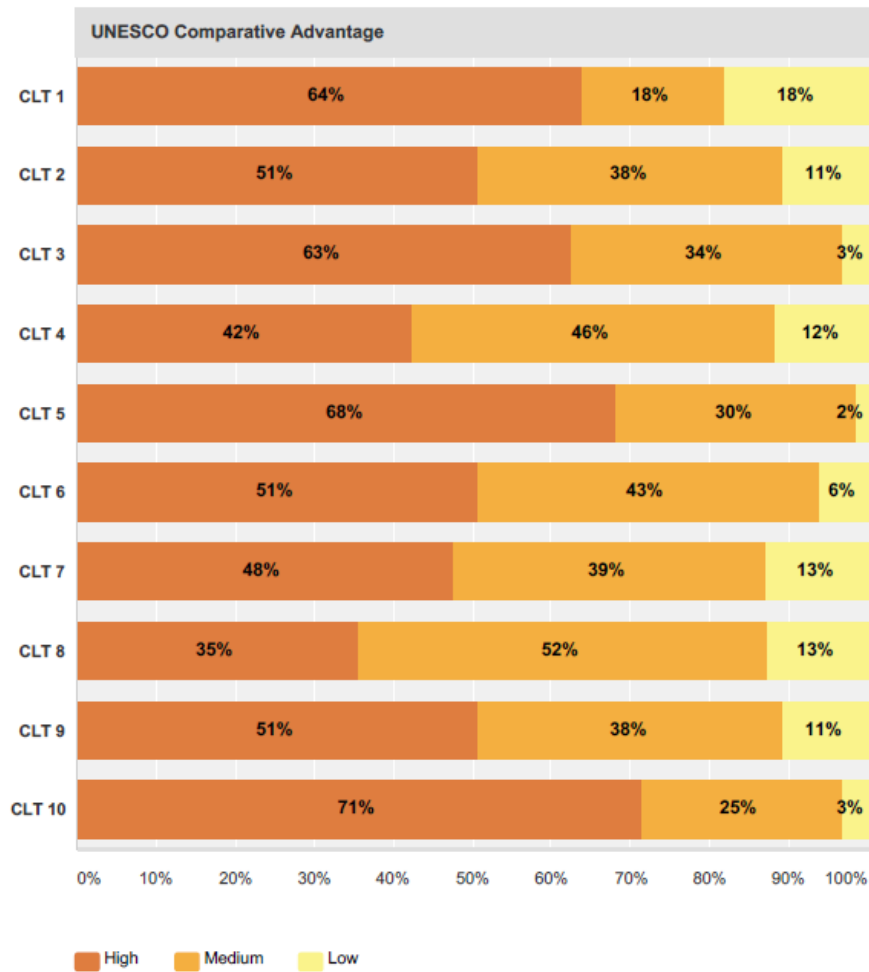
**SHS 4** Integrity and governance of sport as an enabler of sustainable development and peace

49. Overall, the three areas which were assessed by the majority of respondents as highly relevant and in which UNESCO's comparative advantage is high are those related to "Participatory and inclusive policy formulation to promote equity, rights and ethical principles", "Peaceful and inclusive societies" and "Mobilizing knowledge and values to equip societies to comprehend and accompany social transformations".

50. In their comments, respondents expressed their interest for UNESCO's work in the areas of social transformations, equity, rights and ethical principles and encouraging youth participation at decision and policy-making levels. UNESCO's work in defining norms and standards enabling Member States and NGOs to help establish a global framework of 'terms of reference' was mentioned as an important comparative advantage of the Organization.

#### 7.4 Culture thematic areas





- CLT 1** Protecting cultural property in the event of an armed conflict (1954 Convention and its two Protocols)
- CLT 2** Combating illicit import, export and transfer of cultural property and enhancing the capacities of museums (1970 Convention and 2015 Recommendation concerning the Protection and Promotion of Museums and Collections, their Diversity and their Role in Society)
- CLT 3** Identifying, protecting, monitoring and sustainably managing tangible heritage (1972 Convention and 2011 Recommendation on the Historic Urban Landscape)
- CLT 4** Protecting underwater cultural heritage (2001 Convention)
- CLT 5** Safeguarding the intangible cultural heritage, including indigenous and endangered languages (2003 Convention)
- CLT 6** Sustaining and promoting the diversity of cultural expressions (2005 Convention and 1980 Status of the Artist Recommendation)
- CLT 7** Mainstreaming Gender Equality through the implementation of the culture conventions
- CLT 8** Culture for Sustainable Development, in particular through sustainable urban development within the 2030 Agenda
- CLT 9** Emergency preparedness and response, including the implementation of the 2015 strategy to reinforce UNESCO's action for the protection of culture and the promotion of cultural pluralism in the event of armed conflict
- CLT 10** Educational programmes to promote heritage values, creativity and cultural diversity

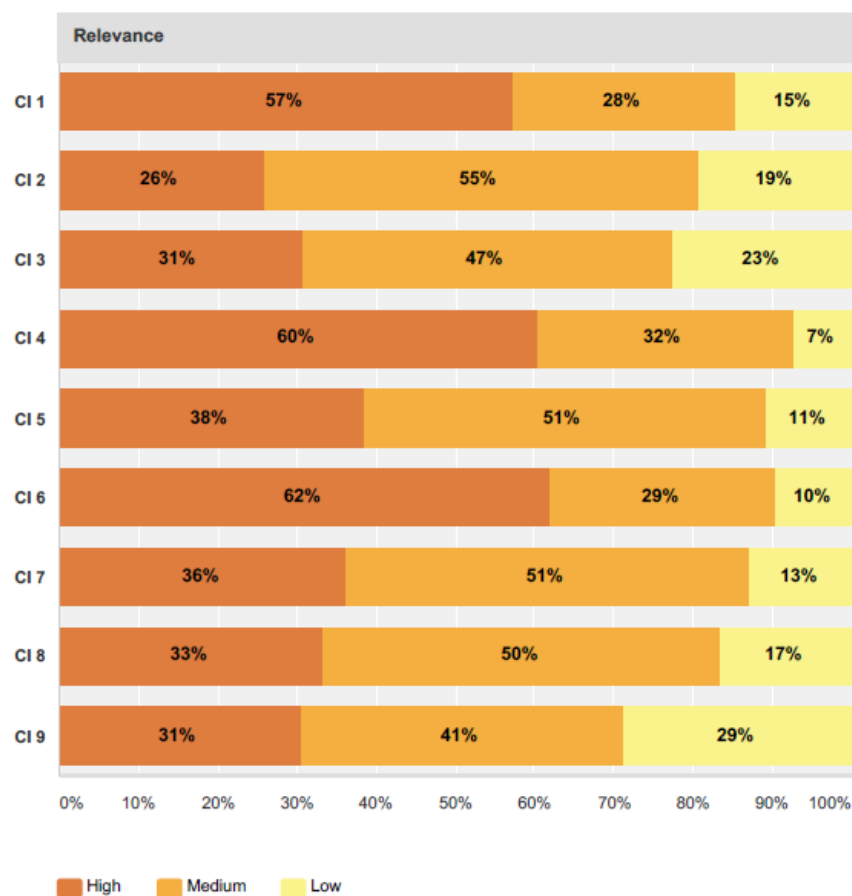
51. Overall, the three areas which were assessed by the majority of respondents as highly relevant and in which UNESCO's comparative advantage is high are those related to: "Educational programmes to promote heritage values, creativity and cultural diversity"; "Safeguarding the intangible cultural heritage (2003 Convention), including indigenous and endangered languages"; as well as "Protecting cultural property in the event of an armed conflict (1954 Convention)".

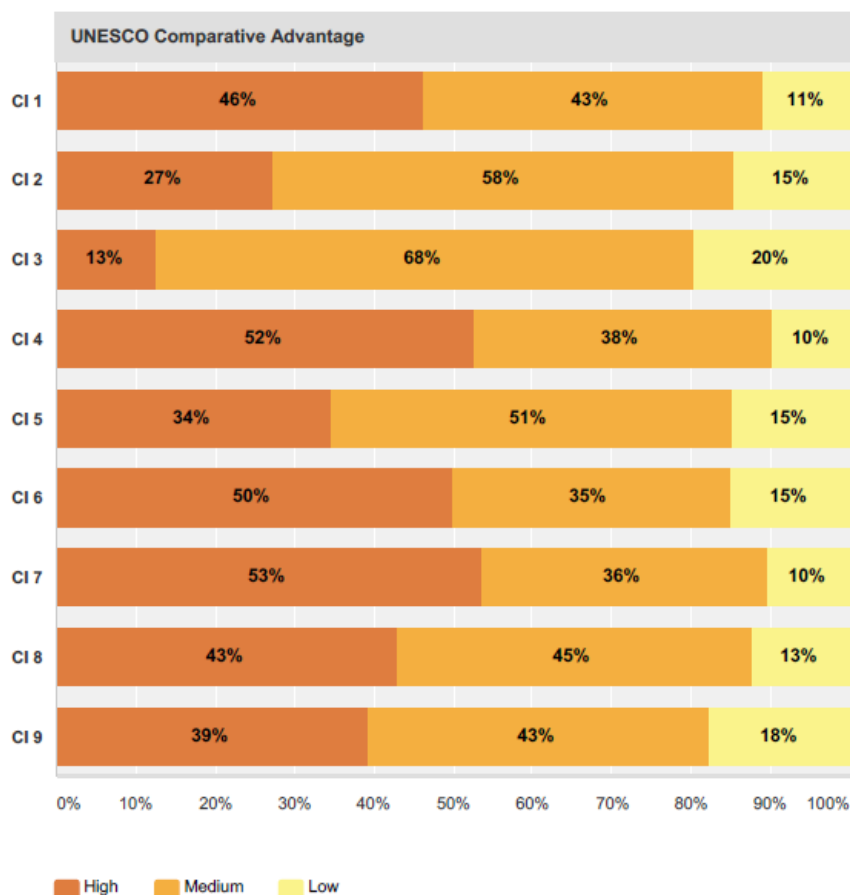
52. To address the challenges resulting from increasing conflicts, some respondents stressed the importance of protecting and safeguarding tangible and intangible cultural heritage and promoting dialogue and cultural diversity. Regarding heritage protection and cultural diversity promotion, a few respondents noted that UNESCO's comparative advantage was undermined by the politicisation of debates.

53. A respondent underscored the importance of mainstreaming gender equality in all policies including culture policies. With regards to cultural diversity another respondent emphasized the significance of UNESCO's role in implementing new concepts for NGOs to determine their actions in this field.

54. Respondents made additional recommendations for the future, among which are the following: elaborate an international convention on the protection and safeguarding of holy places; further strengthen partnerships with government, professional and private cultural organisations to deliver programmes; and reinforce pedagogical action with regards to sustaining and promoting the diversity of cultural expressions (2005 Convention).

## 7.5 Communication and information thematic areas





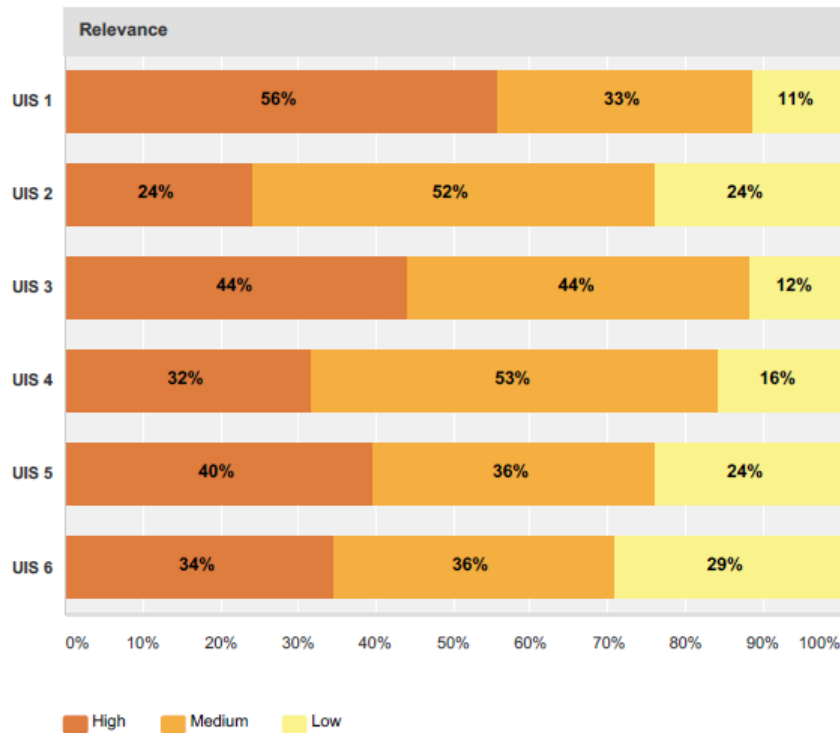
- CI 1** Freedom of expression and press freedom, including safety of journalists
- CI 2** Media development through the International Programme for the Development of Communication (IPDC)
- CI 3** Enhanced pluralistic media and empowered audiences
- CI 4** Information and Communication Technology (ICT) in education and open ICT solutions for building inclusive knowledge societies
- CI 5** ICTs for creating employment and achieving the Sustainable Development Goals (SDGs)
- CI 6** Universal access to knowledge including persons with disabilities, linguistic minorities, people living in remote areas and other marginalized and vulnerable social groups (2003 Recommendation on the Promotion and Use of Multilingualism and Universal Access to Cyberspace)
- CI 7** Preservation of documentary heritage including through the Memory of the World Programme (MoW)
- CI 8** Implementation of the World Summit of the Information Society (WSIS) outcomes
- CI 9** Outcomes of the Intergovernmental Information for All Programme (IFAP) priorities promoted

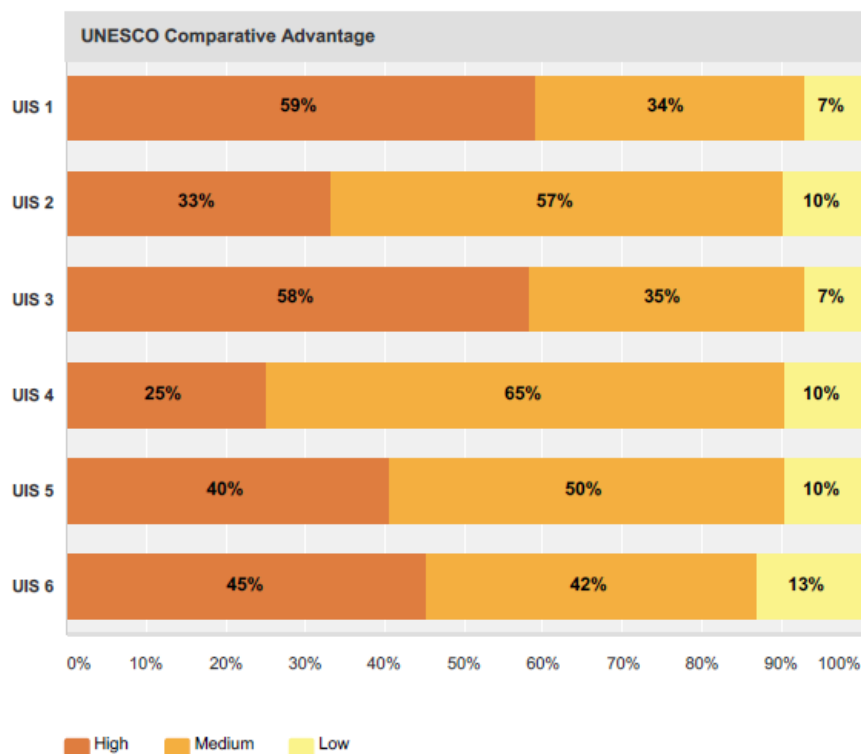
55. The analysis of responses from NGOs showed that all Communication and Information thematic areas were generally considered significantly important, with the three fields ranked as of highest relevance: “Universal access to knowledge including persons with disabilities, linguistic minorities, people living in remote areas and other marginalized and vulnerable social groups” (62%); “ICTs in education and open ICT solutions for building inclusive knowledge societies” (60%); and “Freedom of expression and press freedom, including safety of journalists” (57%). Other areas were equally ranked with medium level of relevance by some 50% of respondents.

56. The three top ranked fields in terms of comparative advantage are slightly different than those ranked according to the relevance criteria: “Preservation of documentary heritage through Memory of the World Programme” (53%); “ICTs in education and open ICT solutions for building inclusive knowledge societies” (52%); and “Universal access to knowledge including persons with disabilities, linguistic minorities, people living in remote areas and other marginalized and vulnerable social groups” (50%). UNESCO’s comparative advantage in the area of “ICTs for creating employment and achieving the SDGs” was assessed as high by only 34% of respondents.

57. The importance of UNESCO’s action in the field of communication and information was further reiterated in additional comments, especially with regard to freedom of expression; ICT in education and for creation employment; and documentary heritage. Strong emphasis was put on the need in continuing women empowerment, transversally to all CI programmes. A proposal was made for UNESCO to build and monitor an inventory of information and communication means developed and/or available in each country.

### 7.6 UNESCO Institute for Statistics – Major work areas





**UIS 1** Strengthening national statistics in Education

**UIS 2** Strengthening national statistics in STI

**UIS 3** Strengthening national statistics in Culture

**UIS 4** Strengthening national statistics in Communication and Information

**UIS 5** Development of education indicators by UIS

**UIS 6** Production and dissemination of policy-relevant statistical information by UIS

58. Respondents considered that strengthening national statistics in Education and in Culture were the two highest domains in terms of relevance and of comparative advantage of UIS. They underlined the importance of developing education indicators and producing and disseminating policy-relevant statistical information. In their work, the respondents valued the work of UIS as it serves as a reference at national, regional and global levels.

### G. Sunset clauses

**Question 8: In the light of the programme assessment results in the SRR, as well as the findings of external evaluations and your own assessment, please indicate which of the thematic area(s) listed above under “Part F – Programme priorities for the future 39 C/5” should be discontinued in the 39 C/5. Please use also the same text box for any other related comment.**

59. Forty-five NGOs replied to this question. Several NGOs expressed some reluctance to undergo such an exercise as they believed that all areas were important. Others recommended that UNESCO withdraw from those areas where it had little or no significant comparative advantage.

60. A few NGOs recommended adjustments and further strengthening of one or more specific areas. Examples include:



- Need to reinforce intersectorality and the cooperation with other agencies, the civil society and the private sector;
- Merging Global citizenship education, education for sustainable development and HIV and health education;
- Reinforcement of targeted actions towards research and innovation in the Natural Sciences;
- Applying the human dimension in planning and managing for sustainable cities;
- Shift the current focus on listing mechanisms to more important and long-term conservation, management and safeguarding mechanisms with regard to Tangible heritage (1972 Convention and 2011 Recommendation on the Historic Urban Landscape) and Cultural intangible (2003 Convention);
- Funding for Creative Cities Network either entirely through extrabudgetary resources or outsourced to a third party;
- Regaining leadership role in Arts Education and placing it on agenda of future culture conferences;
- Reinforcing the following areas in Communication and Information: pluralistic media and media information literacy; gender in media and ICTs; freedom of expression and press freedom, including safety of journalists;
- Reinforcement at the national level of the implementation of WSIS outcomes and promotion of IFAP's priorities; as well as ICTs for creating employment and follow-up of 2003 Recommendation, including disabled people, linguistic minorities, people living in remote areas and other marginalized and vulnerable social groups.

61. Lastly, the following are among the thematic areas which were proposed for discontinuation:

Sector/Thematic area	No. of respondents
<b>Education</b>	
Health, HIV and sexuality education	4
<b>Natural sciences</b>	
Global cooperation in the geosciences	6
Mobilizing local and indigenous knowledge and engagement with society, in particular with vulnerable groups including SIDS and indigenous people	1
Enhancing risk reduction, early warning of natural hazards and disaster preparedness and resilience	1
IOC	1
<b>Social and human sciences</b>	
Integrity and governance of sport as an enabler of sustainable development and peace	3
<b>Communication and information</b>	
ICTs for creating employment and achieving the Sustainable Development Goals (SDG)	1

## Other general comments

62. Thirty-four NGOs provided additional comments.

63. UNESCO's contribution to lasting peace as its basic humanist mission and the importance of the relations the Organization maintains to that end with key actors in civil society were underscored by a number of respondents from non-governmental organizations (NGOs). Furthermore, some NGOs hoped that UNESCO would strengthen such cooperation on the ground, particularly at the regional level, by encouraging greater interaction between its Member States and NGOs, which should be considered to a greater extent as partners with equal standing in the process of designing and implementing UNESCO's major programmes. The emphasis was placed on the intellectual value-added and mobilizing potential of NGOs that UNESCO could and should explore further in the context of its mission.

64. With this in mind, some of the NGOs were in favour of refocusing UNESCO's action around its original mission – the building of peace through education, science and culture, fields in which the Organization has built up considerable experience and accomplishments. For their part, representatives of the scientific community recommended putting in place, in an integrated and holistic approach, one major science programme. In the same spirit, some NGOs advocated transferring skills regarding the remaining themes to other international specialized agencies.

65. On the other hand, some NGOs hoped for the extension of UNESCO's fields of action by recommending the promotion of educational innovations and the development of intelligence, notably ethical; the introduction of economics into its programmes and the conducting of research aimed at an economy of solidarity; striving in a dominant and cross-cutting way to master the digital with a view to the universal production of skills, their equitable sharing and greater accessibility; and involvement in the field of land-use planning, urbanization, the sustainable development of rural areas and skills for farmers.

66. Furthermore, the following thematic areas were proposed for (re)consideration in the preparation of draft document 39 C/5:

- Culture of peace and non-violence
- Eradication of extreme poverty
- Access to education (EFA) in all its forms, more specifically formal and non-formal
- Training for trainers
- Media and information education
- Social and human sciences for inclusive social development
- Promotion of ethical principles
- World heritage: safeguarding and promotion in interconnection between the tangible and intangible aspects, and with creative expressions
- Cultural diversity, and intercultural dialogue for the rapprochement of cultures
- Support for local community medias
- Reduction of inequalities and women's empowerment
- Youth access to employment, more particularly in Africa
- Action for the most vulnerable populations

67. Finally, improved communication for and towards NGOs by UNESCO about its strategic directions and programmes was requested.

## ANNEX

### LIST OF UNITED NATIONS ORGANIZATIONS, INTERGOVERNMENTAL ORGANIZATIONS AND INTERNATIONAL NON-GOVERNMENTAL ORGANIZATIONS WHICH HAVE REPLIED TO THE QUESTIONNAIRE ON THE 39 C/5

#### United Nations organizations

World Tourism Organization (UNWTO)

#### Intergovernmental organizations

Arab League Educational, Cultural and Scientific Organization (Alecso)

Association of South-East Asian Nations (ASEAN)

Joint Institute for Nuclear Research (JINR)

#### International non-governmental organizations

Alliance Internationale des Femmes (AIF)

Association catholique internationale de services pour la jeunesse féminine (ACISJF)

Association Francophone d'Amitié et de Liaison (AFAL)

Association Internationale des Educateurs à la Paix (AIEP)

Association Internationale des Charités (AIC)

Association Internationale des Critiques d'Art (AICA)

Association of Arab Universities (AARU)

Association Internationale d'Orientation Scolaire et Professionnelle (AIOSP)

B'NAI B'RITH

BPW International – International Federation of Business and Professional Women (IFBPW)

Centre Catholique International de Coopération avec l'UNESCO (CCIC)

CISV International

Conseil International des Femmes (CIF)

International Council of Jewish Women (ICJW)

Conseil International des Radios-Télévisions d'Expression Française (CIRTEF)

Conseil International du Cinéma, de la télévision et de la Communication Audiovisuelle (CICT)

Coordinating Committee for International Voluntary Service (CCIVS)

Cultures du Monde

Dhaka Ahsania Mission (DAM)

Dyslexia International

Fédération Internationale des Centres d'Entrainement aux Méthodes d'Education Active (FICEMEA)

Fédération Internationale des Femmes des Carrières Juridiques (FIFCJ)

Fédération Internationale des Universités Catholiques (FIUC)

Fédération Internationale pour l'Habitation, l'Urbanisme et l'Aménagement des Territoires (FIHUAT)

Fédération mondiale des travailleurs scientifiques (FMTS)

Fondation Mondiale pour la Démocratie et le Développement (Funglode)

Graduate Women International (GWI)

HOPE 87

Hostelling International (HI)

Human Variome Project

Institut des Cultures Afro-Européennes à Paris (ICAEP)

Institut Destrée

International Association for Counselling (IAC)

International Association of Sound and Audiovisual Archives (IASA)

International Baccalaureate Organization (IBO)

International Communications Volunteers – ICVOLUNTEERS (ICV)

International Coordination Council of Educational Institutions Alumni (INCORVUZ-XXI)

International Council for Science (ICSU)

International Council of Organizations of folklore festivals and folk art (CIOFF)

International Council on Monuments and Sites (ICOMOS)

International Cultural Youth Exchange (ICYE)

International Federation for Home Economics (IFHE)

International Federation of Library Associations and Institution (IFLA)

International Federation of Medical Students' Associations (IFMSA)

International Federation of Rural Adult Catholic Movements (FIMARC)

International Institute for Peace (IIP)

International Institute of Humanitarian Law (IIHL)

International Music Council (IMC)

International Network of Women Engineers and Scientists (INWES)

International Organization for Chemical Sciences in Development (IOCD)

International Public Relations Associations (IPRA)

International School Psychology Association (ISPA)

International Society for Education Through Art (INSEA)

International Society of City and Regional Planners (ISoCaRP)

International Theatre Institute (ITI)

La Maison de Sagesse

Make Mothers Matter International (MMM)

Mouvement international ATD Quart Monde

Mouvement International de la Jeunesse Agricole et Rurale Catholique (MIJARC)

Mouvement international pour le Loisir scientifique et technique (MILSET)

New Humanity  
Office International de l'Enseignement Catholique (OIEC)  
Organisation mondiale des Anciens Elèves de l'Enseignement Catholique (OMAEC)  
Pax Christi International (PAX CHRISTI)  
PAX ROMANA  
Religions pour la paix (RFP)  
Service Civil International (SCI)  
SIL International  
South Asia Foundation (SAF)  
Sozopol Foundation  
Turkish Cultural Foundation (TCF)  
UNESCO Centre-Etxea Euskal Herria - UNESCO Etxea-Centro UNESCO País Vasco  
Union Internationale des Associations et Organismes Scientifiques et Techniques (UATI)  
Union Mondiale des Enseignants Catholiques (UMEC)  
Union mondiale des Organisations Féminines Catholiques (UMOFC)  
Wildlife Conservation Society (WCS)  
World Association for Small and Medium Enterprises (WASME)  
World Council of Comparative Education Societies (WCCES)  
World Federation of Engineering Organizations (WFEO)  
World Federation of Trade Unions (WFTU)  
World Organization for Early Childhood Education (OMEP)  
World Organization of the Scout Movement (WOSM)  
YOU Foundation- Education for Children in Need  
Zonta International



United Nations  
Educational, Scientific and  
Cultural Organization

# Executive Board

Two hundredth session

# 200 EX/13 Part I (C)

PARIS, 1 September 2016  
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Item 13 of the provisional agenda

## PRELIMINARY PROPOSALS BY THE DIRECTOR-GENERAL CONCERNING THE DRAFT PROGRAMME AND BUDGET FOR 2018-2021 (39 C/5)

### PART I (C)

#### REPORTS OF THE REGIONAL CONSULTATIONS OF THE NATIONAL COMMISSIONS FOR UNESCO

##### SUMMARY

Part I of this document contains the preliminary proposals by the Director-General for the Draft Programme and Budget for 2018-2021 (39 C/5), which will be the second and final Programme of the period 2014-2021 covered by the Medium-Term Strategy of the Organization ([37 C/4](#)).

Part I (A) presents an analysis of Member States and Associate Members replies to the questionnaire on the Programme and Budget for the period 2018-2021 (39 C/5), circulated under cover of CL/4152.

Part I (B) presents the summaries of the responses provided by the United Nations organizations, intergovernmental organizations (IGOs) and international non-governmental organizations (NGOs).

**Part I (C) contains the reports of the regional consultations of the National Commissions for UNESCO held in Shanghai, China on 15 June 2016.**



## INTRODUCTION

1. Representatives from 112 National Commissions for UNESCO met in Shanghai, (People's Republic of) China, from 13 to 15 June on the occasion of the annual interregional meeting of the National Commissions for UNESCO. On 15 June, regional meetings of the National Commissions were organized to exchange their views and formulate recommendations concerning the preparation of UNESCO's Programme and Budget of the Organization for 2018-2021 (39 C/5).

2. The present document contains the reports of these regional meetings as prepared and submitted to the Secretariat by the Groups' Chairs.

## AFRICA

Three topics were discussed and the Africa Group agreed as follows:

### I. UNESCO's role

- (a) Africa agrees in principle with the online survey undertaken by the Member States on the consultations of the Draft and Budget for 2018 -2021.
- (b) Africa endorses UNESCO's relevance and recognizes that it is well-positioned in Agenda 2030 and requests UNESCO to strengthen understanding of SDGs among National Commissions.
- (c) National Commissions will work closely with governments to ensure the comparative advantage of UNESCO in the UNDAF is realized.

### II. Priorities in the five Programmes

In the five Major Programmes, the Africa Group recommended that UNESCO prioritizes the following:

#### A. Education

- Inclusive education
- Quality education especially **quality teachers** and **relevant curriculum**
- Education for sustainable development (ESD)
- Technical vocational education and training (TVET)
- Peace Education
- Science, Technology, Engineering and Mathematics (STEM) Education

#### B. Natural Sciences

- Science Technology and Innovation Policy
- Water
- Sustainable energy

#### C. Social Human Sciences

- Studies on inclusion
- Gender



- Youth
- Human rights

**D. Culture**

- Ratification of conventions
- Illicit trafficking of cultural properties
- Promotion and protection of Intangible Cultural Heritage
- International dialogue on peace

**E. Communication and Information**

- Freedom of expression
- Protection of journalists
- ICT for knowledge society

**III. Intersectorality**

- (a) Increase financing
- (b) Capacity-building for National Commissions in the implementation of Agenda 2030
- (c) Strengthen positioning of National Commissions
- (d) Strengthen staffing of regional offices
- (e) Introduce a Youth Desk in National Commissions
- (f) Organize and support regional and national forums
- (g) Strengthen ASP network.

## **ARAB STATES**

Outcomes of the regional meeting on the consultation for the preparation of UNESCO draft programme and budget for 2018-2021.

The Arab Group recognizes the positive role of UNESCO to achieve the SDGs, especially in its mandatory fields. Also, it recognizes the efforts of the UNESCO Institute for Statistics in producing the indicators for achieving all UNESCO relevant SDGs. Finally, the Arab Group expresses the need of some countries for capacity-building.

**The priorities for the Arab Group.** The Group validates the results of the survey and underlines the following specific points:

- (a) Education for Global Citizenship – has intersectoral relations between education, youth, work and resistance against violence;
- (b) Education during conflict.

The Arab Group suggests that programmes obtaining less than 40% support in the survey analysis be funded by extrabudgetary funding to enhance implementation of the top priorities.



## ASIA AND THE PACIFIC

This group holds the view that all SDGs are important and interrelated but in keeping with the assignment, we have focused on those in which we believe UNESCO can play a lead role. This focus should not be interpreted as diminishing the importance of any other SDGs.

### Strategic focus

The strategic focus for UNESCO has to be aligned with its comparative advantage.

- (a) SDG 4 – Ensuring inclusive and equitable quality education for all
- (b) SDG 5 – Gender equality and empowerment
- (c) SDG 13 – Climate Change is very important for the Pacific but there was a discussion on which should be the lead organization. The majority did not believe that UNESCO should necessarily hold this role.
- (d) SDG 16 – Peace and justice and strong institutions
- (e) SDG 11 – Make cities and human settlements inclusive, safe, resilient and sustainable – protection of culture and strong educational foundation/institutions are key to achieving this goal.

### Target groups

- (a) Youth
- (b) Marginalized communities

### Functions

The main function of UNESCO should be as laboratory of ideas and standard setter. However, in terms of specific functions, the Group indicated that UNESCO could focus on teacher training, ICT in education and TVET, considering that these are key to achieving SDG4.

### Comparative advantage

With regard to the strategic focus, UNESCO enjoys comparative advantage in the following way:

- (a) Organizational advantage – In most Member States, there is an organizational structure of NATCOMs, generally located in the Ministry of Education. UNESCO is thus well prepared to leverage the strength of NATCOMs for realizing SDG 4;
- (b) Global presence – While some other United Nations agencies are focused on a specific set of countries/regions, UNESCO is present in all Member States, which helps it to elicit support from and peer-learning across developed, developing and least developed countries.

### Positioning with United Nations partners

From the programmatic point of view, education and culture are the distinct fields of competence for UNESCO. UNESCO should be the lead agency for SDG 4 and if the budget permits, for SDG 16. However, it should provide inputs to and support other United Nations agencies, which are leading other SDG goals in its programme areas.

## **Intersectoral approach**

In terms of intersectoral approach, the Education programme should be leading the SDG 4 initiative with other four programmes providing support to it. Culture programme should play an important role as they address issues relating to safeguarding and protecting cultural heritage; learning to live together, global citizenship and intercultural dialogue.

## **Regional priorities**

In light environmental related challenges in the region, SDGs 6, 7, 12, 13, 14 and 15, essentially environmental priorities, would likely be high priorities in a number of countries.

## **General issues**

From a regional perspective, disaster risk management and freedom of expression (beyond media freedom) should figure prominently. There was also a commitment to retention of indigenous knowledge. The group felt that each of these could also be the focus of UNESCO.

## **EUROPE AND NORTH AMERICA**

This report is composed of the group's overarching recommendations, followed by detailed points.

*UNESCO's constitutional role and that of multilateral organizations are as relevant as ever. Ours is a time of increasing instability, with conflict and crises now and the seeds of future conflict being sown. There is an unchangeable need for the defences of peace to be built meaningfully in the minds of men and women. The need to do this work needs to be understood and communicated. UNESCO must always check that its work is relevant and impactful, in order to be valued by and present in the minds of people and their policy makers in the Member States.*

## **Recommendations and challenges for UNESCO and its Member States:**

- UNESCO must build on its work in global policy setting. It helps set the global education policy agenda, but what about UNESCO's other areas of competency such as science, communication and culture? UNESCO is a great platform for independent science. It could play a lead role in defining world science policy priorities. It should enhance its role in providing upstream policy advice.
- The structure of the Major Programmes does not imply a sectoral structure. There must be flexibility.
- UNESCO needs to get back to its constitution and do fewer things better. Everything it does should be prioritized and evaluated against its role of building the defences of peace in the minds of men and women. What happened to UNESCO's prioritization exercise carried out by Member States and when will it be repeated?
- The group strongly applauds the integrated budget: it provides the structure for an even more transparent, accountable, and effective UNESCO.
- The UNESCO National Commissions can build on their value adding role through more effective coordination with their national capitals and Permanent Delegations. The National Commissions' role is set out in the UNESCO constitution as co-operating bodies with civil society. The National Commissions and the Inter-Regional meetings must be in the C5 document.
- UNESCO must be more meaningful to people and its Member States. How can it monitor and evaluate this? How could UNESCO better ensure it understands what is meaningful to people?

- Agenda 2030 is a great focus for UNESCO. It is clear that SDG4 is relevant to UNESCO and will reintroduce UNESCO's leading role in education, including its unique work as a multi-lateral on Quality Education. UNESCO brings a great depth and understanding of education to the global policy forum.
- It is essential that the relevance of other SDGs is not lost and that UNESCO's work to deliver them is mapped and understood at UNESCO and national level. UNESCO national designations can help deliver the SDGs.
- UNESCO's Conventions are often piecemeal. They must and should be integrated in a more coherent way. When will an analysis be done and recommendations produced?
- UNESCO needs to take a more integrated approach in its work at a policy level and between UNESCO designations, for example between MAB, Chairs and Natural and World Heritage Sites. This is a core part of UNESCO's added value.
- Agenda 2030 is a great guide for sunset clauses. Sunset clauses should be automatic unless clear criteria are met demonstrating why there should not be one.
- The group welcomes work building on steps to make the UNESCO secretariat's work with National Commissions more effective and asks what the next steps will be? The determination of these next steps should be done in consultation with and with the participation of all National Commissions.
- Priority Gender and Africa must be effective. Inter-cultural dialogue is more needed than ever, but exactly is being done to demonstrate it is working as it should?
- *UNESCO must always ask itself:*  
*What can it do better than any other body?*  
*What can it do that no other organisation can?*  
*Is this work within its constitutional role of building the defences of peace?*

## LATIN AMERICA AND THE CARIBBEAN

### I. Global priorities

Recommends that SIDS be added as a third global priority in addition to Africa and Gender Equality with the confirmation of the SIDS Action Plan at the (199th session) of the Executive Board and the outcome of the COP 21.

### II. Regional priorities for the Major Programmes

#### Education

- Quality education
- Literacy and how it relates to crime and violence
- Education for sustainable development
- Support for global citizenship
- The promotion of STEM in the education system

## Culture

- Governments to ratify culture conventions and seek to have more sites assigned to World Heritage Lists
- Capacity-building and training to implement the culture conventions and policies as outlined in the regional work plan for culture in LAC 2016-2021 which was supported and signed by the Ministers of the Region
- Elevate the Transatlantic Slave Trade Project in light of the Decade of People of African Descent and designate the appropriate resources as this is important the LAC region
- Creative Industries for job creation

## Natural Sciences

- Climate Change with special focus on SIDS
- Water management
- Biodiversity
- Man and Biosphere Programme

## Social and Human Sciences

- Emphasize our support of the MOST Programme
- What needs to be addressed is the issue of the aging population which relates to SDG 3 – Ensure healthy lives and promote well-being for all at all ages
- Illegal immigration as an emerging issue was also discussed and should be considered and addressed

## Communication and Information

- Freedom of expression, safety of journalists, Access to Information, the Information for All Programme
- Ethical use of information and communication technologies
- Preservation of documentary heritage via the Memory of the World Programme.

**ANNEX****LIST OF PARTICIPANTS IN THE THIRD INTERREGIONAL MEETING  
OF NATIONAL COMMISSIONS FOR UNESCO****(Shanghai, People's Republic of China, 13-15 June 2016)****Participants by region****AFRICA**

<b>Country</b>	<b>NAME</b>	<b>TITLE</b>
Benin	Mr N'dah Marcel OYA	Secretary-General
Botswana	Mr Oteng Mokowe	Secretary-General
Burundi	Mr Bernard NAHIMANA	Assistant Secretary-General
Cabo Verde	Ms Glória Ribeiro	Secretary-General
Cameroon	Mr Sally Mairiga	Secretary-General
	Ms Mengue Ango Valerie	Chargée d'études
Central African Republic	Ms Georgette Florence Koyt-Deballé	Secretary-General
Chad	MR Abdelkerim Adoum Bahar	Secretary-General
Comoros	Mr SAID ABDOU Abdou Ahamada	Secretary-General
Cote d'Ivoire	Mr Lou Mathieu BAMBA	Secretary-General
Democratic Republic of the Congo	Mr Liema Ibongo-Botie Lazare	Permanent Secretary
Djibouti	Mr ISMAN IBRAHIM ROBLEH	Secretary-General
Ethiopia	Mr Mebratu Berhan Berhe	Secretary-General
Equatorial Guinea	Mr Santiago Bivini Mangué	Secretary-General
	Mr Robustiano Nkulu Obama Abeme	Chief of Delegation
	Mr Máximo Antonio Bibang Oye	Member of the COM NAT
Gambia	Mr Ousmane Sengor	Principal Programme Officer
Guinea-Bissau	Mr Alexmandro Onurma Correia	Director of Service Division of Social Science and Human Rights
Kenya	Mr John Mireri	Deputy Secretary-General
	Ms Evangeline Njoka	Secretary-General
Lesotho	Ms Lilly Palesa Montsi	Secretary-General
Liberia	Mr Caston Bob Harris	Deputy Secretary-General
Madagascar	Ms Hanta Nirina Raboanary	Secretary-General
Malawi	Mr Francis Mkandawire	Executive Secretary-General
Mali	Ms Sangaré Coumba Touré	Secretary-General
Mauritius	Ms A. Ghoorah	Assistant Secretary-General

Country	NAME	TITLE
Mozambique	Ms Elia Bila	Assistant Secretary-General
Niger	Mr Issa Namata	Secretary-General
Senegal	Mr Aliou LY	Secretary-General
Seychelles	Ms Vicky Gendron	Assistant Secretary-General
South Africa	Mr Carlton Mukwevho	Secretary-General
Togo	Mr Koffi Michel AGBOH	Secretary-General
Uganda	Ms Rosie Agoi	Assistant Secretary-General
United Republic of Tanzania	Mr Moshi M. Kimizi	Secretary-General (a.i.)
Zambia	Ms Heather Munachonga	Education Programme Officer
Zimbabwe	Ms Margaret Julia CHIRAPA	Secretary-General

#### ARAB STATES

Country	NAME	TITLE
Egypt	Mr Hussein Ibrahim	Culture counsellor Beijing
Mauritania	Mr Ismail Ould Chouaib	Assistant Secretary-General
Morocco	Mr Mohammed Benabdelkader	Secretary-General
Palestine	Mr Feras Ghannam	Director of Programs and Projects Department
Qatar	Ms Hamda Hassan Al-Sulaiti	Secretary-General
Saudi Arabia	Mr Mansour Alosaimi	Counsellor of Education
Sudan	Mrs Huda Mohamed Ismail Abdelatif	Assistant Secretary-General for Education
	Msr Wafaa Noureldin	Assistant Secretary-General for Natural science
Syrian Arab Republic	Ms Mouna Aljoldi Alabssi	Secretary-General

#### ASIA AND THE PACIFIC

Country	NAME	TITLE
Afghanistan	Mr Mohammad Shakir Habibyar	Secretary-General
Australia	Mr Adam Illman	Secretary-General
Bangladesh	Mr Taz Uddin	Programme Officer
China	Mr Du Yue	Secretary-General
	Mr Zhou Jiagui	Deputy Secretary-General
	Mr Hou Jian	Director
	Ms Guo Wei	Programme Officer

<b>Country</b>	<b>NAME</b>	<b>TITLE</b>
Cook Islands	Mr Gail Townsend	Secretary-General
	Joshua McKenzie Mitchell	
Fiji	Mr Amani Cirikisuva	Secretary-General
India	Mr Alok Mishra	Department of Higher Education
	Mr Saroj Kumar Choudhary	Section Officer Department Higher Education
Indonesia	Mr Arief Rachman	Executive Chairman
	Mr Danumr Bramanto	Member of National Commission
	Mr Dedimr Karyana	Head of International Facilitation Division, Bureau of Planning and International Cooperation
Iran (Islamic Republic of)	Mr S Nasiri Gheydari	Secretary-General
Japan	Mr Kazuki Fukuda	Deputy Secretary-General
Kazakhstan	Ms Assel Utegenova	Secretary-General
	Ms. A.Oraziman	Member of NATCOM
Kiribati	Ms Kaaro Neeti	Director of Education
Lao People's Democratic Republic	Mr Samboun MASOUVANH	Secretary-General
Marshall Islands	Mr Catalino Kijiner	Associate Commissioner for Finance and Budget
Mongolia	Mr Gundegmaa Jargalsaikhan	Secretary-General
Nepal	Mr. Balaram Timalsina	Secretary-General
New Zealand	Mr Ian McKinnon	Chairperson
	Ms Vicki Soanes	Secretary-General (Acting)
Palau	Mr Andrew Tabelual	Secretary-General
Papua New Guinea	Mr Andrew Angobe	Secretary-General
Philippines	Ms Virginia A. Miralao	Secretary-General
Republic of Korea	Mr Dong Seok MIN	Secretary-General
	Mr Jinsung JEON	Director Division of International Relations
	Ms Song KWON	Programme Officer, Division of International Relations
Samoa	Ms Karoline Fuatai	Chief Executive Officer Ministry of Education, Sports and Culture
Solomon Islands	Ms Christina Bokalo	Chief Education Officer

Country	NAME	TITLE
Thailand	Ms Chitralada Chanyaem	Foreign Relations Officer
Timor-Leste	Mr Francisco Barreto	Coordinator of mother tongue Education Programme
Tonga	Ms Lucy Moala-Mafi	Secretary-General
Tuvalu	Mr Tofiga Tinilau	Programme Officer
Viet Nam	Mr Pham Sanh Chau	Secretary-General
	Ms Nguyen Minh Hanh	Desk Officer for UNESCO Social Sciences and Cultural Heritage

### EUROPE AND NORTH AMERICA

Country	NAME	TITLE
Albania	Mr Sokol Gjoka	Director of the International Organizations MFA
Andorra	Mr Jean-Michel Armengol	Secretary-General
Armenia	Mr Vahram Kazhoyan	Secretary- General
Austria	Ms Mona Mairitsch	Deputy Secretary-General
Azerbaijan	Ms Gulnara Aghalarova	Secretary-General
	Ms Lala Mehdiyeva	Attaché of the Commission
Belarus	Mr Andrei Tribush	Secretary-General
Belgium	Mr Tijs D'Hoest	Secretary- General
Bulgaria	Mrs Maria Donska	Secretary-General
Canada	Ms Christina Cameron	President
Czech Republic	Mr Karel Komárek	Secretary-General
Estonia	Ms Margit Siim	Coordinator of Culture Programmes
Finland	Ms Zabrina Holmström	Secretary-General
France	Mr David FAJOLLES	Secretary-General
Georgia	Ms Ketevan Kandelaki	Secretary- General
Germany	Mr Lutz Moeller	Deputy Secretary-General
Greece	Ms Maria-Aikaterini Papachristopoulou	President
	Ms Ismini Kriari	Member of the Executive Board of the NATCOM
Hungary	Mr Gábor Soós	Secretary- General
Iceland	Ms Áslaug Dóra Eyjólfsdóttir	Secretary-General



Country	NAME	TITLE
Israel	Ms Dalit Atrakchi	Secretary- General
Luxembourg	Ms Simone Beck	Chairperson
Poland	Mr Sławomir Ratajski	Secretary-General
Portugal	Ms Rita Brasil de Brito	Secretary-General
Romania	Ms Daniela Popescu	Head of the Subcommittee for interdisciplinary Programmes
Russian Federation	Mr Vladimir Cherepanov	Head of division
	Ms Irina Kuzmina	Second Secretary
Serbia	Ms Jasmina Stankovic Tatarac	Secretary-General
Slovakia	Ms Edita Filadelfiova	Secretary General
Switzerland	Mr Nicolas Mathieu	Secretary-General
Turkey	Mr Öcal Oğuz	Chairperson
	Ms İrem ALPASLAN	Assistant Secretary General
United Kingdom of Great Britain and Northern Ireland	Mr James Bridge	Secretary General

#### LATIN AMERICA AND THE CARRIBEAN

Country	NAME	TITLE
Anguilla	Ms Jasmin-Ann Phillip-Garraway	Secretary-General
Belize	Mr Rudolph Anthony	Secretary-General
Cuba	Ms Gonzalez Guittierez	Secretary-General
Curacao	Ms Marva C. Browne	Secretary-General
Dominican Republic	Ms María Mercedes Brito-Feliz	Secretary-General
	Mr Ramone Feliz	Consultant in Natcom
Grenada	Ms Kisha Gellineau	Secretary-General (Acting)
Haiti	Mr Dieufort Deslorges	Assistant Secretary-General
Jamaica	Mr Everton Hannam	Secretary-General
Mexico	Mr Benito Mirón López	Secretary-General
Paraguay	Mr Lucas Franco Godoy	1st Secretary Permanent Delegation
Saint Kitts and Nevis	MR Antonio Maynard	Secretary-General
Sint Maarten	Ms Marcellia Henry	Secretary-General
Suriname	Ms Anuradha Kamtasing	Secretary-General
Trinidad and Tobago	Ms Susan Shurland	Secretary-General



United Nations  
Educational, Scientific and  
Cultural Organization

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## PRELIMINARY PROPOSALS BY THE DIRECTOR-GENERAL CONCERNING THE DRAFT PROGRAMME AND BUDGET FOR 2018-2021 (39 C/5)

### PART II

#### PRELIMINARY TECHNICAL ESTIMATES FOR 2018-2019 (39 C/5)

##### SUMMARY

Part II of document 200 EX/13 contains:

- A general description of the methods and techniques to be applied in preparing the Draft Programme and Budget for 2018-2019 (39 C/5) in line with 38 C/Resolution 98;
- A technical estimate of the requirements under the regular budget (assessed contribution) that would be needed for the 39 C/5 (2018-2019) if the same purchasing power were to be maintained as that of the 38 C/5 (2016-2017) Approved budget. These requirements take into account increases arising in 2011-2015 from statutory and inflationary factors and technical adjustments.
- The Director-General's proposal for the regular budget ceiling (assessed contributions) for the 39 C/5

Action expected of the Executive Board: draft decision in paragraph 34.



## I. BUDGETING TECHNIQUES AND METHODOLOGY

1. In 38 C/Resolution 98, the General Conference:

- 1) *[Took] note of the fact that the budgeting techniques applied to the preparation of document 38 C/5 [were] in accordance with 37 C/Resolution 92, and that some adjustments were made in response to the recommendations of the External Auditor regarding UNESCO's budgetary methods, tools and processes;*
- 2) *Further [took] note of the progress accomplished towards the full implementation of results-based budgeting (RBB) and that a new methodology [had] been applied to determine a realistic and manageable lapse factor level;*
- 3) *Invite[d] the Director-General, when preparing the Budget for 2018-2019, to continue applying the approved budgeting techniques while implementing more significantly the recommendations of the External Auditor contained in document 195 EX/23 Part II and 195 EX/23.INF.2 as described in document 197 EX/24.INF;*
- 4) *Request[ed] the Director-General to prepare the draft budget based as closely as possible on actual staff costs, taking account of the compensation package changes that are foreseen as a result of the International Civil Service Commission (ICSC) decisions and recommendations.*

2. Additionally, the Executive Board in 199 EX/Decision 5.II.F.13 requested the Director-General (inter alia) to inform Members States of any adjustments to the budgeting techniques which may be necessary in preparation for the transitional integrated budget framework and the first structured financing dialogue.

3. In this regard, the following section outlines the approved budgeting techniques traditionally used to prepare the *Regular Programme Budget*. Possibilities to adjust these techniques in view of the transitional integrated budget framework (IBF) and the first structured financing dialogue (SFD) are outlined in 200 EX/13 Part III.

4. Also, although the majority of the ongoing External Auditor's recommendations concerning the budget preparation are foreseen to be implemented during the preparation of the Draft C/5 or in tandem with the ongoing Invest for Efficient Delivery project, a detailed status of implementation of the external auditor's recommendations concerning the budgeting methods, tools and processes which have had implications so far on the recosting exercise is provided in **Annex II** at the end of this document (under the last column of the table).

5. The approved budgeting techniques which are applied when preparing the Regular Budget and which are relevant to the exercise of estimating the **Zero Real Growth (ZRG)** requirement are the following:

### (i) Constant dollar principle

A large portion of UNESCO's activities and staff costs are incurred in Euro. In presenting the budget amounts in US dollar, these euro-based costs are converted into US dollar based on a fixed exchange rate, i.e., constant dollar rate. For the 38 C/5, this constant dollar rate was USD 1 = Euro 0.869, which is the same exchange rate used over the past many biennia.

However, as a good business practice and in accordance with 197 EX/Decision 17.II.6 (and 38 C/6 Add., Part II), the Draft 39 C/5 is expected to be prepared using the United Nations operational rate of exchange (UNORE) prevailing at the time of preparation of that document, in order to ensure

the closest possible alignment of the constant dollar rate to the actual rate.

**(ii) Treatment of currency fluctuations during the biennium**

In the case that the constant dollar principle is maintained, income and expenditure incurred in Euros against the budget will be recorded in the budget reports through the constant dollar rate approved for the 39 C/5 regular programme budget. However, for the accounts (as per IPSAS), Euro denominated income and expenditure will be recorded using the United Nations operational rate of exchange (UNORE). Differences arising from using two different bases for the budget and the accounts will be outlined in reconciliation/ comparison reports of the financial statements.

Exchange gains or losses incurred on the Regular Programme (e.g. from the settlement of monetary items or on translating monetary items at rates different from those at which they were translated on initial recognition) will be recognized as surplus or deficit on the General Fund in the period in which they arise.

**(iii) Treatment of inflation through two stages**

• **Estimating a new budget base through recosting (Parts I-IV)**

Cost increases which have already occurred or are likely to come into effect during the current budget period (2016-2017) will be taken into account by the recosting exercise, in order to estimate the new budget base (Parts I-IV) for the following biennium. The methodology is explained in paragraph 7 (i) below, and the preliminary estimates are shown in Tables 1-4 under **Annex I**.

• **Anticipated cost increases (Part V)**

After the new budget base (Parts I-IV) are determined, projections of statutory and other increases anticipated to occur during 2018-2019 are calculated based on this budget base and treated as “Anticipated Cost Increases”. The methodology is explained in paragraph 7 (ii) below, and the preliminary estimates are shown in Tables 1-4 under **Annex I**.

**(iv) Application of staff cost budget standards**

Standard Costs (i.e. average biennial costs) are used to calculate the costs of established posts financed by the regular budget. The total costs of these established posts are calculated by: first determining the standard cost by grade and by duty station, and then multiplying the standard costs by the number of posts under each grade and each duty station.

Furthermore, in accordance with 38 C/Resolution 98.4, the staff cost estimates are based on the most recent scales of base salaries and related benefits published by the ICSC (International Civil Service Commission) and on an analysis of actual expenditure trends observed during the recent and current biennia. In particular, the future base salary scale applicable as from January 2017 for Professional category staff was already available, thus has been used as important information in the recosting exercise.

It should be noted however, that the standard costs represent the salary level foreseen as at the beginning of the 2018-

2019 biennium, thus take into account only the statutory increases of 2016-2017. Statutory increases that are anticipated to arise in the course of the 2018-2019 biennium are calculated under Part V. The use of funds from Part V is subject to the prior approval of the Executive Board.

(v) **Adjustment for staff turnover and recruitment delays**

The overall staff costs are adjusted to take into account anticipated staff turnover and recruitment delays by applying a “lapse factor”. For reference, in document 38 C/5 Approved a lapse factor of 5% was applied. For comparability purposes, the same rate was used to prepare the current preliminary estimates. Therefore, all posts are budgeted at only 95% of the respective standard costs.

However, in accordance with good business practice, and in keeping with the spirit of 195 EX/Decision 13.14.d, the Director-General may propose to revise the lapse factor rate for the Draft 39 C/5, to reflect a more up-to-date staffing situation.

**II. TECHNICAL ESTIMATES OF INFLATION AND STATUTORY REQUIREMENTS FOR THE 39 C/5 (2018-19)**

6. This chapter presents a preliminary technical estimates of the **Zero Real Growth (ZRG) requirement** for document 39 C/5 (2018-2019), i.e. the additional funds that would in theory be needed in document 39 C/5 in order to maintain the Organization’s purchasing power at its current level (38 C/5). As a reminder, a ZRG budget implies that an increase in the budget from one biennium to another only compensates for the loss of purchasing power due to statutory increases, inflation and technical adjustments. Therefore, a ZRG budget represents the same level of resources (in real terms) as approved for the current biennium 2016-2017.

7. In conformity with the budgeting techniques approved by the General Conference (re: paragraph 4 (iii) above), the following two step methodology was used for estimating the ZRG requirement for document 39 C/5:

- (i) First, the “Budget Base Parts I-IV” for the 38 C/5 was “recosted”. As a reminder, the Budget Base (Parts I-IV) was based on the salary scales and price levels applicable as at the beginning of the biennium in question (i.e. 1 January 2016 for document 38 C/5). To estimate the ZRG budget level required for the following biennium, the operational and staff costs of Parts I-IV of the 38 C/5 Approved has to be recalculated to reflect the price level foreseen **at the beginning of the next biennium (1 January 2018)**. This exercise of revaluating the Budget Base is referred to as “recosting”.

The recosting estimates are calculated for each item of expenditure and are based on an analysis of the increases in staff costs and in goods and services that have already occurred, and also based on the most precise information available concerning the evolution of salary and inflation indices for the remaining period of the current biennium. Also this recosting is done on the basis of the unchanged programme and staffing structure, as the purpose is to estimate the theoretical additional costs that the Organization would need in order to maintain the same purchasing power as in document 38 C/5. This, of course, does not mean that the actual future 39 C/5 budget contents will have the same programme and staffing structure. Details of the elements used to calculate the recosting estimates are outlined in paragraphs 9-16 below.

- (ii) Using this revaluated 39 C/5 “Budget base” as the reference point, “**Anticipated Cost Increases**” which are expected to occur in 2018-2019 are projected in accordance

with the best information available to the Secretariat concerning future salary indices and consumer prices and their likely impact on the various expenditure items contained in the proposed appropriations. These estimates are shown under **Part V** of the budget. Details of the elements used to calculate the Part V estimates are outlined below in paragraph 17-18 below.

8. Furthermore, as per 36 C/5 Resolution 105, UNESCO's C/5 documents cover a four-year programme, but a two-year budget. In this regard, the current preliminary proposal focuses on the inflation and statutory requirements needed for the first biennial period (2018-2019) of the quadrennial programme (2018-2021).

#### **CALCULATION OF THE BUDGET BASE (PARTS I-IV)**

9. Various elements were analyzed and taken into account in the “**recosting**” exercise in order to calculate the increases that have already occurred or are expected to occur in the current biennium (2016-2017).

#### **For staff costs**

10. Estimates of statutory increases under the staff costs incorporate the following elements:

- (i) Estimate of the average “within-grade step” of staff members, for each grade, foreseen by the end of the present biennium;
- (ii) The latest scale of base salary, or a future one if already known (base salary scale effective January 2017 for the Professional and higher categories, and September 2015 for the General Service category);
- (iii) Post adjustment classifications for Professional staff at Headquarters and field duty stations according to the analysis of the most up-to-date indices of up to June 2016;
- (iv) The latest scale of pensionable remuneration, or a future one if already known (effective January 2017 for the Professional and higher categories, and September 2015 for the General Service category) for the purpose of estimating the Organization's contribution to the Pension Fund;
- (v) The revised principles concerning the Organization's contribution to the Medical Benefit Fund, effective from January 2012, and the actual trends of the Organization's contributions over the recent biennium;
- (vi) Other allowances (spouse allowance, child allowance, education grant, assignment grant, housing subsidy, mobility/hardship allowance, statutory travel, etc.) based on the expenditure patterns of recent years and the updated conditions for each category of staff;
- (vii) Any other reliable information on the future statutory increases foreseen to come into effect by the end of the present biennium with regard to base salary scales, post adjustment indices, pensionable remuneration scales and other staff entitlements.
- (viii) Furthermore, in accordance with 37 C/Resolution 85 paragraph 3, a provision is foreseen for the After-Service Health Insurance (ASHI) long-term liability in a separate appropriation line under the staff costs. This amount corresponds to 1% of the regular programme staff cost budget (excluding the Reserve for Staff Adjustments and Parts IV and V).

11. The estimates of statutory increases take into account the new and important changes in the salary scale system foreseen as from January 2017, i.e., unification of the single and dependency scales and certain transitional compensatory measures for the Professional staff and above, as decided by the ICSC.

12. Also, in line with good practices and in order for better management, the Secretariat strongly believes that certain provisions should be set aside within the staff costs, i.e., for separation payment and for replacement of maternity leaves. In the past these costs have been covered from staff cost savings, mainly from the unused budget of vacant posts. Under this method, especially because the separation payment is a statutory obligation, recruitment of vacant posts was often intentionally postponed in order to secure funds for separation payments. Also replacing of maternity leaves is often of absolute necessity, and it requires additional costs as the staff members taking maternity leave keep receiving salaries. Depending on the situation of staff cost saving, it has been sometimes not possible to allow such replacement of maternity leaves. In order to avoid this kind of situation and to ensure smooth and rapid recruitment of vacant posts, it is highly desirable that a provision for separation payment and replacement of maternity leaves be included under the staff cost budget. As to the calculation of separation payment to be included in document 39 C/5, only a minimum amount related to the staff members anticipated to reach their statutory retirement during 2018-2019 have been taken into account.

### **For goods and services (operational costs)**

13. Price increases for goods and services are estimated on the basis of information obtained from the following sources:

- (i) An analysis of the expenditure trends of the previous and current biennia;
- (ii) Economic and statistical indicators published by the National Institute of Statistic and Economic Studies (INSEE France) as at April 2016, and
- (iii) Inflation statistics published by the International Monetary Fund (IMF) as at April 2016.

14. To estimate the recosting requirements for the operational budget, a composite of different indicators and variables was used. For operational budgets implemented from Headquarters, INSEE indices and IMF inflation estimates for France were used. For field operational costs, an analysis was conducted of expenditure trends and inflation rates for each country where UNESCO has a field office to derive an average increase rate for field-related costs.

### **Technical adjustments**

15. In addition to the aforementioned statutory and inflationary requirements, there are other elements in the approved budget which give rise to cost variances that are beyond the Organization's control. For such elements, the Secretariat analysed invoices received, expenditure trends and other concrete factors to determine the additional requirements. For the calculation of the budget base for document 39 C/5, these items are presented as technical adjustments, which is consistent with the approach used in preparing the 38 C/5 Approved budget.

Technical Adjustment Items	Additional Requirements (US \$ thousand)	
	\$667M/\$653M Budgets	\$518M/\$507M Exp. Plans
▪ Field Security Costs	1,687	1,687
▪ Contributions to the United Nations Department of Safety and Security (UNDSS) & Malicious Act Insurance Policy (MAIP)	299	299
▪ United Nations Resident Coordinator (cost sharing mechanism)	693	3,206
▪ UNESCO Security and Safety Action Plan	1,207	1,207
▪ Acquisition/Improvement of premises - Belmont Plan Loan repayment & IBE Loan	(1,896)	(1,896)
<b>Technical Adjustments</b>	<b>1,989</b>	<b>4,502</b>

16. In accordance with 199 EX/Decision 17 paragraph 9 which encouraged the Director-General to identify the necessary funds for the rapid and full realization of the **security and safety action plan** through the regular programme and extrabudgetary resources, the above list of technical adjustments includes the additional costs for this item. For the time being, this is estimated at \$1.2 million corresponding to the recurrent costs of the action plan, i.e., creation of 10 security agent posts.

#### ANTICIPATED COST INCREASES (PART V)

17. As mentioned earlier, the recosted Budget Base (Parts I-IV) for the 39 C/5 is calculated using the expected price level as at the beginning of January 2018. Anticipated cost increases expected to occur during 2018-2019 are not included in the budget base, but are pooled separately under Part V of the budget. The use of funds from Part V is subject to the prior approval by the Executive Board.

18. It is worth being reminded that the calculation of Part V under the 39 C/5 depends on the budget content of Parts I-IV of the same 39 C/5, and is not related to Part V of the previous 38 C/5 biennium. In the final stage of preparing Draft C/5 documents, due to a number of additional and inevitable constraints Part V has often been reduced to a minimum amount which can cover only the anticipated statutory increases under staff costs, thus abandoning to cover inflation costs under activities. However, at this stage of preliminary technical estimate, Part V is calculated in a theoretical manner covering the full anticipated costs under both staff and activity. For this reason, usually the estimate of the future Part V at the time of technical estimate in the Preliminary Proposals are higher than the approved amount of Part V under the current C/5 document.

#### SUMMARY OF THE TOTAL ZRG ESTIMATES TO COVER INFLATION AND STATUTORY INCREASES

19. Based on the methodologies explained above, the following tables provide the ZRG estimates by major item of expenditure using the following four budget levels under document 38 C/5 as the starting point:

- (a) \$667 million approved budget;
- (b) \$518 million expenditure plan,
- (c) \$653 million budget financed by assessed contributions; and
- (d) its corresponding \$507 million expenditure plan (assessed contribution).



Although the officially approved budget for the 38 C/5 was \$667 million (with an expenditure plan of \$518 million), from the viewpoint of Member States' assessed contribution the budget scenario of \$653 million (with an expenditure plan of \$507 million) can be considered more relevant.

20. The total Zero Real Growth (ZRG) estimates for document 39 C/5 is summarized in the following table, and a detailed breakdown is provided in Tables 1-4 in the **Annex I**.

(in US\$ million)

	<b>\$667M Approved</b>	<b>\$518M Approved Exp. Plan</b>	<b>\$653M (Assessed Contribution)</b>	<b>\$507M (Assessed Contribution Exp. Plan)</b>
38 C/5 Approved Budget (Parts I-IV)	667.0	518.0	653.0	507.0
Less Part V	5.3	4.8	5.3	4.8
38 C/5 Approved Budget (Parts I-IV)	661.7	513.2	647.7	502.2
Recosting of the Budget Base (Parts I-IV)				
• Staff costs	-7.6	-6.6	-7.6	-6.7
• Operational costs	6.1	3.3	5.7	3.1
• Technical adjustments	2.0	4.5	2.0	4.5
<b>Total Budget Base for 39 C/5 (Parts I - IV)</b>	<b>662.2</b>	<b>514.3</b>	<b>647.8</b>	<b>503.1</b>
Anticipated Cost Increases (Part V) for 39 C/5	10.6	7.0	10.1	6.7
<b>ZRG Budget Estimate for the 39 C/5 (Parts I – V)</b>	<b>672.8</b>	<b>521.4</b>	<b>657.9</b>	<b>509.8</b>
<b>Total ZRG requirement</b>	<b>5.8</b>	<b>3.4</b>	<b>4.9</b>	<b>2.8</b>
Overall increase in %	0.9%	0.6%	0.8%	0.5%

21. **In summary, the ZRG requirement related to the regular budget is estimated in the range of \$2.8~5.8 million depending on the 38 C/5 budget scenario, representing a very low increase of 0.5~0.9%.** If these small amounts were to be available as additional funds for document 39 C/5, the Organization would in theory be able to cover the statutory increases and inflation costs and other uncontrollable “technical adjustments” which have arisen during the current biennium.

22. The very low ZRG requirement owes to substantial decrease in the staff costs, for which the recosting amount is estimated at a negative amount for all the four scenarios. Theoretically speaking, this means that the same staffing structure could be maintained in the next biennium with a less budget. This negative recosting for the staff costs is mainly due to the following three reasons:

- **Anticipated decline in the statutory factors:** As mentioned before, the base salary scale determined by ICSC for Professional staff and above (both for Headquarters and the field) will be restructured as from January 2017 so that it will be unified into one single scale, whereas in the past it had two scales, i.e., a higher one for those who have dependencies and a lower one for those who do not. The new scale will be close to the latter low one and will be applicable to all staff. For the staff members with dependency, there will be certain compensatory and transitional allowances, but as a whole the new salary scale and the compensation package will lead to decrease in the global costs. Also

the pensionable remuneration scale (determined by ICSC) will be largely reduced from January 2017. This will not reduce the salary income of the staff, but will reduce the Organization's contribution to the Pension Fund. Further, the "multiplier points" which determine the amount of post adjustment (which is a salary component reflecting cost of living for each duty station) are recently showing a general downward trend worldwide.

- **Trend of stronger USD currency:** Compared to two years ago, the US dollar has become, on average, 30% stronger vis-à-vis the other currencies. This does neither affect the staff cost budget for the professional staff for which majority of the salary components are defined in US dollar, nor the General Service staff at Headquarters due to the constant dollar mechanism, but it affects largely the budget for local staff in the field when expressed in USD. However, although this trend of the USD exchange rate has been taken into account in the recosting exercise at this stage, it should be noted that the future exchange rate trends are unpredictable and thus the forecasted budget reduction due to this factor may not be valid by the time the new biennium 2018-2019 starts.
- **Reduced level for the within-grade steps of UNESCO staff:** An analysis of all the existing staff members' within-grade step level reveals that it has gone slightly down compared with that of two years ago. This has been reflected in the determination of the level of base salaries and contribution to the Pension Funds, and it also impacted indirectly the contribution to the Medical Benefits Funds. Further, in accordance with a recommendation of the External Auditor, improvement was made to the method of dealing with the currently vacant posts in determining the average within-grade steps, which also contributed to this downward trend.

23. On the other hand, a periodic cost-of-living survey is being currently conducted in Paris by ICSC to determine the future level of post adjustment applicable to the Professional staff and above at Headquarters. The result of this survey will be known only around April 2017. The previous similar survey conducted in 2012 resulted in an increase of 4.9%, but it is very difficult to foresee at this stage the increase (or decrease) that would arise from the survey this time. For indicative purposes, each 1% increase in the post adjustment would lead to approximately \$1.1~1.2 million increase in the overall staff costs. At this stage, for provisional and indicative purposes, the calculation of the ZRG requirement has assumed a 3% increase related to this cost-of-living survey.

### III. CONSIDERATION OF THE BUDGET LEVEL FOR DOCUMENT 39 C/5 (2018-2019)

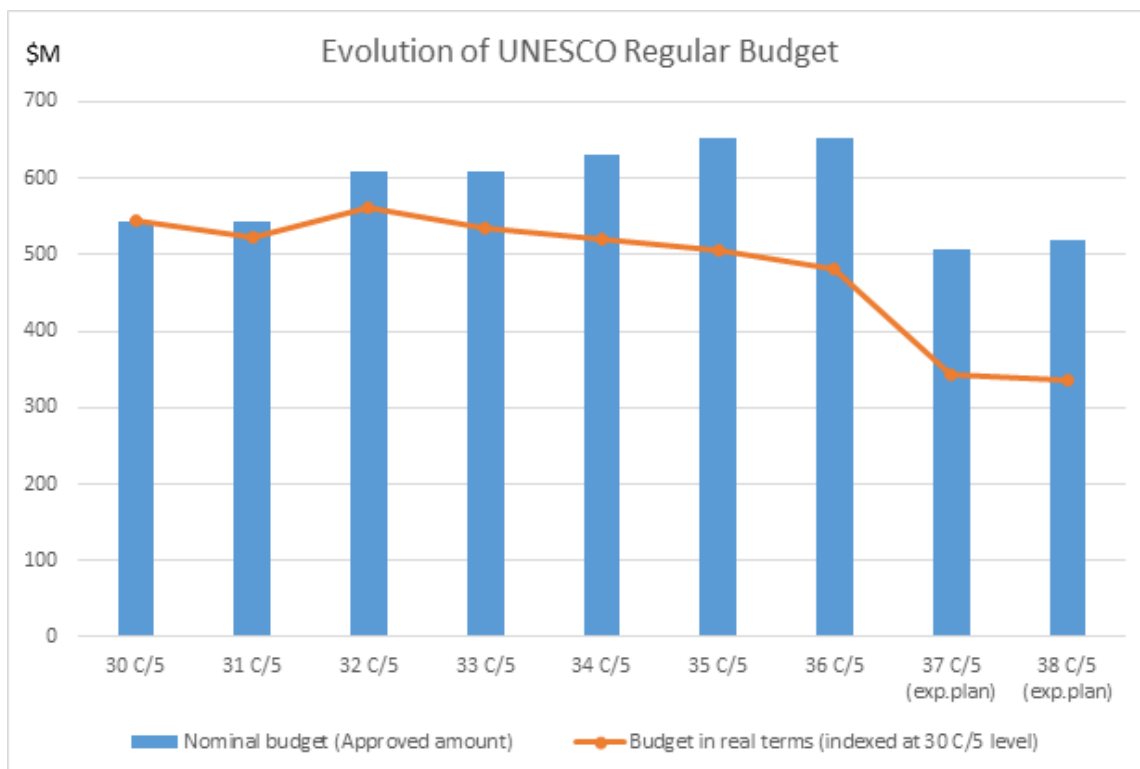
24. When considering the budget level for document 39 C/5, two important factors that have recently come into UNESCO's budgetary framework need to be taken into account. One is the introduction of the results-based budgeting (RBB) process, by which a bottom-up programming for each expected result is intended to determine the total budget requirement. In recognition of this principle, Member States once made a decision to eliminate "*the presentation of zero real growth (ZRG) estimates based on inflation and statutory increase analyses in future preliminary proposal documents*", as one of the changes and improvements to the budgeting techniques and processes which were needed in order to apply RBB to UNESCO (ref: 190 EX/Decision 19 Part II). This decision was based on the understanding that focus should be placed on the results to be achieved instead of on the inputs to be used, and thus that there should be a move away from an inflation-based approach to a results-based approach in determining the future budget. The Secretariat notes nevertheless that an indication of ZRG requirement would always be useful to project the assessed contributions of Member States as well as to understand the impact of the new budget level in terms of obligation for cost absorption or real increase in resources.

25. The second factor to be taken into consideration is the Integrated Budget Framework which is envisaged to be established for document 39 C/5. As explained in detail in document 200 EX/13 Part III, the integrated budget framework will change considerably the scope of the budget

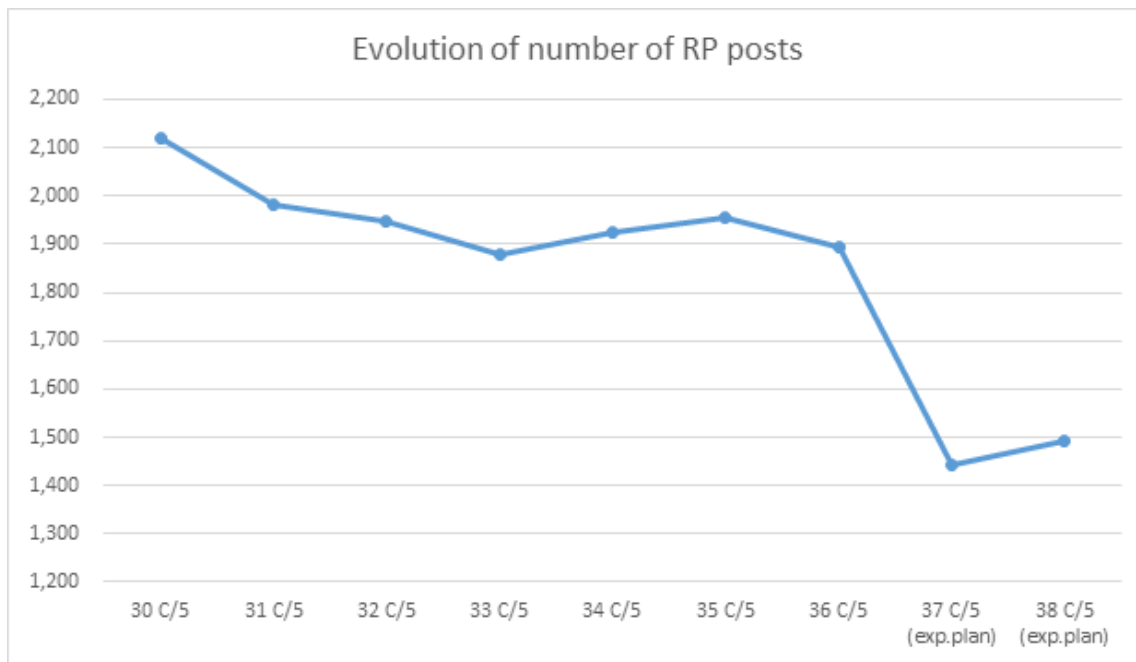
examination, in that Member States are expected to adopt and monitor the Organization's budget from a holistic view, i.e., overlooking both regular budget (assessed contribution) and extrabudgetary funds, plus the "gap" which remains unfunded at the time of budget preparation and its adoption. Under this larger scope of budget examination, determining the ceiling for the assessed contribution may have a different implication for the preparation of UNESCO's budget. Limitation in one source of funds may need to be dealt with from the global scope of funding.

26. In addition, the Director-General considers essential to remind the Member States of several trends which affect the financial well-being of the Organization as well as its activity. The first is the very large cuts which the Organization has already experienced in the past years, sharply limited the range, scope and depth of its activities, including those undertaken to the benefit of its Member States. A significant part of these cuts is attributable to the non-payment of their assessed contributions by two Member States. Another is related to the ZNG rate applied to the Organization regularly for the last six biennia. The cumulative impact of these cuts can be expressed in simple terms:

- (a) the chart below summarizes the evolution since 2000 (30 C/5) of UNESCO's budget, showing that **the Organization has lost in real terms 38% of its budget in 15 years, and nearly 30% in the last four years between the 36 C/5 to the 38 C/5 implementation plan.**



- (b) the chart below summarizes the concurrent evolution of staff over the same period **the Organization has lost 30% of its Regular Programme staff in 15 years, and 21% in the last four years between the 36 C/5 to the 38 C/5 implementation plan.**

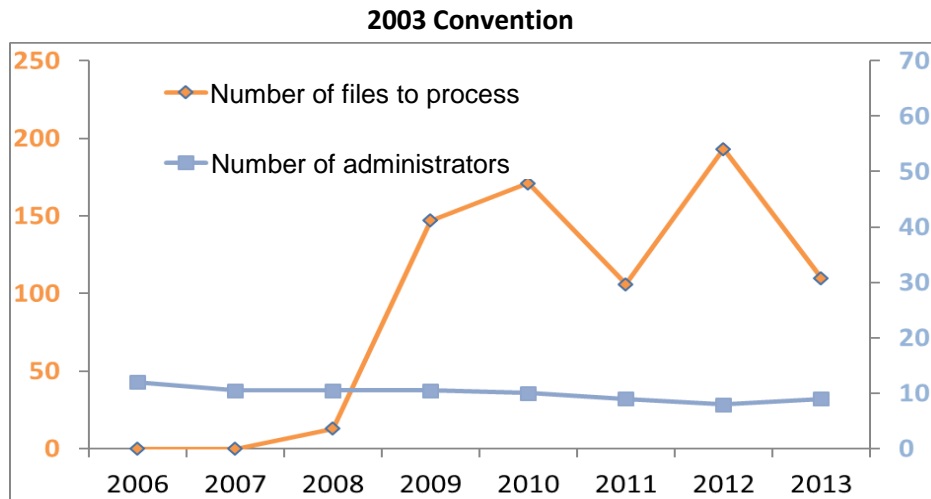


27. In spite of these sharply reduced resources, UNESCO’s programmes have steadily increased over the years. Between 2000 and 2016, the number of new programmes has increased significantly (see table below). What is more, the internal growth of these programmes (e.g., increase in the number of World Heritage properties) has also been significant.

	2000	2016
Category 1 institutes and centres	7 <sup>1</sup>	10
International scientific programmes	4	5/6 <sup>2</sup>
Conventions	22	28
Conventions in the field of culture	3	6
1972 Convention	690 properties	1,052 properties
1972 Convention, List of World Heritage in Danger	30 properties	55 properties
Biosphere Reserves	368 sites	669 sites

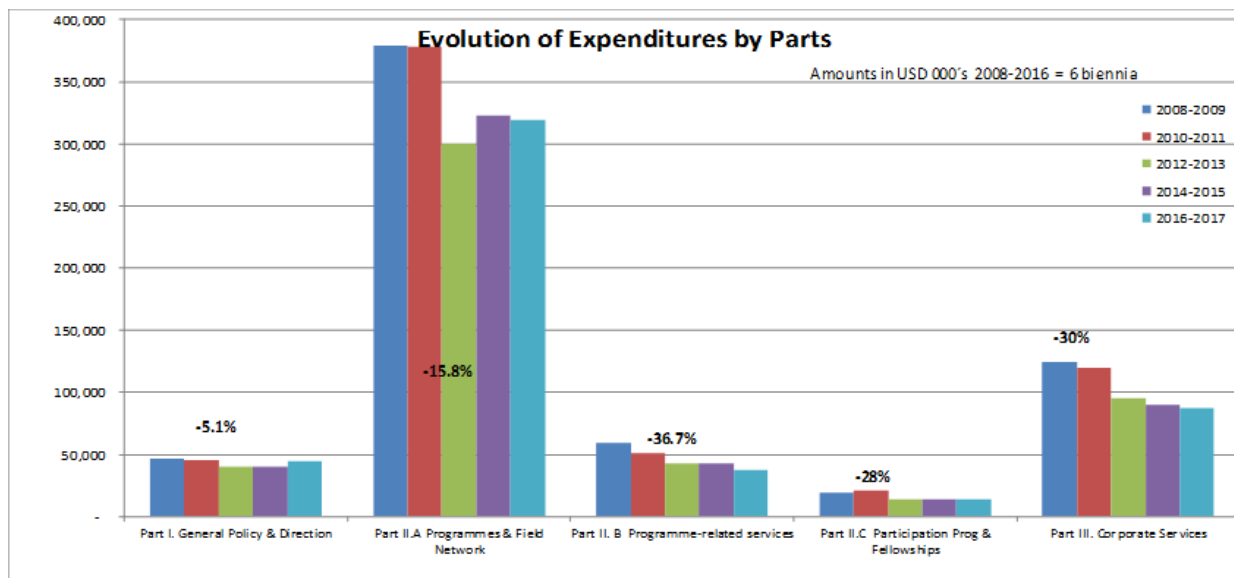
28. Often, the secretariat’s workload has increased without concurrent increase of the staffing (see graph below, the situation for the 2003 Convention). The situation of the Culture Conventions was considered “unsustainable” by an audit report.

<sup>1</sup> Comparison 30 C/5 Approved-38 C/5 Approved  
<sup>2</sup> Six counting the Global UNESCO Geoparks (label ratified in 2015).



29. This sharp increase in the number and scope of UNESCO's programmes, however difficult to sustain, reflects a growing interest in UNESCO's areas of expertise over the past 15 years. The 2030 Agenda for Sustainable Development testifies to this interest, with UNESCO playing significant roles in nine SDGs, from culture to oceans. In spite of the support of many Member States in the form of extrabudgetary contributions, the growth of interest in UNESCO's work has not been accompanied by a comparable growth in funding (in terms of extrabudgetary funding, the Organization has maintained its funding in the past five years, with a diversification of the donor base).

30. The actual expenditures incurred in the administrative area have constantly been sharply reduced over the past biennia, regardless of the significant challenge given by the level of fixed charges and the need to support a constant level of extrabudgetary projects. The following chart shows how much the expenditures under Part III (Corporate Services) have decreased as compared with other parts of the budget, 30% decrease under Part III (HRM, BFM, MSS) and 36.7% under Part II.B (AFR, GE, PCPD, BSP, KMI, ERI).



31. Nevertheless, on the basis of initial contacts with the Member States, the Director-General would like to propose the following two options for the regular budget (assessed contribution) ceiling for the 39 C/5;

**Option 1: \$653 million** (and its expenditure plan of **\$507 million**), which corresponds to the ZNG level of the 38 C/5 assessed contribution portion,

**Option 2: \$667 million** (and its expenditure plan of **\$518 million**), which corresponds to the ZNG level of the official approved 38 C/5 regular budget.

Considering today's financial situation surrounding both Member States and the Organization, the Director-General believes these proposals to be the best possible compromise and would like Member States to debate around these proposals.

32. Member States will note that, in practical terms, Option 1 of \$653 million (\$507 million expenditure plan) implies an absorption of some \$14.4 million in real terms as compared with the current 38 C/5 expenditure plan of \$518 million for which the ZRG level is estimated at \$521.4 million. The Organization has been making constant efforts in cost reduction by streamlining the central services and staff reduction throughout the past biennia as demonstrated above, especially since the financial crisis of 2012. The Director-General thus believes that cost absorption of a further \$14.4 million under the current situation would be extremely difficult, and will by necessity affect the programme delivery and the field structure.

33. Finally, the Director-General believes that, despite her proposing two budget options, it will help enormously the Secretariat's work of preparing the Draft 39 C/5 which will be the first set of integrated budget, if a clear single ceiling amount for the assessed contribution together with clear programme priorities are determined by Member States at this stage.

#### **IV. ACTION EXPECTED OF THE EXECUTIVE BOARD**

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

The Executive Board,

1. Having examined document 200 EX/13 Part II,
2. Notes that the preliminary budgetary estimates for the 39 C/5 have been calculated using approved budgeting techniques and methodology in accordance with 38 C/Resolution 98 adopted by the General Conference;
3. Notes that the document provides an estimate of the Zero Real Growth (ZRG) requirements needed for the 39 C/5 to maintain the same purchasing power as that of the present 38 C/5;
4. Notes that the estimate of the ZRG requirement for the 39 C/5 is \$5.8 million for the 38 C/5 Approved budget (\$667 million), on the understanding that there are several factors for which the budgetary impact is difficult to predict at this stage, in particular, the result of the ICSC's cost-of-living survey for Paris;
5. Notes that the Director-General proposes two options for the regular budget ceiling of the 39 C/5, namely \$653 million (expenditure plan of \$507 million) and \$667 million (expenditure plan of \$518 million);
6. Decides a ceiling of \$\_\_\_\_\_ million for the assessed contribution for the 39 C/5;
7. Requests the Director-General to prepare the Draft 39 C/5 in an integrated budget framework including the assessed contribution of \$\_\_\_\_\_ million, to be submitted to the 201st session of the Executive Board;
8. Further requests that any change in the budgeting techniques required for the preparation of the 39 C/5 be explained in the document Draft 39 C/5, notably with regard to the constant dollar mechanism and the provision for anticipated cost increases.

## ANNEX I

**Table 1 - Estimation of the Zero Real Growth Requirements for the 39 C/5 - \$667M Scenario**

(in \$ thousand)

Item of expenditure	Parts I - IV			Proposed Budget Base for the 39 C/5 (price level of 01/01/2018)	Part V Anticipated cost increases in 2018-2019	Parts I - V 37 C/5 ZRG Estimate 2018-2019 (US\$1 = Euro 0.869)
	38 C/5 Approved 2016-2017 (excluding Part V) (price level of 01/01/2016)	Requirements for a Zero Real Growth Budget Base	Avg. annual % increase			
	\$	\$	%	\$	\$	\$
<b>1. Statutory and Inflationary Requirements</b>						
<b>a) Staff salaries and allowances</b>						
Net remuneration	256,968	(14,582)	(2.9)	242,386	2,124	<b>244,510</b>
Pension fund contributions	53,004	(922)	(0.9)	52,082	462	<b>52,544</b>
Contribution to the MBF	13,755	(2,870)	(11.0)	10,885	100	<b>10,985</b>
Provision for ASHI Liability	3,748	(167)	(2.3)	3,581	0	<b>3,581</b>
Other allowances : <i>(spouse allowance, child allowance, mobility and hardship allowance, field network reform recurrent costs, education grant, language allowance, home leave, separation payment, etc.)</i>	31,231	10,922	16.2	42,153	337	<b>42,490</b>
Reserve for staffing adjustments	3,000	0	0.0	3,000	0	<b>3,000</b>
<b>Subtotal 1a, Staff Costs</b>	<b>361,706</b>	<b>(7,619)</b>	<b>(1.1)</b>	<b>354,087</b>	<b>3,022</b>	<b>357,110</b>
<b>b) Goods and services</b>						
Personnel services (other than est. posts)	24,649	(647)	(1.3)	24,002	200	<b>24,202</b>
Delegates & External Individual Missions	16,387	(412)	(1.3)	15,975	361	<b>16,336</b>
Staff Mission Costs	20,560	468	1.1	21,028	778	<b>21,805</b>
Consultants & Expert Costs	30,891	1,362	2.2	32,253	1,151	<b>33,404</b>
Contracted Services	46,838	2,985	3.1	49,823	2,069	<b>51,892</b>
Ext. Training, Grants and Other Transfers	65,673	808	0.6	66,481	1,332	<b>67,812</b>
Supplies, Consumables & other Running Costs	47,840	1,522	1.6	49,361	1,582	<b>50,944</b>
Other Expenses	3,297	63	1.0	3,360	74	<b>3,434</b>
<b>Subtotal 1b, Goods and services</b>	<b>256,134</b>	<b>6,149</b>	<b>1.2</b>	<b>262,283</b>	<b>7,545</b>	<b>269,828</b>
<b>2. Technical Adjustment Items</b>						
Contribution to the Medical Benefits Fund for Associate Participants	12,000	0	0.0	12,000	0	<b>12,000</b>
Field Security Costs	9,000	1,687	9.0	10,687	0	<b>10,687</b>
Safety and Security (UNDSS) & Malicious Act Insurance Policy (MAIP)	3,922	299	3.7	4,221	0	<b>4,221</b>
UN Resident Coordinator (cost sharing mechanism)	3,879	693	8.6	4,571	0	<b>4,571</b>
Field Network Reform (operational costs)	1,000	0	0.0	1,000	0	<b>1,000</b>
UNESCO Security and Safety Action Plan	0	1,207		1,207	0	<b>1,207</b>
Acquisition/Improvement of premises - Belmont Plan Loan repayment & IBE Loan	14,082	(1,896)	(7.0)	12,186	0	<b>12,186</b>
<b>Subtotal 2, Technical Adjustments</b>	<b>43,883</b>	<b>1,989</b>	<b>2.2</b>	<b>45,872</b>	<b>0</b>	<b>45,872</b>
<b>TOTAL</b>	<b>661,723</b>	<b>519</b>	<b>0.0</b>	<b>662,242</b>	<b>10,568</b>	<b>672,810</b>

**Table 2 - Estimation of the Zero Real Growth Requirements for the 39 C/5 - \$653M Scenario**

(in \$ thousand)

Item of expenditure	Parts I - IV			Proposed Budget Base for the 39 C/5 (price level of 01/01/2018)	Part V Anticipated cost increases in 2018-2019	Parts I - V 37 C/5 ZRG Estimate 2018-2019 (US\$1 = Euro 0.869)
	38 C/5 Approved 2016-2017 (excluding Part V) (price level of 01/01/2016)	Requirements for a Zero Real Growth Budget Base	Avg. annual % increase			
	\$	\$	%	\$	\$	\$
<b>1. Statutory and Inflationary Requirements</b>						
<b>a) Staff salaries and allowances</b>						
Net remuneration	256,968	(14,582)	(2.9)	242,386	2,124	<b>244,510</b>
Pension fund contributions	53,004	(922)	(0.9)	52,082	462	<b>52,544</b>
Contribution to the MBF	13,755	(2,870)	(11.0)	10,885	100	<b>10,985</b>
Provision for ASHI Liability	3,748	(167)	(2.3)	3,581	0	<b>3,581</b>
Other allowances : <i>(spouse allowance, child allowance, mobility and hardship allowance, field network reform recurrent costs, education grant, language allowance, home leave, separation payment, etc.)</i>	31,231	10,922	16.2	42,153	337	<b>42,490</b>
Reserve for staffing adjustments	3,000	0	0.0	3,000	0	<b>3,000</b>
<b>Subtotal 1a, Staff Costs</b>	<b>361,706</b>	<b>(7,619)</b>	<b>(1.1)</b>	<b>354,087</b>	<b>3,022</b>	<b>357,110</b>
<b>b) Goods and services</b>						
Personnel services (other than est. posts)	23,551	(618)	(1.3)	22,933	191	<b>23,124</b>
Delegates & External Individual Missions	15,381	(387)	(1.3)	14,995	338	<b>15,333</b>
Staff Mission Costs	19,336	440	1.1	19,775	731	<b>20,507</b>
Consultants & Expert Costs	28,654	1,264	2.2	29,918	1,067	<b>30,985</b>
Contracted Services	42,125	2,685	3.1	44,809	1,860	<b>46,670</b>
Ext. Training, Grants and Other Transfers	62,471	769	0.6	63,240	1,267	<b>64,507</b>
Supplies, Consumables & other Running Costs	47,376	1,507	1.6	48,883	1,567	<b>50,450</b>
Other Expenses	3,240	62	1.0	3,302	73	<b>3,375</b>
<b>Subtotal 1b, Goods and services</b>	<b>242,134</b>	<b>5,721</b>	<b>1.2</b>	<b>247,855</b>	<b>7,095</b>	<b>254,950</b>
<b>2. Technical Adjustment Items</b>						
Contribution to the Medical Benefits Fund for Associate Participants	12,000	0	0.0	12,000	0	<b>12,000</b>
Field Security Costs	9,000	1,687	9.0	10,687	0	<b>10,687</b>
Safety and Security (UNDSS) & Malicious Act Insurance Policy (MAIP)	3,922	299	3.7	4,221	0	<b>4,221</b>
UN Resident Coordinator (cost sharing mechanism)	3,879	693	8.6	4,571	0	<b>4,571</b>
Field Network Reform (operational costs)	1,000	0	0.0	1,000	0	<b>1,000</b>
UNESCO Security and Safety Action Plan	0	1,207		1,207	0	<b>1,207</b>
Acquisition/Improvement of premises - Belmont Plan Loan repayment & IBE Loan	14,082	(1,896)	(7.0)	12,186	0	<b>12,186</b>
<b>Subtotal 2, Technical Adjustments</b>	<b>43,883</b>	<b>1,989</b>	<b>2.2</b>	<b>45,872</b>	<b>0</b>	<b>45,872</b>
<b>TOTAL</b>	<b>647,723</b>	<b>91</b>	<b>0.0</b>	<b>647,814</b>	<b>10,117</b>	<b>657,931</b>



**Table 3 - Estimation of the Zero Real Growth Requirements for the 39 C/5 - \$518M Scenario**

(in \$ thousand)

Item of expenditure	Parts I - IV			Proposed Budget Base for the 39 C/5 (price level of 01/01/2018)	Part V Anticipated cost increases in 2018-2019	Parts I - V 37 C/5 ZRG Estimate 2018-2019 (US\$1 = Euro 0.869)
	38 C/5 Approved 2016-2017 (excluding Part V) (price level of 01/01/2016)	Requirements for a Zero Real Growth Budget Base	Avg. annual % increase			
	\$	\$	%	\$	\$	\$
<b>1. Statutory and Inflationary Requirements</b>						
<b>a) Staff salaries and allowances</b>						
Net remuneration	238,222	(13,531)	(2.9)	224,691	1,985	<b>226,676</b>
Pension fund contributions	49,145	(854)	(0.9)	48,291	432	<b>48,722</b>
Contribution to the MBF	12,747	(2,650)	(11.0)	10,097	93	<b>10,190</b>
Provision for ASHI Liability	3,406	(122)	(1.8)	3,284	0	<b>3,284</b>
Other allowances : <i>(spouse allowance, child allowance, mobility and hardship allowance, education grant, language allowance, home leave, separation payment, etc.)</i>	25,364	10,519	18.9	35,883	315	<b>36,199</b>
Reserve for staffing adjustments	0	0		0	0	<b>0</b>
<b>Subtotal 1a, Staff Costs</b>	<b>328,884</b>	<b>(6,638)</b>	<b>(1.0)</b>	<b>322,246</b>	<b>2,825</b>	<b>325,071</b>
<b>b) Goods and services</b>						
Personnel services (other than est. posts)	14,329	(497)	(1.7)	13,832	114	<b>13,946</b>
Delegates & External Individual Missions	7,565	(190)	(1.3)	7,375	166	<b>7,541</b>
Staff Mission Costs	10,578	241	1.1	10,819	400	<b>11,219</b>
Consultants & Expert Costs	15,372	678	2.2	16,050	573	<b>16,623</b>
Contracted Services	23,292	1,484	3.1	24,777	1,029	<b>25,805</b>
Ext. Training, Grants and Other Transfers	36,730	452	0.6	37,182	745	<b>37,927</b>
Supplies, Consumables & other Running Costs	34,069	1,084	1.6	35,153	1,127	<b>36,279</b>
Other Expenses	1,991	38	1.0	2,029	45	<b>2,074</b>
<b>Subtotal 1b, Goods and services</b>	<b>143,927</b>	<b>3,290</b>	<b>1.1</b>	<b>147,217</b>	<b>4,199</b>	<b>151,416</b>
<b>2. Technical Adjustment Items</b>						
Contribution to the Medical Benefits Fund for Associate Participants	12,000	0	0.0	12,000	0	<b>12,000</b>
Field Security Costs	9,000	1,687	9.0	10,687	0	<b>10,687</b>
Safety and Security (UNDSS) & Malicious Act Insurance Policy (MAIP)	3,922	299	3.7	4,221	0	<b>4,221</b>
UN Resident Coordinator (cost sharing mechanism)	1,366	3,206	83.0	4,571	0	<b>4,571</b>
Field Network Reform (operational costs)	0	0		0	0	<b>0</b>
UNESCO Security and Safety Action Plan	0	1,207		1,207	0	<b>1,207</b>
Acquisition/Improvement of premises - Belmont Plan Loan repayment & IBE Loan	14,082	(1,896)	(7.0)	12,186	0	<b>12,186</b>
<b>Subtotal 2, Technical Adjustments</b>	<b>40,370</b>	<b>4,502</b>	<b>5.4</b>	<b>44,872</b>	<b>0</b>	<b>44,872</b>
<b>TOTAL</b>	<b>513,181</b>	<b>1,154</b>	<b>0.1</b>	<b>514,334</b>	<b>7,024</b>	<b>521,358</b>

**Table 4 - Estimation of the Zero Real Growth Requirements for the 39 C/5 - \$507M Scenario**

(in \$ thousand)

Item of expenditure	Parts I - IV			Proposed Budget Base for the 39 C/5 (price level of 01/01/2018)	Part V Anticipated cost increases in 2018-2019	Parts I - V 37 C/5 ZRG Estimate 2018-2019 (US\$1 = Euro 0.869)
	38 C/5 Approved 2016-2017 (excluding Part V) (price level of 01/01/2016)	Requirements for a Zero Real Growth Budget Base	Avg. annual % increase			
	\$	\$	%	\$	\$	\$
<b>1. Statutory and Inflationary Requirements</b>						
<b>a) Staff salaries and allowances</b>						
Net remuneration	237,240	(13,544)	(2.9)	223,695	1,976	<b>225,671</b>
Pension fund contributions	48,943	(860)	(0.9)	48,083	430	<b>48,512</b>
Contribution to the MBF	12,698	(2,645)	(11.0)	10,053	93	<b>10,146</b>
Provision for ASHI Liability	3,406	(136)	(2.0)	3,270	0	<b>3,270</b>
Other allowances : <i>(spouse allowance, child allowance, mobility and hardship allowance, education grant, language allowance, home leave, separation payment, etc.)</i>	25,304	10,503	19.0	35,807	315	<b>36,122</b>
Reserve for staffing adjustments	0	0		0	0	<b>0</b>
<b>Subtotal 1a, Staff Costs</b>	<b>327,590</b>	<b>(6,682)</b>	<b>(1.0)</b>	<b>320,908</b>	<b>2,813</b>	<b>323,720</b>
<b>b) Goods and services</b>						
Personnel services (other than est. posts)	13,029	(455)	(1.8)	12,575	104	<b>12,679</b>
Delegates & External Individual Missions	6,837	(172)	(1.3)	6,665	150	<b>6,815</b>
Staff Mission Costs	9,884	225	1.1	10,109	374	<b>10,483</b>
Consultants & Expert Costs	13,951	615	2.2	14,566	520	<b>15,086</b>
Contracted Services	20,591	1,312	3.1	21,904	909	<b>22,813</b>
Ext. Training, Grants and Other Transfers	34,551	425	0.6	34,976	701	<b>35,677</b>
Supplies, Consumables & other Running Costs	33,482	1,065	1.6	34,547	1,107	<b>35,654</b>
Other Expenses	1,896	37	1.0	1,932	43	<b>1,975</b>
<b>Subtotal 1b, Goods and services</b>	<b>134,221</b>	<b>3,053</b>	<b>1.1</b>	<b>137,274</b>	<b>3,908</b>	<b>141,182</b>
<b>2. Technical Adjustment Items</b>						
Contribution to the Medical Benefits Fund for Associate Participants	12,000	0	0.0	12,000	0	<b>12,000</b>
Field Security Costs	9,000	1,687	9.0	10,687	0	<b>10,687</b>
Safety and Security (UNDSS) & Malicious Act Insurance Policy (MAIP)	3,922	299	3.7	4,221	0	<b>4,221</b>
UN Resident Coordinator (cost sharing mechanism)	1,366	3,206	83.0	4,571	0	<b>4,571</b>
Field Network Reform (operational costs)	0	0		0	0	<b>0</b>
UNESCO Security and Safety Action Plan	0	1,207		1,207	0	<b>1,207</b>
Acquisition/Improvement of premises - Belmont Plan Loan repayment & IBE Loan	14,082	(1,896)	(7.0)	12,186	0	<b>12,186</b>
<b>Subtotal 2, Technical Adjustments</b>	<b>40,370</b>	<b>4,502</b>	<b>5.4</b>	<b>44,872</b>	<b>0</b>	<b>44,872</b>
<b>TOTAL</b>	<b>502,181</b>	<b>872</b>	<b>0.1</b>	<b>503,053</b>	<b>6,721</b>	<b>509,774</b>

## ANNEX II

### STATUS OF IMPLEMENTATION OF THE EXTERNAL AUDITOR'S RECOMMENDATIONS CONCERNING THE BUDGETING METHODS, TOOLS AND PROCESSES

Recommendation	Progress report at 31.05.15 and implications/challenges	Estimated date for the implementation	Comments by the External Auditor	Updated Status (as at July 2016)
<p><b><u>UNESCO's budgetary methods, tools and processes</u></b> <b>(195 EX/23 Part II and 195 EX/23.INF.2)</b> <b>157. Recommendation No. 1:</b> The External Auditor recommends that the Administrative Manual be updated regularly in such a way as to describe and publicize all rules and methods applicable to the internal budget preparation process.</p>	<p><b>Recommendation pending</b> The review of the relevant items of the Administrative Manual will be carried out at the time of the preparation of document 39 C/5 in the spring of 2017, in order to benefit from the ongoing reflections and lessons being learned from the application of results-based budgeting (RBB). Please also see the Secretariat's response to Recommendation No. 5.</p>	<p style="text-align: center;">30/06/2017</p>	<p>The External Auditor takes note of these indications and will monitor their development.</p>	<p>Status of 31.05.15 is still valid. This recommendation will be implemented by spring-summer 2017.</p>
<p><b><u>UNESCO's budgetary methods, tools and processes</u></b> <b>(195 EX/23 Part II and 195 EX/23.INF.2)</b> <b>158. Recommendation No. 2:</b> The External Auditor recommends that the choices made in the apportionment of budget resources among the sectors on the Director-General's decision be based on clear and explicit rationale.</p>	<p><b>Recommendation partly implemented</b> During the preparation of the Draft 38 C/5 considerable efforts were made to better document and communicate the decisions concerning the resource allocations. The preliminary budget envelopes determined by the Director-General were communicated to all the sectors with explanations on logics, criteria and calculation background. Based on these preliminary envelopes, preliminary work plans were prepared by the sectors, and the ADG's arbitration decisions concerning the funding of the various activities were recorded in a dedicated RBB IT tool. The sectors then used this information in preparing their programme and budget proposals for document 38 C/5. Based on the Sectors' consolidated proposals, the Director-General then re-adjusted her preliminary budget envelopes, which was also clearly</p>	<p style="text-align: center;">31/03/2017</p>	<p><b>Recommendation being implemented</b> In view of the observations and recommendations made in support of the budget orientation debate for document 38 C/5, the External Auditor considers that the work accomplished is moving in the direction indicated by his recommendation, but that improvements are still possible to document the arbitrations ultimately carried out by the Director-General.</p>	<p>For this matter concerning the allocation of budget envelopes to the sectors/bureaux, further improvement shall be made at the time of the Draft 39 C/5 preparation, based on an improved RBB process and the new integrated budget framework. Thus to be implemented in the beginning of 2017.</p>

Recommendation	Progress report at 31.05.15 and implications/challenges	Estimated date for the implementation	Comments by the External Auditor	Updated Status (as at July 2016)
	<p>documented and communicated to the sectors/bureaux. In addition to official written correspondence, several meetings of the Senior Management Team were held to share the programming and budgeting processes, decisions, etc.</p> <p>Estimated cost of implementation: n.a.</p>			
<p><b><u>UNESCO's budgetary methods, tools and processes</u></b>  <b>(195 EX/23 Part II and 195 EX/23.INF.2)</b>  <b>159. Recommendation No. 3:</b>  The External Auditor recommends that the respective responsibilities of the sectors' Assistant Directors General (ADG) and of BSP's Assistant Director-General (ADG/BSP) be clarified formally and, in particular, that budgeting decisions be formalized in traceable and relevant documents.</p>	<p><b>Recommendation implemented</b></p> <p>With regard to the first part of this recommendation, we should highlight that the respective responsibilities of each ADG are clearly and formally defined by their job descriptions. In addition, for the preparation of the Draft 38 C/5 (in November 2014), ADG/BSP issued an official memo to the ADGs and Directors describing in detail the programming and budgeting process for the preparation of the Draft 38 C/5. Therein, a section was dedicated to the "Coordination of the work-planning exercise – 5 Major Programme sectors" where the responsibilities of the sectors, directors and (backstopping) roles of BSP, BFM and HRM were clearly outlined (paragraphs 10-14).</p> <p>Furthermore, paragraphs 20-26 of this memo was also dedicated to explaining the "Arbitration/ validation" processes to be undertaken by each major programme. An IT tool was developed to receive the preliminary workplan proposals; record the decisions of the arbitration process undertaken by the sectors; and to assist in the consolidation and preparation of the sector submissions for the Draft C/5. In this regard, we consider that this recommendation has been fully implemented.</p> <p>Estimated cost of implementation: No costs.</p>		<p>The recommendation can be considered as implemented, given the significant improvements observed in the budgeting process in 2015. Improvements in the archiving and traceability of the jurisdictions of the arbitration decisions should nonetheless be pursued.</p>	<p><b>Recommendation implemented</b></p>

Recommendation	Progress report at 31.05.15 and implications/challenges	Estimated date for the implementation	Comments by the External Auditor	Updated Status (as at July 2016)
<p><b><u>UNESCO's budgetary methods, tools and processes</u></b> <b>(195 EX/23 Part II and 195 EX/23.INF.2)</b> <b>160. Recommendation No. 4:</b> The External Auditor recommends, with a view to results-based budgeting, that the sectors be authorized to submit draft results based budgets earlier in the process, outlining variable options for adapting budgets to strategic orientations and expected results validated by the governing bodies.</p>	<p><b>Recommendation implemented</b> As described for recommendations 2 and 3 above, preliminary workplans were prepared by the Sectors in November – December 2014 already for the purpose of the preparation of the Draft 38 C/5, instead of after the adoption of the C/5 document by the General Conference, which was the custom. Estimated cost of implementation: \$30,000</p>			<p><b>Recommendation implemented</b></p>
<p><b><u>UNESCO's budgetary methods, tools and processes</u></b> <b>(195 EX/23 Part II and 195 EX/23.INF.2)</b> <b>161. Recommendation No. 5:</b> The External Auditor recommends that the Organization adopt, formalize and regulate technical procedures for cost-trend evaluation on which quality control (compliance, reliability, documentation) can be performed).</p>	<p><b>Recommendation partly implemented</b> During the preparation of the Draft 38 C/5, considerable efforts were made to better document the various phases of evaluating cost trends and calculating technical estimates used for the budgeting process. For example:</p> <ul style="list-style-type: none"> <li>• Internal discussions and validation processes within BSP concerning the costing estimates were better documented;</li> <li>• Correspondences between BSP and HRM concerning estimates for staff cost increases were made in writing;</li> <li>• The processes for calculating inflation estimates for operational costs were documented to complement the existing documentation concerning the staff cost calculations;</li> <li>• In December 2014, ADG/BSP issued an internal email to the SMT members concerning the preliminary indicative budget envelopes approved by the DG. Therein, ADG/BSP described the approach taken in establishing</li> </ul>	<p>31/03/2017</p>	<p><b>Recommendation partly implemented</b> During the preparation of document 38 C/5 and in particular during the budget orientation debate, the External Auditor found further shortcomings in the formalization of cost evaluation techniques. Despite the very significant progress observed in late 2014 and early 2015, this recommendation is therefore considered only partly implemented.</p>	<p>Further improvement in formulating the technical procedure for cost trend evaluation has been made within the recosting exercise (i.e., estimate of ZRG requirement for document 39 C/5), through even more close discussion with relevant services, in particular with HRM, by detailed clarification of rules and procedures with regard to salary and allowance conditions (MBF contribution, new salary scales, spouse allowance, child allowance, within-grade step forecast, etc.). The methodologies taken have been examined by the services, documented and validated. But the full implementation of this recommendation can be</p>

Recommendation	Progress report at 31.05.15 and implications/challenges	Estimated date for the implementation	Comments by the External Auditor	Updated Status (as at July 2016)
	<p>the indicative budget envelopes and provided a more detailed step-by-step description of the method and the logic applied to each of the four scenarios.</p> <p>Estimated cost of implementation: No costs</p>			<p>aimed for at a later stage during the time the Draft 39 C/5 is prepared, i.e., in winter 2016-2017.</p>
<p><b><u>UNESCO's budgetary methods, tools and processes</u></b> <b>(195 EX/23 Part II and 195 EX/23.INF.2)</b> <b>162. Recommendation No. 6:</b> The External Auditor recommends that the Organization design tools for integrating its budget-preparation operations into the information management systems currently used for finance, human resources, projects and activities.</p>	<p><b>Recommendation partly implemented</b> Some progress has already been made in this regard with the development of the RBB IT tool used for preparing the preliminary workplans for the Draft 38 C/5. Nonetheless, additional developments are needed for the preparation of document 39 C/5, to better integrate HR and extrabudgetary elements, for example.</p> <p>Estimated cost of implementation: Costs to be yet determined</p>	<p>31/03/2017</p>	<p>The External Auditor takes note of these indications and will monitor their development.</p>	<p>Efforts on this recommendation to be made in the course of preparation of the Draft 39 C/5, especially in the area of staff establishment exercise wherein BSP, KMI and HRM are currently working together in order to set up a central and reliable working tool to facilitate and secure the whole process. At the same time, internal consultations are being held to simplify, modernize and improve the process of reviewing staffing structure and RAM.</p>
<p><b><u>UNESCO's budgetary methods, tools and processes</u></b> <b>(195 EX/23 Part II and 195 EX/23.INF.2)</b> <b>163. Recommendation No. 7:</b> The External Auditor recommends that the Organization systematically analyse the likelihood of assumptions and of the validity of estimation techniques and methods before using them in the budget process and that it document such analyses for the purposes of traceability and possible delivery to the</p>	<p><b>Recommendation partly implemented</b> This recommendation is to be implemented in the preparation of the preliminary proposals for document 39 C/5 in 2016.</p> <p>A re-examination of the assumptions used in the budget estimate and their sensitivity analysis has been made when building the Draft 38 C/5, but most of the assumptions stayed unchanged from those used for the preliminary proposals. The recommendation will be applied and implemented more usefully and in more substance when preparing the budget for document 39 C/5, by keeping record of various data to be used for the budget calculation.</p> <p>Estimated cost of implementation: No costs</p>	<p>31/08/2016</p>	<p>The External Auditor takes note of these indications and will monitor their development.</p>	<p>In order to be based on more reliable data and firmer and accurate assumptions for calculating the cost increases (for the purpose of estimating the ZRG requirement for the 39 C/5), a much more consultations and meetings have taken place between BSP and relevant services, especially with HRM. The sensitivity analysis has been conducted for various factors contributing to the cost increases, and the reasons for determining the assumptions have been documented.</p>

Recommendation	Progress report at 31.05.15 and implications/challenges	Estimated date for the implementation	Comments by the External Auditor	Updated Status (as at July 2016)
governing bodies of assurances as to the validity and credibility of budget estimates.				
<p><b><u>UNESCO's budgetary methods, tools and processes</u></b>  <b>(195 EX/23 Part II and 195 EX/23.INF.2)</b>  <b>164. Recommendation No. 8:</b>  The External Auditor recommends that the Organization revise the valuation techniques used for staff cost trends (salaries and adjustments) when drafting budget proposals and, in particular, that it use real data (actual or forecast) qualifying the structure of staff remuneration, that it document all work performed in order to ensure traceability, that it analyse beforehand the sensitivity of assumptions used and that it evaluate the validity thereof subsequently in the light of the execution of the resultant budget estimates.</p>	<p><b>Recommendation partly implemented</b>  This recommendation is to be implemented in the preparation of the preliminary proposals for document 39 C/5.  Progress has already been made in this regard during the preparation of document 38 C/5. However, similarly to Recommendation No. 7, this recommendation will be applied more significantly when preparing the budget for document 39 C/5. The data required for this purpose will be closely monitored and documented.</p>	31/08/2016	The External Auditor takes note of these indications and will monitor their development.	In many areas of the staff costs elements, analysis was made by using much more concrete and accurate data in order to forecast the cost increases, especially through very close cooperation with HRM. Much more methodological refinement has been introduced in determining the underlying assumptions, such as within-grade steps, allowances, MBF contribution, separation payment, etc. Determination of the assumptions was accompanied by various sensitivity analysis to ensure the accuracy of the calculation and to clarify the impact of each element.
<p><b><u>UNESCO's budgetary methods, tools and processes</u></b>  <b>(195 EX/23 Part II and 195 EX/23.INF.2)</b>  <b>165. Recommendation No. 9:</b>  The External Auditor recommends that the Organization (a) reconsider</p>	<p><b>Recommendation implemented</b>  In the Draft 38 C/5 and in accordance with the last point of this recommendation, the Secretariat discontinued the practice of including security costs in the standard costs. As explained in the Technical note on budgeting methodologies used in the Draft Programme and Budget for 20162017 (38 C/5) these security costs are now grouped under Part I-C- Participation in the Joint Machinery of the United Nations Systems.  With regard to the first part of this</p>			<b>Recommendation implemented</b>

Recommendation	Progress report at 31.05.15 and implications/challenges	Estimated date for the implementation	Comments by the External Auditor	Updated Status (as at July 2016)
<p>assumptions and methods used for trends in goods and services and exchange-rate fluctuations and (b) submit the outcome of its reflections and proposed changes in a specific report to the Executive Board during the next budget preparation round. He also recommends that recording of safety and security costs under standard costs selected for staff cost trends be discontinued.</p>	<p>recommendation, we should note that subsequent to the external auditor's report of 195 EX/23 Part II and 23.INF.2, two additional audits were conducted concerning the budgeting techniques used for preparing the Draft 38 C/5. During the latter of these audits, the external auditors concluded that the assumptions used to estimate cost increases for goods and services were documented and reasonable. One issue concerning the treatment of travel costs was highlighted, and the auditors encouraged the Secretariat to provide to Member State a copy of the internal note explaining the methodology used for the operational cost calculations to support the C/5 document.</p> <p>Furthermore, with respect to this recommendation and in accordance with 195 EX/Decision 13.5 the Secretariat proposes to revise the constant dollar rate to reflect the prevailing rate of exchange just prior to the adoption of the Draft 38 C/5.</p> <p>In this regard, and considering that:</p> <ul style="list-style-type: none"> <li>– the Secretariat agrees to integrate the external auditor's more recent comments when preparing future C/5 documents;</li> <li>– and the external auditor will have the opportunity to review the budgeting techniques for the next C/5 document,</li> </ul> <p>the Secretariat respectfully recommends that this recommendation be closed.</p> <p>Estimated cost of implementation: No costs</p>			
<p><b><u>UNESCO's budgetary methods, tools and processes</u></b> <b>(195 EX/23 Part II and 195 EX/23.INF.2)</b> <b>166. Recommendation No. 10:</b> The External Auditor recommends that the</p>	<p><b>Recommendation partly implemented</b> Progress has been made in this regard during the preparation of the Draft 38 C/5, which presented a more detailed explanation on this matter. This progress was acknowledged by the External Auditor. However, additional efforts are needed as outlined in the External Auditor's more recent report of March 2015 (196 EX/15.INF Rev). These efforts will be</p>	<p>31/03/2017</p>	<p>The External Auditor takes note of these indications and will monitor their development.</p>	<p>This item will become relevant at a later stage when the Draft 39 C/5 will be prepared, i.e., in winter 2016-2017.</p>



Recommendation	Progress report at 31.05.15 and implications/challenges	Estimated date for the implementation	Comments by the External Auditor	Updated Status (as at July 2016)
<p>Organization clarify the concept of mandatory expenses explicitly and that it mandate BSP to define a formalized method for estimating expenses and for checking, validating and documenting estimates produced by the sectors.</p>	<p>undertaken in the coming biennium. Estimated cost of implementation: No costs</p>			
<p><b><u>UNESCO's budgetary methods, tools and processes</u></b> <b>(195 EX/23 Part II and 195 X/23.INF.2)</b> <b>167. Recommendation No. 11:</b> The External Auditor recommends that the Organization produce experiential feedback on the process that led to the establishment of the \$507 million expenditure plan, that it draw the most significant lessons to be learnt therefrom and that it report thereon to the Executive Board at the nearest forthcoming session.</p>	<p><b>Recommendation partly implemented</b> The principle of the "priority ranking" exercise conducted by the Executive Board when establishing the 37 C/5 expenditure plan of \$507 million has been followed when preparing the Draft 38 C/5. Efforts will be made to continue taking this approach with certain improvement when preparing the next 39 C/5. Estimated cost of implementation: No costs</p>	31/03/2017	The External Auditor takes note of these indications and will monitor their development.	This will be pursued during the preparation of Draft 39 C/5. However, although the "priority ranking" of programme and definition of budget allocation based on such priority ranking will be always important and useful, the magnitude of its implication on document 39 C/5 would not be as large as the case for document 37 C/5 which was the subject of the Audit, when a budget reduction of some \$150M was required urgently. However, lessons learnt in terms of internal consultation and decision-making shall be applied.



United Nations  
Educational, Scientific and  
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# Executive Board

Two hundredth session

# 200 EX/13 Part III

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## PRELIMINARY PROPOSALS BY THE DIRECTOR-GENERAL CONCERNING THE DRAFT PROGRAMME AND BUDGET FOR 2018-2021 (39 C/5)

### PART III

#### STRUCTURED FINANCING DIALOGUE AND INTEGRATED BUDGET FRAMEWORK

##### SUMMARY

In accordance with 199 EX/Decision 5.II.F, the present document informs the Members of the Executive Board on the progress achieved in developing the integrated budget framework and on the future plans for implementing the structured financing dialogue.

In particular, it provides explanations on definitions of the resources underlying the envisaged integrated budget, proposed formats for budget presentation, the implications of the integrated budget, and the guiding principles for the development of structured financing dialogue.

Action expected of the Executive Board: proposed decision in paragraph 53.



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## I. BACKGROUND

1. The need for a “structured financing dialogue” (SFD) has arisen from the common concern among the United Nations organizations that the share of core contributions has declined in recent years, and from the recognition of the need for organizations to address, on a continuous basis, the imbalance between core and non-core resources. In response to this, the quadrennial comprehensive policy review (QCPR) requested “the executive boards of the funds and programmes and the governing bodies of the specialized agencies, as appropriate, to organize structured dialogues during 2014 on how to finance the development results agreed in the new strategic planning cycle of their respective entities, with a view to making non-core resources more predictable and less restricted/earmarked, broadening the donor base and improving the adequacy and predictability of resource flows” (67/226, para 46).

2. For UNESCO, the Executive Board at its 197th session decided to organize a structured dialogue on financing with Member States and relevant partners, with a view to monitoring and following up the predictability, flexibility, transparency and alignment of both regular programme and extrabudgetary resources, including information on resource requirements. In response to the Executive Board’s request, a document was subsequently provided which presented the rationale of a structured financing dialogue, and the key drivers for a success of such a dialogue (199 EX/5 Part II.F). It was stressed therein that one of the important prerequisites for the structured financing dialogue was the establishment of an “integrated budget framework” which would allow Member States to examine in a comprehensive manner the programme funded by all resources available to UNESCO.

3. The General Conference, at its 38th session, also requested the Director-General to include an annual structured financing dialogue in the roadmap for the preparation of document 39 C/5 and identified the discussion on appropriate financial instruments, including the special account modality, as a core part of the financing dialogues.

4. While the Executive Board requested the Director-General to present more concrete proposals on the structured financing dialogue and the integrated budget framework to its 201st session as part of Draft 39 C/5 (by taking into account the preceding discussions of the Executive Board and the informal consultation), and also to present proposals for the dates, modalities and a time line for the first inclusive structured financing dialogue process to its 202nd session, the Executive Board also requested to “develop, in consultation with Member States, and to present, exceptionally, at the latest six weeks before its 200th session:

- (a) *several short concrete templates from different Major Programmes with examples of how an Expected Result will be presented in a transitional integrated budget framework including the different sources of funding to be compared with templates based on the current C/5 document;*
- (b) *a preliminary overview with envisaged adjustments in preparation for the transitional integrated budget framework and the first financing dialogue that require the Executive Board’s consideration including: (i) review of definitions and criteria for regular and extra budgetary resources, (ii) review of distinctions of staff costs, support costs and administrative costs across regular and extrabudgetary resources, (iii) budgeting techniques, (iv) UNESCO’s financial rules and regulations and (v) reporting and administrative arrangements as well as (vi) preliminary options on draft guiding principles for the development of an integrated budget framework and the structured financing dialogue, making use of the experiences in other United Nations agencies, funds and programmes”. (199 EX/Decision 5.II.F).*

5. A consultation meeting with Member States was therefore held on 8 July 2016 to respond to the above request. The present document aims at presenting these matters in more detail and also at describing in a comprehensive manner the steps already taken for establishment of an

integrated budget framework and what the Secretariat envisages for the future towards the implementation of structured financing dialogues.

## II. INTEGRATED BUDGET FRAMEWORK

6. The structured financing dialogue aims at enabling Member States and donors, in the course of the programme implementation, to examine where the funding gap lies and where available resources can be used most strategically. The resource mobilization effort can thus be focused on any under-funded areas by monitoring evolving funding needs and resources mobilization performance. This exercise would also reveal whether there is any need to shift funds between programmes.

7. In order to ensure the usefulness of this structured financing dialogue, it is important that Member States are able to grasp constantly a full picture of the global resources available to UNESCO for programme implementation. Therefore, the prerequisite for the structured financing dialogue is to establish an integrated budget framework which encompasses not only the regular budget resources (assessed contribution) but also extrabudgetary resources. The 39 C/5 budget for 2018-2019 is thus envisaged to be prepared on the basis of an integrated budget framework.

### (i) Definition of resources to be included in the integrated budget

8. The current 38 C/5 budget focused on the Regular Budget, showing the programme and staff costs financed by the assessed contribution of Member States. For information purposes, it also showed projected extrabudgetary resources, which included:

- voluntary contributions earmarked for projects which were firmly committed at the time of 38 C/5 preparation, and which were to be implemented during 2016-2017
- costs of posts financed by FITOCA and by revenue-generating funds (Headquarters utilization funds, etc.).

9. The total amount of the Regular Budget (officially approved) was \$667 million, and the total projected extrabudgetary amount shown for information purposes in document 38 C/5 was \$392 million.

10. After examining all areas of funds existing in UNESCO, it was found that some were important as they were funding substantial part of UNESCO's activities, while others were not relevant to the core activities of UNESCO. The funds which are considered essential and which should be included in the future integrated budget framework are:

- **Assessed contributions** of Member States, the total amount of which shall be determined by Member States
- **Voluntary contributions:** this can be distinguished into earmarked and non-earmarked voluntary contributions. Today most of the voluntary contributions are earmarked, i.e., their purposes are clearly specified by donors, while very few are non-earmarked. Voluntary contributions which are firmly committed at the time of C/5 preparation will be included in the integrated budget.
- **FITOCA** resources (Special account for programme support cost levied on extrabudgetary projects, i.e., indirect costs recovered from voluntary contributions), which will be generated and utilized during the subject biennium
- Certain **revenue-generating funds:** Revenue-generating funds are funded either by external entities (permanent delegations, other organizations, staff members, etc.) or by

internal funds (costs charged to Sectors'/Bureaus' budget). Many of them are not contributing directly to the implementation of UNESCO's programme, but some are funding important part of UNESCO's activities. Those revenue-generating funds which are funding important part of UNESCO's activities are the following:

- Headquarter Utilization Fund (HQF)
- Public information, liaison and relations fund (PILRF)
- Publications, auditory and visual material fund
- Special accounts for interpretation services (SAI)
- Special accounts for documents (SAD)

Basic information on these revenue-generating funds has usually been shown in the C/5 document (e.g. Annex VII to 38 C/5 Approved). The estimated amounts to be utilized during the subject biennium under these funds will be included in the integrated budget.

- **Funding Gap:** After defining the total resource requirement for each expected result through the results-based budgeting (RBB) process, any shortage in the available funds compared with the total requirement will be defined as "Gap". This gap will be included in the integrated budget, and will be one of the main subjects of discussion in the structured financing dialogue during the course of the programme implementation in order to fill it by fundraising.

11. Some of the revenue-generating funds, although they may bear large amounts, are not considered part of UNESCO's core activities. Examples of these non-relevant funds are:

- Funds under UNESCO staff savings and loan services (USLS)
- Special account for ASHI provision (After service health insurance)
- UNESCO restaurant and commissary funds, etc.

and these will be excluded from the integrated budget framework.

12. Based on the above resources defined as components of the integrated budget framework, the future biennial budget would show the operational and staff costs under all these funds. In particular, the definition of **staff costs** has been reviewed. It is proposed that staff costs represent the costs of established posts financed by:

- Assessed contribution,
- FITOCA (Special account for programme support cost levied on extrabudgetary projects), and
- Revenue-generating funds (which are mentioned above).

Information on all these established posts have been already shown in the C/5 documents (e.g.: Annex II of 38 C/5 Approved) but not necessarily in a clear comprehensive manner, as the C/5 intended to focus on the regular budget (assessed contributions). The future integrated budget will show all these posts in an equal manner, with details of categories and grades under each sector/bureau.

13. It is to be noted that project appointment (PA) positions, which started to be created under voluntary contributions in 2012 to replace the ALDs (appointments on limited durations), are envisaged not to be categorized as staff costs i.e., costs of established posts. The reasons for this are the following:

- The nature of PA posts is rather temporary as compared with the established posts financed by assessed contribution, FITOCA and revenue generating funds.
- Provision for most of the PA posts is approved by individual donors under earmarked voluntary contributions. It can be difficult to forecast the details of PA posts at the time of C/5 preparation, which is one year before the biennium starts.

However, this approach may be re-examined for the future C/5 budget (beyond 40 C/5) if Member States consider, after experiencing series of structured financing dialogues, that PA posts should also be included in the staff cost category. It should also be noted that, even if PA posts are not shown under the staff cost category, their costs are always fully included under the voluntary contribution resources.

14. The transition to the integrated budget framework also necessitated a review of the **cost classification** with a view to applying more meaningful criteria which can be compatible across the different kinds of funds and also comparable with that used in other United Nations organizations. This review has been conducted as part of the cost recovery policy review, and it is proposed that in the future the following three main cost categories be used; programme delivery costs, management costs, and special purpose costs. The detailed explanation on the new cost classification proposed can be referred to document 200 EX/5 Part III E Section 2 “Review of UNESCO cost recovery policy” which is submitted to the Executive Board at this same session.

#### **(ii) Presentation of the integrated budget – overall budget**

15. Although the 38 C/5 Approved budget was not based on an integrated budget, i.e., it focused on regular budget, the Secretariat has recently conducted a simulation in order to come up with an integrated 38 C/5 budget based on the resource definition explained above. The exercise revealed certain issues which need to be addressed and solved in order to be able to prepare the Draft 39 C/5 budget in a fully integrated manner. These issues include the following:

- Need for an equal approach for presenting **voluntary contributions raised by the category 1 institutes**: In the past including the 38 C/5, voluntary contributions to be raised by the category 1 institutes under the Education Sector and by UNESCO Institute for Statistics (UIS) have not been shown in the C/5, whereas those raised by the category 1 institutes under the Natural Science Sector (IHE and ICTP) were presented. In the future integrated budget, voluntary contributions anticipated to be raised by all category 1 institutes need to be estimated and presented in the C/5 document.
- Need for estimating a reasonable “**Gap**”: Estimating the funding gap beyond the level of available resources is one of the new and revolutionary aspects of the integrated budget framework and the structured financing dialogue. The amount of the gap needs to be realistic. When preparing the Draft 39 C/5, the gap will need to be estimated by each sector/bureau by taking into account the total resource requirements established through the RBB process, voluntary contributions likely to be received during the biennium, and the past trends of the sector's fund raising performance, etc. The ADGs and Directors of sectors/bureaux will be accountable for fundraising and for filling the gap.

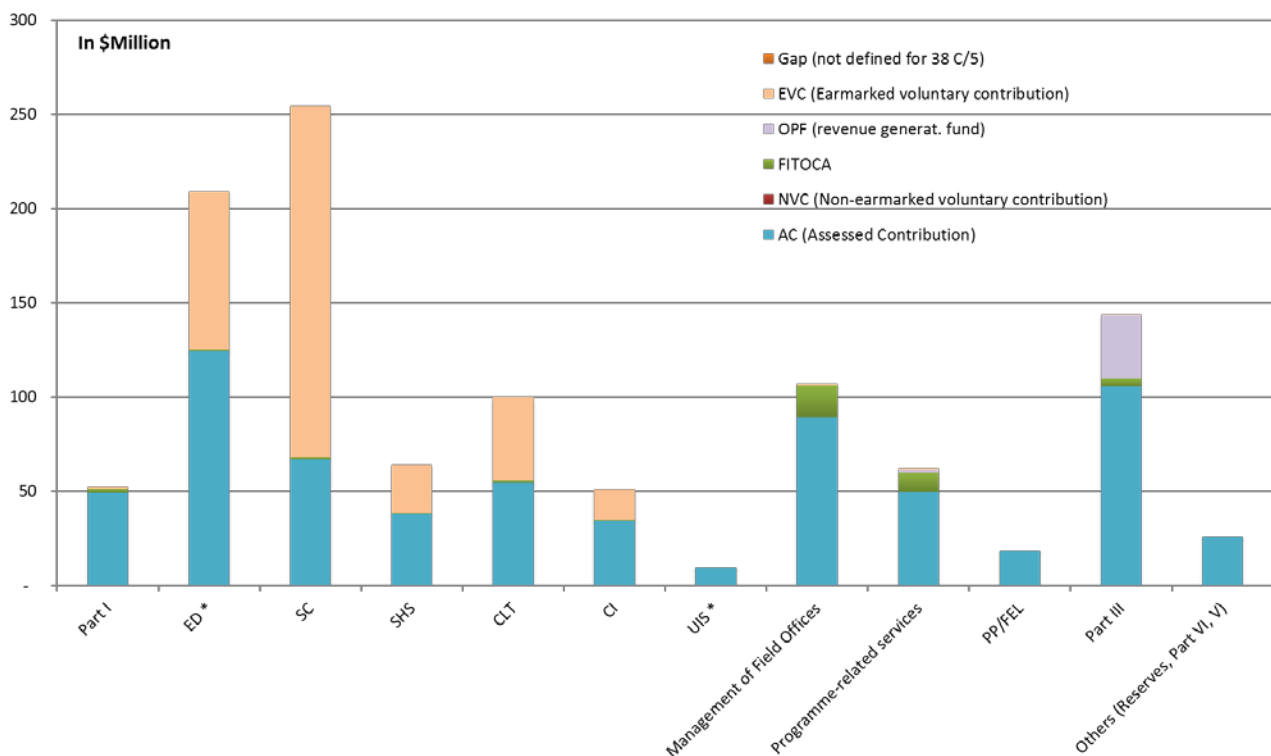
16. After the simulation exercise of constructing a 38 C/5 integrated budget, it also became clear what formats would be most appropriate for budget presentation in the future. The Secretariat considers that the Organization's global integrated budget can be presented basically in two formats as shown in **Annexes I and II**. (The figures in these tables are tentative figures based on

the integrated budget simulation of document 38 C/5 Approved. The columns which show the different sources of funds are to be noted. The rows corresponding to sectors/bureaux can be shown at any lower levels such as expected results.) The final formats which will be presented in the Draft 39 C/5 may be further refined in order to distinguish, if necessary, any particular type of funds (e.g.: self-benefitting funds) if such a distinction is considered to be useful in the subsequent structured financing dialogue.

17. It is to be noted that, in the past as well as in document 38 C/5, the tables showing the global budget of UNESCO used to presented only three columns, i.e., regular budget operational costs, regular budget staff costs and indicative extrabudgetary resources. The new formats aim at adding information on the funding sources. The two formats shown in **Annexes I and II** are complementary to each other, thus the overall integrated budget of UNESCO in document 39 C/5 will be shown in both formats. And in addition to these two formats, the C/5 document will provide other usual tables showing details on the established posts for each sector/bureau, decentralization status, etc.

18. When showing the overall integrated budget of the Organization, it should be also noted that certain offsetting adjustments need to be shown at the global level (at the bottom of the tables) in order to avoid double counting of funds for FITOCA and OPF (revenue-generating funds).

19. Also, it will be useful if the overall integrated budget is shown in graphs by sector/bureau as it will enable an immediate grasp of the budgetary weight of each sector/bureau and the composition of funding sources within each sector/bureau. For example, the integrated budget picture constructed on the basis of the current 38 C/5 can be presented in the following chart. A similar chart can be shown in document 39 C/5 and at each session of structured financing dialogue. (It is to be noted that in this chart, the “gap” is not included as it was not defined in document 38 C/5, and that the voluntary contributions to be received by the Education sector’s institutes and by UIS are not included, either. However, these will be defined in the next document 39 C/5.)





**(iii) Presentation of the integrated budget – Programme sectors' budget**

20. For the major programme sectors, the budget in the past used to show simply three columns, i.e. regular budget operational costs, regular budget staff costs and indicative extrabudgetary resources for each expected result. Under the integrated budget, it is intended that the sectors' budget show also a breakdown by source of funds for each expected result. By taking the example of Education Sector simulated on the basis of the 38 C/5 Approved budget, the proposed format is as presented in **Annex III**.

21. The proposed format shows under each expected result, on the one hand a breakdown into operational and staff budget and on the other hand a breakdown into different funding sources including the gap. This format is expected to help Member States in conducting the structured financing dialogue during the course of the programme implementation, wherein the main discussion will be held around the needs for additional fundraising, solution for gap filling, needs for budget allocation adjustment, etc. In addition to this kind of table, the C/5 document would also continue to provide information on regional distribution of budget, etc., for each programme sector.

**(iv) Appropriation Table and principles for budget adjustments under the integrated budget**

22. Under the integrated budget framework, it is essential that the Appropriation Resolution encompasses not only the assessed contributions (regular budget) but also the extrabudgetary resources included in the integrated budget. It is envisaged that the budget ceiling for each appropriation line represents the total of all sources of funds including the "gap".

23. Based on this, a proposal for the Appropriation Table to be adopted by Member States is as follows:

- For each appropriation line, the table will state its ceiling amount which is the total amount of all funding sources for that appropriation line,
- The grand total amount of the Appropriation Table will thus correspond to the global budget estimated to be available to the Organization for the biennium, including all sources of funds.
- However, the table will also state how much of this total budget is funded by Member States' assessed contribution. Member States will therefore be able to clearly adopt the ceiling of their assessed contribution.
- The Appropriation Table will not show how the ceiling amount for each appropriation line is broken down into different sources of funds.
- If Member States wish, certain specific amounts could be stated in the Appropriation Table, for example, specific amounts for IOC, WHC, etc.

24. Also, under the integrated budget framework whereby UNESCO is expected to make stronger and collaborative efforts in fundraising and in achieving optimal and strategic funds allocation, a mechanism for less restrictive budget adjustments are considered desirable. Whereas the appropriation line under document 38 C/5 corresponded to Main Lines of Action, the Director-General would like to have in the 39 C/5 integrated budget the appropriation line corresponding to the level of major programmes, accompanied by certain concrete conditions for budget adjustments across or within the appropriation lines.

25. During the biennium, the Director-General will report to the Executive Board on the execution of the integrated budget, especially as to how the gaps are being filled by additional voluntary contributions. In principle, as long as all the gaps are remaining unfilled, there would be no need to

adjust the ceiling amounts (except for reasons of usual comparative transfers such as transfers of posts and transfers from anticipated cost increase provision, etc.). However, if the gap of a sector/bureau becomes filled and overfunded, thus if the total funds available for that sector/bureau exceeds its ceiling amount, the Secretariat considers that the Director-General needs to be given the possibility to propose:

- either to increase the ceiling amount of that sector/bureau in order to implement more programme than initially adopted by the General Conference under that sector/bureau, or
- to maintain the ceiling amount of that sector/bureau, and transfer its excess funds to other sectors/bureau which are in high need for additional funds. (In this case the funds that will be transferred will be the “flexible” funds, which is the assessed contributions initially allocated to that sector/bureau.)

In the case that the proposals fall under the first category (i.e., proposal to increase a ceiling), the Executive Board would examine the proposals and make decisions thereon.

26. In the same spirit, it is also proposed that, under the integrated budget framework, the assessed contributions and non-earmarked voluntary contributions foreseen under each appropriation line be released gradually in several steps, instead of being fully allotted at the beginning of the biennium. This is to enable these “flexible funding sources” to fill in the most pressing funding gaps in response to the actual evolution of fundraising.

27. At this stage, the above are the major principles that are desired to be reflected in the Appropriation Resolution for document 39 C/5. If these principles are agreed upon by Member States, and based on the Executive Board’s discussion on this matter, the Secretariat will prepare the Draft 39 C/5 Appropriation Resolution to be submitted to the Executive Board at its 201st session, for a careful examination by Member States.

28. With regard to the financial rules and regulations which deal with detailed and daily financial transactions, need for major changes is not foreseen at this stage in relation to the transition to the integrated budget. However, once the 39 C/5 Appropriation Resolution is clearly established, they will be reviewed again in detail, and any proposal for changes will be submitted to the Executive Board in due course.

#### **(v) Budgeting techniques which may require changes**

29. The transition to the integrated budget framework would require budgeting and monitoring methodologies which are consistent and harmonized between the different sources of funds. Some budgeting techniques traditionally approved by the General Conference have been applicable only to the regular budget, thus certain of them may need to be reviewed. At this stage, there are two aspects which the Secretariat wishes to bring to the attention of Member States:

##### **(a) Constant dollar mechanism**

30. The majority of UNESCO’s activities and staff costs are incurred in euro. In order to present the regular budget of UNESCO in US dollar, the estimate for these euro costs are converted into US dollar through a fixed exchange rate, i.e., constant dollar rate adopted by Member States for each biennium. For the purpose of budget monitoring, the expenditures incurred in euro are reported to Member States also by converting them into US dollar through this same constant dollar rate. This has enabled the Organization to manage the budget execution without having to worry about the exchange gains or loss during the course of the biennium. It should be noted also that the constant dollar mechanism is applied only to the regular budget. With regard to 38 C/5, use of the constant dollar mechanism was approved as one of the budgeting techniques, and briefly explained in Draft 38 C/5 Addendum 1, paragraph T0011 (i). A more detailed explanation on

the constant dollar mechanism itself can be found in documents 187EX6 Part XI and 197 EX/17 Add.

31. Most recently, as recorded in 38 C/6 Add Part II related to the preparation of the 38 C/5, the Executive Board recommended to the General Conference to maintain the constant dollar mechanism, but to request the Director-General to prepare the 39 C/5 by using the United Nations operational exchange rate prevailing at the time of preparation of that document, thereby ensuring the closest possible alignment of the constant dollar rate to the actual rate.

32. However, now in light of the integrated budget framework and the methodological consistency between regular budget and extrabudgetary funds, the Secretariat will review carefully the rationale of the constant dollar mechanism itself, and provide Member States with concrete proposals or options at the time the Draft 39 C/5 is submitted to the Executive Board at its 201st session.

### **(b) Provision for Anticipated Cost Increases**

33. Activities and staff requirements under the regular budget are costed on the basis of the price level foreseen as at the beginning of the biennium. The budget amount under each sector/bureau thus does not take into account the statutory and inflation increases that may arise in the course of the biennium. Such cost increases are to be covered by the provision for Anticipated Cost Increases (Part V of the Budget in the case of document 38 C/5), subject to a prior approval of the Executive Board. With regard to 38 C/5, the methodology of anticipated cost increases was approved as one of the budgeting techniques, and was briefly explained in Draft 38 C/5 Addendum 1, paragraph T0011 (ii). But a more thorough explanation on this mechanism can be found in document 34 C/5 Volume 2, 2nd version, Section 2, para. T009-T020.

34. Financing the cost increases through a separate provision for anticipated cost increases is a mechanism applied only to the regular budget. Projects under extrabudgetary funds are budgeted on the basis of the total costs estimated for the whole period, which means that the anticipated cost increase are already included in the initial cost estimate, or that any cost increase is to be covered by subsequent arrangement with the donors. This means that different approaches of handling the cost increases are currently in place between regular budget and extrabudgetary funds, thus it may be necessary to re-examine what uniform method would be best to deal with cost increases for all areas of funds. For this matter, too, the Secretariat will review it carefully, and submit concrete proposals or options within the Draft 39 C/5 at the 201st session of the Executive Board.

## **III. STRUCTURED FINANCING DIALOGUE**

35. As mentioned already, the structured financing dialogue (SFD) aims at ensuring sufficient resources for the Organization under a shared responsibility of the Secretariat and Member States through continued discussions and efforts for fundraising. The main “dialogues” will begin after the biennial budget is adopted by the General Conference and will be continued during the biennium. Member States would be able to monitor the resource mobilization status during the course of a biennium and to discuss how the funding of programmes can be ensured in an optimal manner.

### **(i) Guiding principles for the development of the structured financing dialogues**

36. The structured financing dialogues rest on a number of key principles, which are:

- **Alignment:** ensuring that resources flow to Organization-wide priorities;
- **Flexibility:** being able to mobilise and manage resources flexibly so as to ensure all key areas of the programme are financed, not just those that are appealing to donors;

- **Predictability:** encouraging donors and partners to make multi-annual commitment to facilitate planning, and a clearer identification of funding gaps;
- **Broadening the donor base** to reduce dependency on a few key donors;
- **Transparency:** giving the full picture of how the programme is resourced and delivered and where funding gaps lie. Trust is key to resourcing the programme. Hence, the financing dialogue places emphasis on transparency, the achievement of results, and progress on wider reform issues.

In the UNESCO's context, these SFD principles can be described more in detail as follows:

### **Alignment**

37. Under an integrated budget framework instead of presenting a breakdown of assessed contributions for each expected result, an overall target will be presented which includes assessed contributions, firmly committed voluntary contributions and the "funding gap". To avoid an aspirational target, the funding gap needs to be defined very carefully based on an RBB approach. It corresponds to the needs that UNESCO can realistically address taking into account, but not limited to, funding opportunities already identified. The alignment of funding with targets will be monitored on a constant basis and assessed at the end of each biennium. UNESCO has already garnered experience in target setting for previous biennia under the "Complementary Additional Programme" and RBB work plans.

### **Flexibility**

38. Flexibility refers to the deployment of flexible funds. In the context of the integrated budget framework for UNESCO there are two main sources of flexible funds: (a) assessed contribution which would be fully flexible and deployed at the discretion of the Director-General, (b) lightly earmarked voluntary contributions under special accounts where funds can be moved between expected results within a major programme.

39. Flexibility is very important as part of a coordinated effort to fill the funding gap because the mobilization of earmarked extrabudgetary funds may exceed, or fall below expectations and fully flexible regular programme funds would need to be deployed to fill gaps in the light of resource mobilization performance over time. It will be very difficult to achieve "alignment" unless it is accompanied by "flexibility".

40. Going forward, the two main types of flexible funds could be supplemented by core voluntary contributions (non-earmarked voluntary contributions) for which a new facility would need to be established.

41. Initiatives to strengthen the special accounts modality as UNESCO's principle vehicle for the mobilization of lightly earmarked resources, as well as a description of the new UNESCO Multi-Partner Trust Fund' model, are described in the document "Financial Regulations of Special Accounts" (Ref 200 EX/19).

### **Predictability**

42. UNESCO will encourage its donors to make multi-annual commitment to reduce vulnerability and facilitate forward planning. UNESCO already enjoys strong multiannual agreements with a number of donors and partners including China, the EU, the UN/MDTFs, Finland, Italy, Malaysia, Norway, Republic of Korea (ROK), Sweden, Switzerland and the United Kingdom. In other cases, like the cooperation under thematic trust funds with Japan, projects are planned and approved on an indicative multi-annual basis even though annual allocations are only firmly committed on a yearly basis after Parliamentary approval. The establishment of framework funds-in-trust

agreements like those UNESCO holds with Azerbaijan, Flanders (Belgium), Japan, Kuwait, Spain, Republic of Korea and Saudi Arabia with joint planning and review mechanism, also contribute very positively to a higher level of predictability and of strategic engagement.

43. Means and ways also need to be identified of gathering information more systematically on projected funding. This information would partly come through the RBB workplan exercise, and partly from exploratory discussions with donors. Lessons can be learned from the WHO experience in this regard, where intensive bilateral discussions with donors organized several months before the approval of the Programme and Budget and ensuing SFD, proved very useful in generating projections of funding that helped clarify the exact nature of the funding gap.

### **Broadening the donor base**

44. UNESCO is heavily reliant on a limited number of core donors which creates a situation of fragility. In 2015, UNESCO's top 25 donors accounted for 81.7% of voluntary contributions. Efforts to diversify UNESCO's donor base need to be embedded in resource mobilization efforts. The main opportunities for broadening UNESCO's donor base lie with emerging donors, middle-income countries, the ever stronger cooperation with the European Union, and sub-national public partners and private partners. Further information is given in the draft resource mobilization strategy for 2016-2017 (Ref. 197 EX/5 Part IV Add.) and "Implementation of the action plan for improved management of extrabudgetary funds (200 EX/5 Part III E).

### **Transparency**

45. As indicated in the report 'Implementation of the action plan for improved management of extrabudgetary funds, (200 EX/5 Part III E), clearer and more comprehensive information on resource flows will be important for all actors in the SFD process. It will keep Member States informed of financial flows to the overall programme and it will allow donors and partners to see where the funding gap lies and where available resources can be used most strategically. Once there is a clear assessment of performance against resource mobilization targets, it will help the Secretariat monitor evolving funding needs and resource mobilization performance and focus the resource mobilization effort on under-funded areas. In addition, an assessment can be made as to whether there is any need to shift regular programme funds, and any other flexible funds between programmes, sectors/bureau to address the funding gap in a consistent way across the board.

46. UNESCO's Transparency Portal<sup>1</sup> will be a key tool to help monitor and follow up the adequacy, predictability, flexibility, transparency and alignment of both regular programme and extrabudgetary resources, including information on resource requirements through the provision of user friendly and regularly updated information on resource flows. Work to improve the Transparency Portal notably to better meet the requirements of the SFD approach was launched in July 2016 with financial support from Sweden.

47. In addition to the Transparency Portal as main tool for the SFD, Member States will continue to be provided with the Programme Implementation Report (PIR) and the Management Charts.

### **(ii) Modalities and timeline for the structured financing dialogue**

48. The first Structured Financing Dialogue on document 39 C/5 will take place after the approval of document 39 C/5 in November 2017. It could, for example, be organized back to back with a special session of the Executive Board immediately after the General Conference. It will be open to Member States and existing and potential non Member State donors. It will concern document 39 C/5 as a whole and may be followed by more focused SFD type consultations at major programme level or with a thematic focus (in the context of SDGs for example). It will complement and not replace bilateral consultations with donors.

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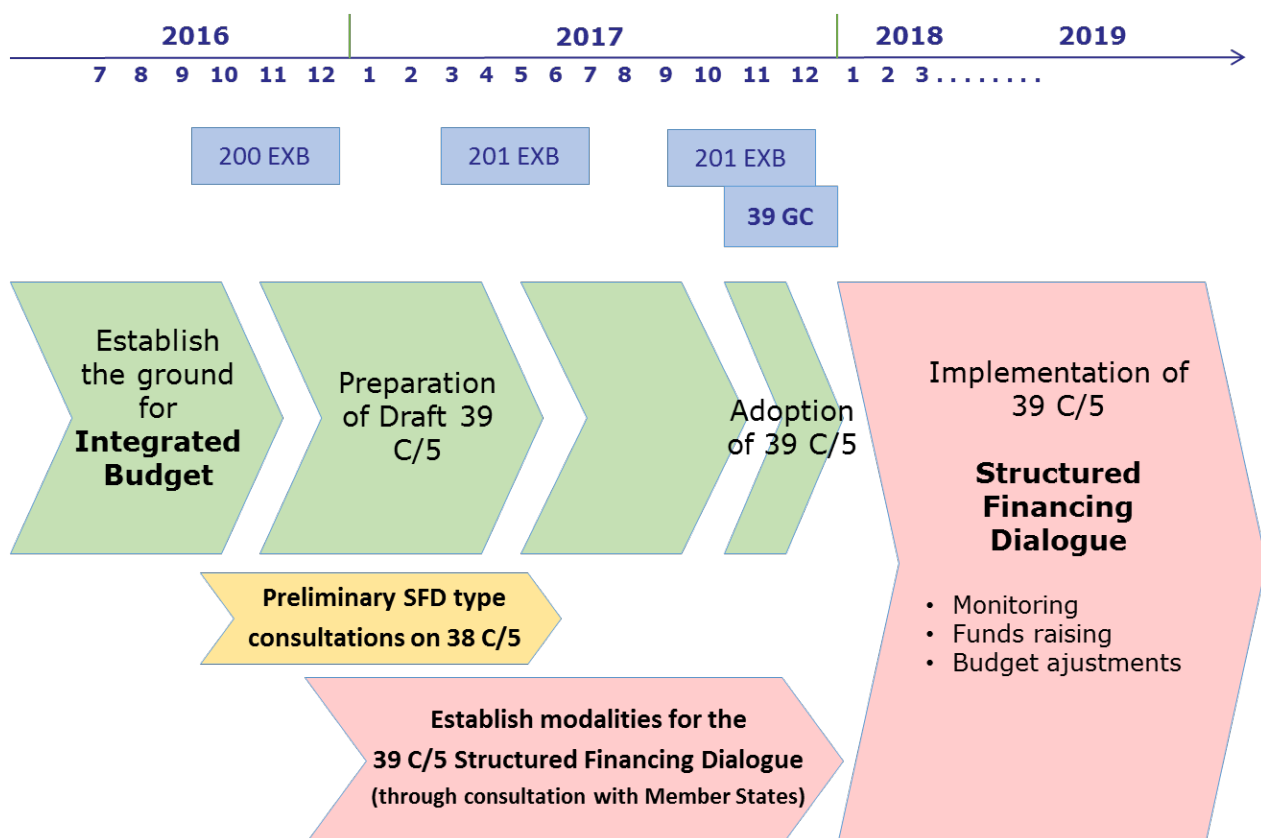
<sup>1</sup> <http://opendata.unesco.org/>

49. The purpose of the SFD will be to build an understanding of what is required to achieve full funding of document 39 C/5 and a shared commitment among the Secretariat, Member States and donors and partners to achieving that end.

50. Following the format of similar meetings organized by UNICEF and WHO, it could articulate how document 39 C/5 will contribute to the SDG's and 2030 agenda, and situate the resource mobilization effort vis-à-vis each of the SFD principles. It will provide a transparent forum for dialogue with and between donors. It will generate information on funding projections and facilitate decision making by donors on strategic and catalytic investments, but it will not be a pledging conference. It will be followed up with a consistent resource mobilization effort at Headquarters and field level focused on the funding gaps.

51. In the meantime, in the spirit of “mutual learning” captured by the decision on the report “Structured Financing dialogue” (199 Ex/Decision 5.11.F), preliminary SFD-type consultations can be held with Member States related to the current biennium 38 C/5. These meetings will explore how the SFD principles (alignment, predictability, flexible funding, donor diversification, transparency on resource flows) can be integrated in the resource mobilization strategy of each programme sector. Lessons learned will be channeled into preparations for the SFD on document 39 C/5.

52. In light of the above, the overall timeline for implementing the structured financing dialogue and the preceding development of the integrated budget framework can be shown as follows:



### Proposed decision

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

The Executive Board,

1. Having examined document 200 EX/13 Part III,

2. Recognizing the advantages of the structured financing dialogue in ensuring sustainable and comprehensive funding of programmes, and the importance of the integrated budget framework as a prerequisite,
3. Welcomes the efforts made by the Director-General in the transition to the integrated budget framework and in the preparation for the structured financing dialogue;
4. Takes note of the methodologies and resource definitions used in the simulation exercise of creating an integrated budget based on the 38 C/5, and the proposed formats of integrated budget presentation;
5. Takes note also of the possible need to review some budgeting techniques, notably the constant dollar mechanism and the provision for anticipated cost increases;
6. Requests the Director-General to prepare the Draft 39 C/5 in an integrated budget framework, on the basis of the same methodologies and the resource definitions, by taking into consideration the discussion of the Executive Board on these matters, together with any further improvement that could contribute to a better budget construction and presentation and a successful structured financing dialogue;
7. Encourages the continuation of informal consultations between the Secretariat and Member States towards further clarification of the modalities for the structured financing dialogue.

**ANNEX I**

**PROPOSED PRESENTATION FOR THE INTEGRATED OVERALL BUDGET (1)**

PART		Assessed Contribution, Non-earmarked contribution, FITOCA and Revenue generating funds										Total	Earmarked Voluntary Contribution	Gap *	Grand Total
		Operational budget					Staff budget								
		Assessed Contributions (AC)	Non-earmarked Voluntary contributions (NVC)	Support Cost Income (FITOCA)***	Revenue generating funds (OPF)	Operational Budget Total	Assessed Contributions (AC)	Non-earmarked Voluntary contributions (NVC)	Support Cost Income (FITOCA)***	Revenue generating Funds (OPF)	Staff Budget Total				
\$K	\$K	\$K	\$K	\$K	\$K	\$K	\$K	\$K	\$K	\$K	\$K	\$K	\$K		
<b>PART I - GENERAL POLICY AND DIRECTION</b>															
A.	Governing bodies	8,412	-	-	-	8,412	2,101	-	-	-	2,101	10,512	-	-	10,512
B.	Direction	3,953	-	-	-	3,953	16,296	-	2,254	-	18,550	22,503	727	-	23,230
C.	UN Joint Machinery	18,674	-	-	-	18,674	-	-	-	-	-	18,674	-	-	18,674
<b>TOTAL, PART I</b>		<b>31,039</b>	<b>-</b>	<b>-</b>	<b>-</b>	<b>31,039</b>	<b>18,397</b>	<b>-</b>	<b>2,254</b>	<b>-</b>	<b>20,651</b>	<b>51,689</b>	<b>727</b>	<b>-</b>	<b>52,416</b>
<b>PART II - PROGRAMMES AND PROGRAMME-RELATED SERVICES</b>															
A.	Programmes														
I	EDUCATION	73,052	-	-	-	73,052	51,386	-	775	-	52,161	125,213	83,799	-	209,012
II	NATURAL SCIENCES	26,297	-	-	-	26,297	41,054	-	729	-	41,782	68,079	186,657	-	254,735
III	SOCIAL AND HUMAN SCIENCES	15,197	-	-	-	15,197	22,926	-	357	-	23,283	38,480	25,805	-	64,285
IV	CULTURE	20,494	-	-	-	20,494	33,945	-	1,512	-	35,458	55,952	43,897	-	99,848
V	COMMUNICATION AND INFORMATION	15,706	-	-	-	15,706	18,667	-	438	-	19,104	34,810	16,275	-	51,085
	UNESCO Institute for Statistics	9,649	-	-	-	9,649	-	-	-	-	-	9,649	-	-	9,649
	Management of Field Offices and supplementary funding for Field Network Reform	27,391	-	16,489	-	43,880	62,054	-	172	-	62,226	106,106	1,225	-	107,330
B.	Programme-related services	14,404	-	-	998	15,402	35,219	-	10,199	181	45,599	61,001	1,065	-	62,066
C.	Participation Programme and Fellowships	16,843	-	-	-	16,843	1,563	-	-	-	1,563	18,406	-	-	18,406
<b>TOTAL, PART II</b>		<b>219,032</b>	<b>-</b>	<b>16,489</b>	<b>998</b>	<b>236,519</b>	<b>266,813</b>	<b>-</b>	<b>14,182</b>	<b>181</b>	<b>281,176</b>	<b>517,694</b>	<b>358,721</b>	<b>-</b>	<b>876,416</b>
<b>PART III - CORPORATE SERVICES</b>															
A.	Human resources management	19,560	-	29	-	19,588	13,861	-	530	-	14,391	33,979	-	-	33,979
B.	Financial management	1,003	-	388	-	1,391	13,435	-	3,424	716	17,575	18,967	-	-	18,967
C.	Management of support services	12,996	-	-	22,059	35,056	33,171	-	-	9,812	42,983	78,039	646	-	78,685
D.	Management of information systems and	2,305	-	-	-	2,305	9,283	-	-	819	10,102	12,406	-	-	12,406
<b>TOTAL, PART III</b>		<b>35,864</b>	<b>-</b>	<b>417</b>	<b>22,059</b>	<b>58,340</b>	<b>69,749</b>	<b>-</b>	<b>3,955</b>	<b>11,347</b>	<b>85,051</b>	<b>143,391</b>	<b>646</b>	<b>-</b>	<b>144,037</b>
<b>TOTAL, PARTS I - III</b>		<b>285,934</b>	<b>-</b>	<b>16,906</b>	<b>23,057</b>	<b>325,898</b>	<b>354,958</b>	<b>-</b>	<b>20,391</b>	<b>11,528</b>	<b>386,877</b>	<b>712,775</b>	<b>360,094</b>	<b>-</b>	<b>1,072,869</b>
	Reserve for Staffing Adjustments (post classification)	-	-	-	-	-	3,000	-	-	-	3,000	3,000	-	-	3,000
	Reserve for the After Service Health Insurance long-	-	-	-	-	-	3,748	-	-	-	3,748	3,748	-	-	3,748
<b>PART IV - LOAN REPAYMENTS FOR THE</b>		<b>14,082</b>	<b>-</b>	<b>-</b>	<b>-</b>	<b>14,082</b>	<b>-</b>	<b>-</b>	<b>-</b>	<b>-</b>	<b>-</b>	<b>14,082</b>	<b>-</b>	<b>-</b>	<b>14,082</b>
<b>PART V - ANTICIPATED COST INCREASES</b>		<b>-</b>	<b>-</b>	<b>-</b>	<b>-</b>	<b>-</b>	<b>5,277</b>	<b>-</b>	<b>-</b>	<b>-</b>	<b>5,277</b>	<b>5,277</b>	<b>-</b>	<b>-</b>	<b>5,277</b>
<b>Total Parts I-V before adjustments for FITOCA and OPF</b>		<b>300,017</b>	<b>-</b>	<b>16,906</b>	<b>23,057</b>	<b>339,980</b>	<b>366,983</b>	<b>-</b>	<b>20,391</b>	<b>11,528</b>	<b>398,902</b>	<b>738,882</b>	<b>360,094</b>	<b>-</b>	<b>1,098,976</b>
												Recovery of support costs from voluntary contribution for FITOCA	(37,297)		
												Internal chargeback of direct costs for OPF	(10,828)		
												<b>TOTAL after adjustments for FITOCA and OPF</b>	<b>1,050,852</b>		

te: \* The column "Gap" is kept blank in this 38 C/5 simulation table. It will be elaborated when preparing the 39 C/5.

\*\* Projection of voluntary contributions raised and implemented by ED Institutes and UIS are not included. However, it is intended to be included in the 39 C/5.

\*\*\* The amounts for FITOCA are based on the forecast as at the time of preparation of the 38 C/5.



## ANNEX II

## PROPOSED PRESENTATION FOR THE INTEGRATED OVERALL BUDGET (2)

in \$ thousand									
PART	Breakdown by operational and staff			Breakdown by source of funds					
	Operational budget	Staff budget	Total	Assessed Contribution (AC)	FTTOCA	Revenue generating fund (OPF)	Earmarked Voluntary Contribution (EVC)	Gap*	Total
	SK	SK	SK	SK	SK	SK	SK	SK	SK
<b>PART I - GENERAL POLICY AND DIRECTION</b>									
A. Governing bodies	8,412	2,101	10,512	10,512	-	-	-	-	10,512
B. Direction	4,680	18,550	23,230	20,249	2,254	-	727	-	23,230
C. Participation in the Joint Machinery of the United Nations System	18,674	-	18,674	18,674	-	-	-	-	18,674
<b>TOTAL, PART I</b>	<b>31,766</b>	<b>20,651</b>	<b>52,416</b>	<b>49,435</b>	<b>2,254</b>	<b>-</b>	<b>727</b>	<b>-</b>	<b>52,416</b>
<b>PART II - PROGRAMMES AND PROGRAMME-RELATED SERVICES</b>									
<b>A. Programmes</b>									
I EDUCATION	156,851	52,161	209,012	124,438	775	-	83,799	-	209,012
II NATURAL SCIENCES	212,953	41,782	254,735	67,350	729	-	186,657	-	254,735
III SOCIAL AND HUMAN SCIENCES	41,002	23,283	64,285	38,123	357	-	25,805	-	64,285
IV CULTURE	64,391	35,458	99,848	54,439	1,512	-	43,897	-	99,848
V COMMUNICATION AND INFORMATION	31,980	19,104	51,085	34,372	438	-	16,275	-	51,085
UNESCO Institute for Statistics	9,649	-	9,649	9,649	-	-	-	-	9,649
Management of Field Offices	44,105	58,226	102,330	84,445	16,661	-	1,225	-	102,330
Supplementary funding for the Field Network Reform	1,000	4,000	5,000	5,000	-	-	-	-	5,000
<b>Total, IIA</b>	<b>561,930</b>	<b>234,014</b>	<b>795,944</b>	<b>417,816</b>	<b>20,472</b>	<b>-</b>	<b>357,656</b>	<b>-</b>	<b>795,944</b>
<b>B. Programme-related services</b>									
1. Coordination and monitoring of action to benefit Africa	4,283	3,899	8,182	8,182	-	-	-	-	8,182
2. Coordination and monitoring of action to implement Priority Gender Equality	626	1,992	2,618	2,241	377	-	-	-	2,618
3. UNESCO's response to post-conflict and post-disaster situations	790	660	1,450	1,450	-	-	-	-	1,450
4. Strategic planning, programme monitoring and budget preparation	3,575	10,225	13,800	6,910	6,025	-	865	-	13,800
5. Organization-wide knowledge management	654	7,174	7,827	5,052	2,775	-	-	-	7,827
6. External relations and public information	6,340	20,214	26,554	24,665	510	1,179	200	-	26,554
7. Field Support and Coordination	200	1,435	1,635	1,123	512	-	-	-	1,635
<b>Total, IIB</b>	<b>16,467</b>	<b>45,599</b>	<b>62,066</b>	<b>49,623</b>	<b>10,199</b>	<b>1,179</b>	<b>1,065</b>	<b>-</b>	<b>62,066</b>
C. Participation Programme and Fellowships	16,843	1,563	18,406	18,406	-	-	-	-	18,406
<b>TOTAL, PART II</b>	<b>595,240</b>	<b>281,176</b>	<b>876,416</b>	<b>485,844</b>	<b>30,671</b>	<b>1,179</b>	<b>358,721</b>	<b>-</b>	<b>876,416</b>
<b>PART III - CORPORATE SERVICES</b>									
A. Human resources management	19,588	14,391	33,979	33,420	559	-	-	-	33,979
B. Financial management	1,391	17,575	18,967	14,438	3,813	716	-	-	18,967
C. Management of support services	35,702	42,983	78,685	46,168	-	31,871	646	-	78,685
D. Management of information systems and communications	2,305	10,102	12,406	11,587	-	819	-	-	12,406
<b>TOTAL, PART III</b>	<b>58,986</b>	<b>85,051</b>	<b>144,037</b>	<b>105,613</b>	<b>4,372</b>	<b>33,406</b>	<b>646</b>	<b>-</b>	<b>144,037</b>
<b>TOTAL, PARTS I - III</b>	<b>685,992</b>	<b>386,877</b>	<b>1,072,869</b>	<b>640,893</b>	<b>37,297</b>	<b>34,585</b>	<b>360,094</b>	<b>-</b>	<b>1,072,869</b>
Reserve for Staffing Adjustments (post classification and agreed separations)	-	3,000	3,000	3,000	-	-	-	-	3,000
Reserve for the After Service Health Insurance long-term liability (ASHI)	-	3,748	3,748	3,748	-	-	-	-	3,748
<b>PART IV - LOAN REPAYMENTS FOR THE RENOVATION</b>	<b>14,082</b>	<b>-</b>	<b>14,082</b>	<b>14,082</b>	<b>-</b>	<b>-</b>	<b>-</b>	<b>-</b>	<b>14,082</b>
<b>PART V - ANTICIPATED COST INCREASES</b>	<b>-</b>	<b>5,277</b>	<b>5,277</b>	<b>5,277</b>	<b>-</b>	<b>-</b>	<b>-</b>	<b>-</b>	<b>5,277</b>
<b>Total Parts I-V before adjustments for FTTOCA and OPF</b>	<b>700,074</b>	<b>398,902</b>	<b>1,098,976</b>	<b>667,000</b>	<b>37,297</b>	<b>34,585</b>	<b>360,094</b>	<b>-</b>	<b>1,098,976</b>
Recovery of support costs from voluntary contribution for FTTOCA			(37,297)						(37,297)
Internal charge back of direct costs for OPF			(10,828)						(10,828)
<b>TOTAL after adjustments for FTTOCA and OPF</b>			<b>1,050,852</b>						<b>1,050,852</b>
Note:	* The column "Gap" is kept blank in this 38 C/5 simulation table. It will be elaborated when preparing the 39 C/5.								
**	Projection of voluntary contributions raised and implemented by ED Institutes and UIS are not included. However, it is intended to be included in the 39 C/5.								

## ANNEX III

PROPOSED PRESENTATION FOR THE MAJOR PROGRAMME SECTORS' BUDGET  
(example of Education sector, based on a simulated 38 C/5 integrated budget)

Main Line of Action / Expected result (ER)	Breakdown by operational and staff			Breakdown by source of funds					
	Operational budget	Staff budget	Total	Assessed Contribution	Voluntary Contribution	FTOCA	Revenue generating fund	Gap *	Total
	\$	\$	\$	\$	\$	\$	\$	\$	\$
<b>MLA 1 Supporting Member States to develop education systems to foster high quality and inclusive lifelong learning for all</b>	<b>94,190,800</b>	<b>37,417,500</b>	<b>131,608,300</b>	<b>67,883,400</b>	<b>63,724,900</b>	-	-	-	<b>131,608,300</b>
ER1 National capacities strengthened to develop and implement policies and plans within a lifelong learning framework	19,316,600	8,230,900	27,547,500	15,707,400	11,840,100	-	-	-	27,547,500
ER2 National capacities strengthened to scale up inclusive and gender-responsive quality literacy programmes	41,681,700	6,114,200	47,795,900	11,800,600	35,995,300	-	-	-	47,795,900
ER3 Capacities of Member States strengthened to design and implement policies aiming at transforming TVET	11,471,800	6,317,500	17,789,300	11,250,400	6,538,900	-	-	-	17,789,300
ER4 National capacities strengthened to develop evidence-based higher education policies to address the challenges of equity, quality, inclusion, expansion, mobility and accountability	6,313,200	4,757,600	11,070,800	7,963,100	3,107,700	-	-	-	11,070,800
ER5 National capacities strengthened, including through regional cooperation, to develop and implement teacher policies and strategies so as to enhance the quality of education and promote gender equality	9,648,400	8,035,300	17,683,700	14,183,100	3,500,600	-	-	-	17,683,700
ER6 Capacities of Member States strengthened to promote, monitor and assess the processes and outcomes of competency-based learning	3,985,800	2,355,000	6,340,800	4,365,300	1,975,500	-	-	-	6,340,800
ER7 National capacities strengthened to develop and implement technology policies in education, particularly in teacher training and professional development	1,773,300	1,607,000	3,380,300	2,613,500	766,800	-	-	-	3,380,300
<b>MLA 2 Empowering learners to be creative and responsible global citizens</b>	<b>13,101,000</b>	<b>7,194,000</b>	<b>20,295,000</b>	<b>11,806,500</b>	<b>7,979,500</b>	<b>509,000</b>	-	-	<b>20,295,000</b>
ER8 Member States integrate peace and human rights education components in education policies and practices	3,419,400	2,826,700	6,246,100	4,921,000	1,325,100	-	-	-	6,246,100
ER9 Capacities of Member States strengthened to integrate ESD into education and learning, and ESD strengthened in the international policy agenda	3,602,900	3,819,800	7,422,700	6,058,900	854,800	509,000	-	-	7,422,700
ER10 Member States deliver good quality health education, HIV and comprehensive sexuality education that contribute to healthy lifestyles and gender equality	6,078,700	547,500	6,626,200	826,600	5,799,600	-	-	-	6,626,200
<b>MLA 3 Leading and coordinating the education 2030 agenda through partnerships, monitoring and research</b>	<b>24,067,400</b>	<b>7,549,600</b>	<b>31,617,000</b>	<b>19,256,600</b>	<b>12,094,300</b>	<b>266,100</b>	-	-	<b>31,617,000</b>
ER11 Coordination and monitoring mechanisms established and evidence from research generated in support of sustained political commitment for Education 2030 agenda	24,067,400	7,549,600	31,617,000	19,256,600	12,094,300	266,100	-	-	31,617,000
<b>UNESCO Education Institutes</b>									
UNESCO International Bureau of Education (IBE)	7,063,300	-	7,063,300	7,063,300	**	-	-	-	7,063,300
UNESCO International Institute for Educational Planning (IIEP)	7,468,100	-	7,468,100	7,468,100	**	-	-	-	7,468,100
UNESCO Institute for Lifelong Learning (UIL)	2,734,900	-	2,734,900	2,734,900	**	-	-	-	2,734,900
UNESCO Institute for Information Technologies in Education (IITE)	1,252,100	-	1,252,100	1,252,100	**	-	-	-	1,252,100
UNESCO International Institute for Capacity-Building in Africa (IICBA)	3,456,400	-	3,456,400	3,456,400	**	-	-	-	3,456,400
UNESCO International Institute for Higher Education in Latin America and the Caribbean (IESALC)	3,023,500	-	3,023,500	3,023,500	**	-	-	-	3,023,500
Mahatma Gandhi Institute of Education for Peace and Sustainable Development (MGIEP)	493,000	-	493,000	493,000	**	-	-	-	493,000
<b>Sub-total, UNESCO Education Institutes</b>	<b>25,491,300</b>	<b>-</b>	<b>25,491,300</b>	<b>25,491,300</b>	<b>**</b>	<b>-</b>	<b>-</b>	<b>-</b>	<b>25,491,300</b>
<b>Total, Major Programme I</b>	<b>156,850,500</b>	<b>52,161,100</b>	<b>209,011,600</b>	<b>124,437,800</b>	<b>83,798,700</b>	<b>775,100</b>	<b>-</b>	<b>-</b>	<b>209,011,600</b>

Note: \* The column "Gap" is kept blank in this 38 C/5 simulation table. It will be elaborated when preparing the 39 C/5.

\*\* Projection of voluntary contributions raised and implemented by ED Institutes and UIS are not included. However, it is intended to be included in the 39 C/5.



United Nations  
Educational, Scientific and  
Cultural Organization

# Executive Board

Two hundredth session

# 200 EX/13 Part IV

PARIS, 7 October 2016  
Original: English

Item 13 of the agenda

## PRELIMINARY PROPOSALS BY THE DIRECTOR-GENERAL CONCERNING THE DRAFT PROGRAMME AND BUDGET FOR 2018-2021 (39 C/5)

### PART IV

#### STRATEGIC REVIEW OF THE UNESCO INSTITUTE FOR STATISTICS AND MONITORING THE SUSTAINABLE DEVELOPMENT GOALS – SETTING THE STAGE

##### SUMMARY

This information document has been prepared by the UIS in follow-up to the 199 EX/Decision 9 by which the Executive Board had invited the UNESCO Institute for Statistics (UIS) “to present to it at its 200th session a report on the continuing reforms being undertaken to better enable UIS to support monitoring of the Sustainable Development Goals (SDGs), together with the details of any financial implications in order that they may be considered as part of the preparation process for document 39 C/5”.

Action expected of the Executive Board: Proposed decision in paragraph 30.



## EXECUTIVE SUMMARY

1. With the adoption of the SDGs, Member States and the entire United Nations system have made a historic commitment to address a broad set of new development targets. Recognizing the range of indicators required for comprehensive monitoring of the SDGs, the United Nations has identified four levels of indicators: a small set of globally comparable indicators; a broader and complementary set of thematic indicators which are also globally-comparable; and national and regional indicators to reflect specific issues and contexts.
2. Successful measurement will be defined by regularly-produced, reliable data that address the intent behind each target, and for the global and thematic indicators, internationally-comparable data reported by a majority of Member States.
3. The UNESCO Institute for Statistics has a crucial role to play in this agenda in all areas of UNESCO's mandate, i.e. education, science, culture and communication, to generate the cross-nationally comparable indicators and relevant methodologies while working with partners to develop new indicators, statistical approaches and monitoring tools to better assess progress towards achieving the SDGs.
4. The new demands on UIS work have expanded exponentially. These will require new data sources and indicators, methodological development, new data collection and more support for Member States in terms of capacity building for sustainable data systems.
5. The UIS response to SDG requirements includes: the implementation of multilayer strategies that require the revision of the Institute's medium- and long-term strategies; internal restructuring of its activities in order to align to new data generation and delivery responsibilities (already started); the redefinition of UIS core mandate; the evaluation of UIS positioning vis-à-vis the current demands; the adoption of a strategic communication plan and an evaluation and redefinition of the Institute's regional strategy for capacity-building. In addition, a new funding strategy will be elaborated as part of this set of strategies.
6. Funding needs for normal level of operations: UIS resources from regular programme funds have dropped significantly since 2010 (See Figure 2). In order to enable the Institute to maintain a normal level of operations, it would need more than US \$24 million for the biennium. Today, the UIS is operating with a deficit as its total allocations received from UNESCO (=\$7.7 million), and through projected voluntary contributions (=\$12.3 million), fall short of the required budget by \$4 million. The UIS is forced to downscale some of its programmes and cut activities in order to absorb the deficit.
7. Funding needs for 2030 Agenda: with the new requirements of the 2030 Agenda, and in order to enable the UIS to fulfil its mandate in UNESCO's fields of competence and deliver on SDGs monitoring, projections show that the Institute would need a total of \$30 million for the biennium, which implies that additional funding is required amounting to \$6 million. If such additional funding is unavailable, the UIS would be forced to reduce the production of indicators and its capacity-building activities in support of Members States.

### I. UIS history and current perspectives

8. Resolution 43/1999 of the 30th session of the UNESCO General Conference in November 1999 established the UIS and entrusted it with the mandate to develop and deliver timely, accurate and relevant data in its areas of competence including, education, culture, science technology, innovation (STI) communication and information (CI).

9. The strategy of the Institute relies on three main pillars: standardization of data by defining standards and methodologies; data production through questionnaires sent to countries with the associated statistical capacity building; and dissemination of information.

10. An outstanding quality of the UIS statistics is that they are validated by countries: the UIS collects the data, produces the indicators and then validates them with Member States before publishing the information. UIS data are produced in partnership with Member States.

11. The role and importance of the Institute was clearly recognized in its mandate as official data source for Education for All (EFA) and the Millennium Development Goals (MDGs).

12. The outputs of the Institute can be measured in terms of the data points collected, the number of indicators generated, the disaggregation needed to monitor equity, the number of national statistical officers' trained, the number of international organizations that use UIS data and the number of key high profiles indexes using UIS data.

**Table 1: Data points and indicators calculated using data from UIS questionnaires**

Questionnaire	Number of data points collected	Number of indicators calculated
UIS/ED/A: Students and teachers (ISCED 0-4)	3127	2941
UIS/ED/B: Educational expenditure	983	447
UIS/ED/C: Students and teachers (ISCED 5-8)	1343	345
UIS/ED/LIT: Literacy	678	48
UIS/ED/AT: Attainment	2186	368
UIS/RD: Research and development	1321	707
UIS/E/ICT: ICTs in education	720	in development
UIS/ED/D: Instructional time	360	in development
UIS/ED/T: Teachers	1328	in development
UIS/ED/AF: Africa	130	143

Source: UIS.

13. Almost every United Nations flagship report relies on UIS data, including the Human Development Report (UNDP), World Development Report (World Bank), and State of the World's Children (UNICEF), to name a few. The UIS has also provided data analysis for every edition of the UNESCO's Global Education Monitoring Report. The Human Development Index (HDI), and the World Competitiveness Index, amongst others, could not be calculated without the contributions of the UIS. The Global Innovation Index, compiled by Cornell University, INSEAD, and the World Intellectual Property Organization, uses education, R&D and culture data from UIS. ITU's Internet Development Index uses education and ICT in education data from the UIS, UIS data also go into the WEF's Global Competiveness Index

14. The UIS contributes to various UNESCO flagship reports and initiatives such as the World Atlas of Gender Equality in Education, in particular education data and data on Women in Science. The Institute also supports UNESCO's SIDS strategy with data (See also document 200 EX/5 Part I (A)). The UNESCO Science Report relies heavily on data and analysis by the Institute. UIS data and expertise are also used in the World Social Sciences Report and the forthcoming Global Ocean Sciences Report. Our R&D data are an integral component of the Global Observatory of Science Policy Instruments (GO->SPIN). The UIS has been put into place to serve as Secretariat of the

Interagency Group on Equity indicators in education to better serve and inform on equity while launching the Observatory on Equity and Inclusion in Education.

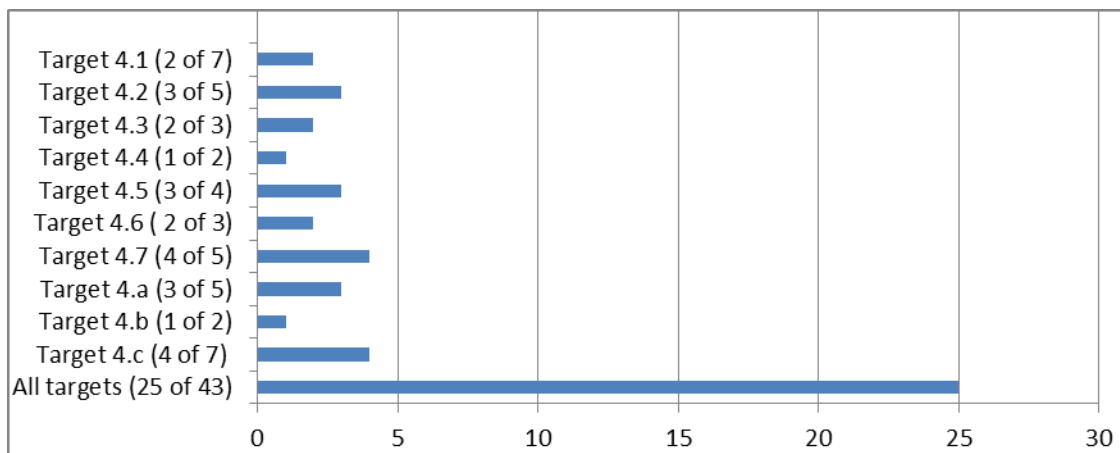
15. **Capacity building:** one of the main areas of UIS work is helping countries to build sustainable strategies for their statistical systems so Member States can make the best possible informed decisions. The greatest challenge lies in countries' abilities to report the raw data. In the last 11 years, the UIS has built capacities and trained more than 5000 statisticians and technicians worldwide.

## II. The challenges of the Sustainable Development Goals

16. The international community has relied on the Institute during the preparatory phase and implementation of the SDGs to coordinate with partners the indicators framework for Education through the Technical Advisory Group and leading the negotiation for UNESCO. In the Education 2030 Framework for Action (FFA), the UIS has been designated as “the official source of cross-nationally comparable data on education” and asked to “work with partners to develop new indicators, statistical approaches and monitoring tools to better assess progress across the targets related to UNESCO’s mandate, working in coordination with the Education 2030 Steering Committee.”

17. With SDG 4, the UIS is faced with an unprecedented demand for new and more complex indicators. Figure 1 summarizes part of the challenges in terms of the indicators as the new agenda demands the use and integration of different databases, the methodological development and testing of new indicators, and implementing new data collections.

**Figure 1: Number of SDG 4 indicators within each target for which major statistical development will be needed**



Source: UIS

18. In STI, the thematic list of indicators will be covering a broad array of topics. Only some of the areas concern data collected directly by the UIS, such as R&D and (business) innovation data. Other areas will have indicators collected or compiled by other agencies (such as patent data by WIPO or ICT data by ITU). And then there will be areas for which methodology needs to be developed, such as innovation in the informal sector. The challenge will be to effectively partner with the other relevant agencies, and to find the resources to develop the new methodologies. In culture, the challenge will be first to develop a feasible methodology to collect good quality data on the expenditure on the preservation, protection and conservation of all cultural and natural heritage, and then to apply this methodology to a new data collection. This will also require a strong cooperation with other organizations involved in the subject.

19. Table 2 summarizes the UIS role in the new SDGs framework.

**Table 2: Summary of UIS Role**

	<b>STI</b>	<b>Education</b>	<b>Culture</b>
Global SDGs indicators	9.5.1 and 9.5.2	11 indicators	11.4.1
Thematic SDG indicators	Under development	43 indicators	Under development
SDG Framework Development	Under development	Convened Technical Advisory Group; contributed to the IAEG-SDGs	Under development
SDG Role	Convener of advisory board	Convene Technical Cooperation Group	Convener of expert group
MDGs	None	Yes	None

20. **SDGs coordination role:** The UIS, as UNESCO's statistical agency, provides support and advice in relevant areas of mandate, i.e. the custodian agency for SDG 4; two indicators in STI (9.5); and one indicator in culture (11.4). The UIS is part of the UNSG Task Force on SDG country reporting, and member of the management team of the Inter-Secretariat Working Group of Household Surveys, the Partnership on Measuring ICT for Development, and is chairing the United Nations Chief Statisticians Coordination Committee for the SDG countries reporting task force.

### III. Responding to the SDGs challenges

21. **UIS response to SDGs requirements includes:** (i) implementation of a multilayer strategy that includes the revision of the Institute's Medium and Long-term Strategy; (ii) internal restructuring activities according to the process of data generation and delivery (already started); (iii) the redefinition of UIS core mandate; (iv) the evaluation of UIS positioning vis-à-vis the current demands; (v) the adoption of a strategic communication plan; and (vi) an evaluation and redefinition of the regional strategy that involves capacity building activities.

22. **Revision of the Medium-Term Strategy:** The UIS is developing a new Medium-Term Strategy to specifically address the measurement challenges and opportunities associated with the SDGs (see Annex I). The strategy is based on an evaluation of all UIS activities and products – from data collection systems and databases to communication products and analytical reports.

23. **Internal reorganization:** The UIS is currently undergoing a major restructuring process to realign the specific expertise and deliver according to the needs (see Annex II).

24. **New standards and methodologies:** For the monitoring of the SDGs, the UIS is faced with an unprecedented demand for new and more complex indicators.

- (a) For example, in SDG 4, five of the ten targets involve learning outcomes, bearing in mind that it is currently impossible to compare reading and numeracy skills globally. Clearly no

single organization can produce all of the data required. Hence, the Institute is working closely with partners through a series of new initiatives, such as:

- (i) The Global Alliance to Monitor Learning, which is developing the standards, methodologies and guidelines needed to produce the first internationally-comparable measures of learning for children, youth and adults. It brings together technical experts from countries, partner agencies, assessment organizations, donors and civil society groups from around the world.
  - (ii) The Technical Co-operation Group for SDG 4 – Education 2030, which the UIS co-chairs with UNESCO's Education Sector, to build consensus within countries and United Nations agencies on framework implementation.
- (b) Similarly, for the thematic list of STI indicators for the SDGs, no single institution will hold all the data, therefore existing partnerships need to be strengthened and new ones established. This holds even more for culture, where the methodology for the global indicator is still under development.

25. **SDG Capacity-Building Strategy for Member States:** The UIS has found that many countries simply cannot respond without a significant investment in statistical capacity building. The first step is to start with a clear plan, such as the design of National Strategy for the Development of Education Statistics (NSDES). This needs investment that does not lie within the UIS mandate and requires a serious commitment from the international community. With regard to the specific role that the UIS can play, the UIS should definitely be considered as the primary provider of technical guidance with regard to indicator calculation, questionnaire design and outputs in this project. Yet given the Institute's current financial limitations, the Institute might be forced to change its business model for capacity-building in the short term. With sufficient funding in the medium term, the UIS would be able to re-orient its capacity-building to go beyond a narrow focus on data collection and encompass the use and dissemination of data.

26. **Evaluation of the Institute:** The UIS is evaluating the UIS global positioning, fundraising strategy as well as the regional methodologies in order to improve the delivery on the Institute's mandate.

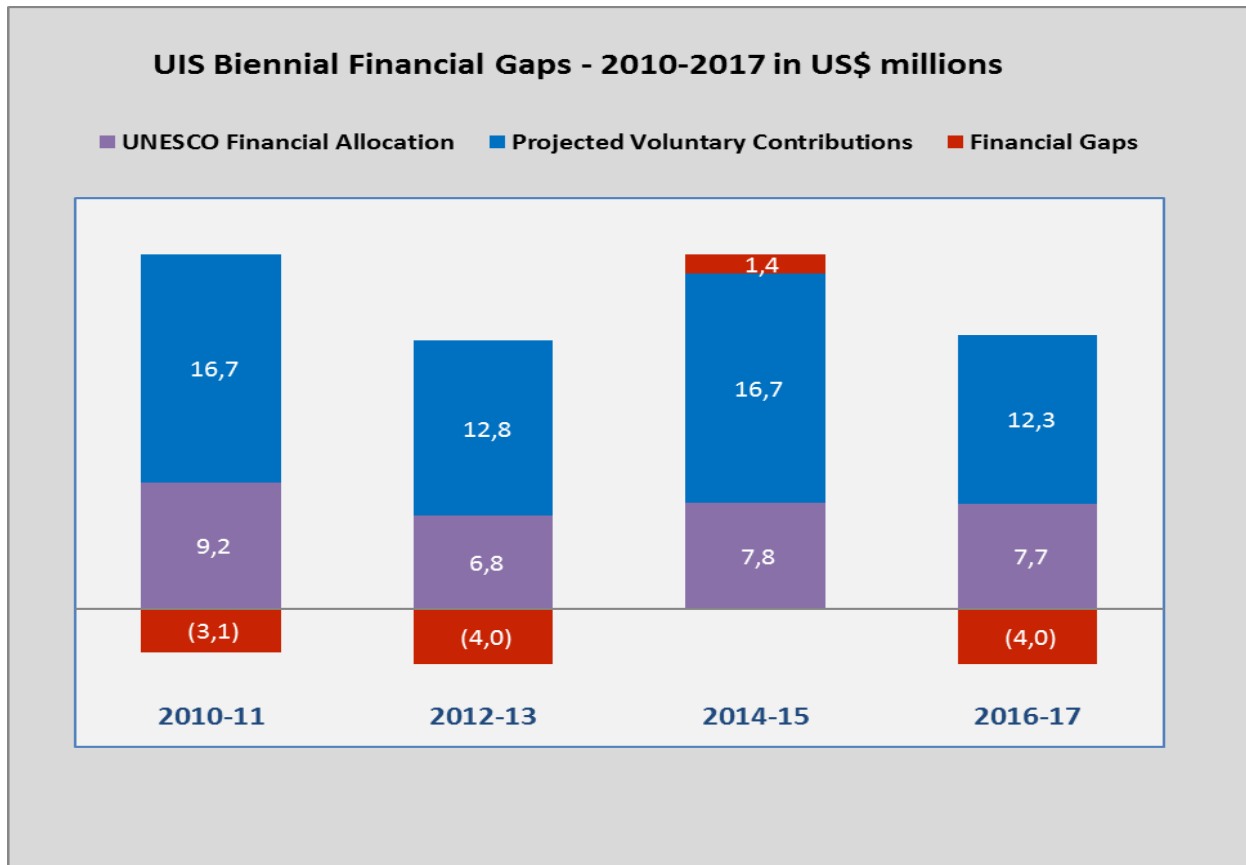
27. **Funding strategy:** The Institute is focusing on the development of a new business development strategy to proactively establish and expand the UIS donor base and engage both official and private donors in a more systematic and strategic way. This will require investments in fundraising, advocacy and communication to make the Institute and its products attractive to new donors.

#### **IV. UIS funding: Urgent investment required**

28. Since 2010, the UIS has been facing chronic deficits and the current financial situation remains critical (see Figure 2 below). To maintain a level of normal operations, the UIS would need \$24 million. The Institute currently faces a gap in funding of about \$4 million for the 2016-2017 biennium. This shortfall will more likely intensify in the upcoming biennium in the event of a \$507 million budget scenario and a consequent reduction of UIS financial allocation from the regular budget.



**Figure 2: UIS Biennial financial gaps**



29. **Projection of SDG Data needs and associated costs.** Conservative estimates suggest that the UIS needs at least a biennial budget of \$30 million to enable it to adequately respond to the SDGs monitoring challenges, which implies that additional funding is required amounting to \$6 million.

**Proposed decision**

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

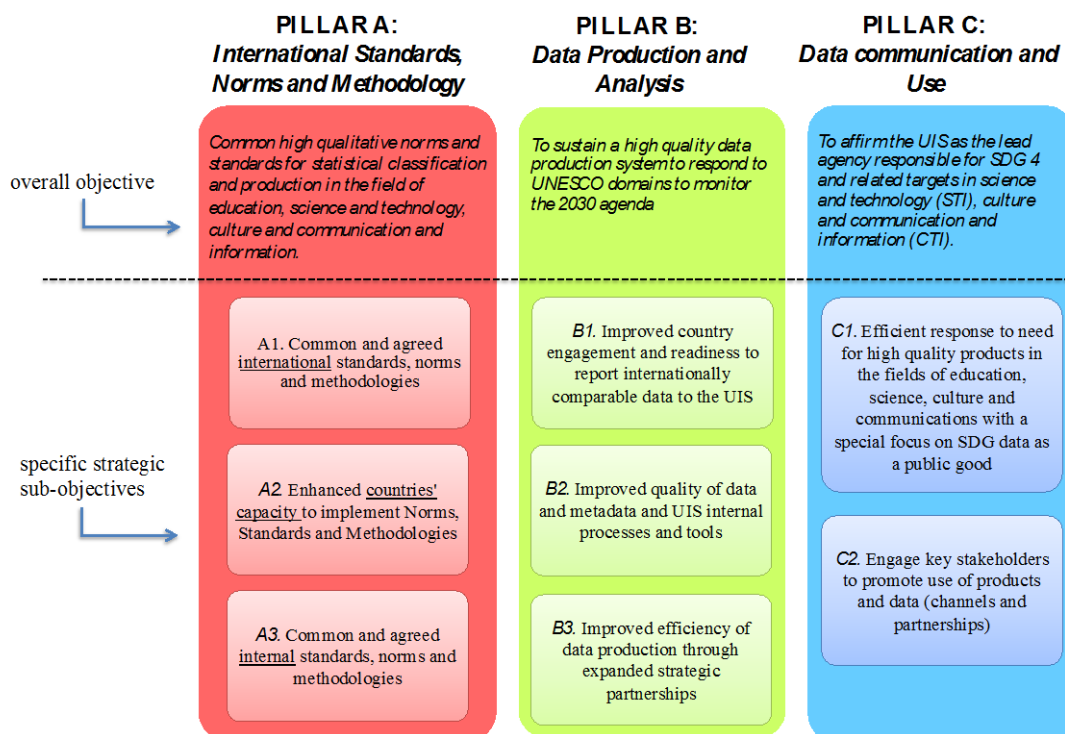
The Executive Board

1. Having examined document 200 EX/13 Part IV,
2. Takes note of its content;
3. Invites the Governing Board of the UNESCO Institute for Statistics (UIS) to include an update on the reforms undertaken by the Institute in its report on the activities of the Institute to be submitted at its 201st session

## ANNEX I

### THREE-PILLAR STRATEGY OF THE UIS

## UIS' THREE PILLAR STRATEGY

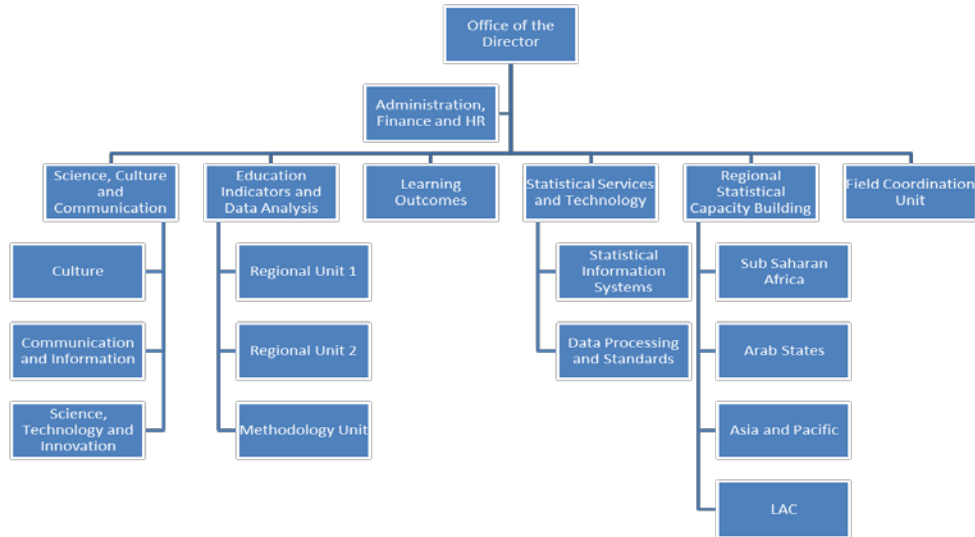


Statistical capacity building cuts across all three pillars

## ANNEX II

### UIS ORGANIZATIONAL STRUCTURE

UIS old structure:



The UIS proposed new structure:

