Item **5** of the provisional agenda

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

PART I

PROGRAMME ISSUES

SUMMARY

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

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

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

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

   Action expected of the Executive Board: Proposed decision in paragraph 37.

C. **Progress report on the preparation and publication of Volume IX of the General History of Africa including the activities of its Scientific Committee**

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

D. **Activities benefitting SIDS within the Organization's programme (2014-2017) and budget (38 C/5), including an analysis of additional resource requirements**

   This document provides an Executive Summary of the document 197 EX/5.INF which contains: (i) an overview of specific activities associated with SIDS within the current quadrennial programme (2014-2017) and related budget allocations; and (ii) an overall estimation of the funding gap to be addressed through the mobilization of extrabudgetary funds for 2016-2017.

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

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

1.   By 174 EX/Decision 6, the Executive Board invited the Director-General to periodically provide updates on UNESCO's work in relation to its role as a UNAIDS cosponsor. As one of the six founding cosponsors of UNAIDS, UNESCO has played an integral part in the development of the Joint Programme since its inception in 1996. This document covers developments since the last progress report presented in autumn 2013 (192 EX/5).

2.   The UNAIDS Committee of Cosponsoring Organizations (CCO) is comprised of the heads of agencies of the 11 UNAIDS cosponsors and the UNAIDS Secretariat, and meets twice a year to consider matters of major importance to UNAIDS. Each cosponsor rotates annually as Chair of the Committee, with UNESCO taking on this role most recently in 2013. Currently, the CCO is chaired by the ILO, with whom UNESCO collaborated to host the spring meeting of the CCO at UNESCO Headquarters (Paris, April 2015).

3.   UNAIDS is in the process of updating their Strategy and Unified Budget and Results Framework (UBRAF) for the 2016-2021 period. The ambitious updated Strategy will continue to be guided by the "Three Zeroes" vision of zero new infections, zero AIDS-related deaths, and zero discrimination, and would include a new objective of "fast-tracking" our efforts with the goal of ending AIDS as a public health threat by 2030. The proposed target of "ending the AIDS epidemic by 2030", under the proposed sustainable development goal (SDG) 3 on health, would provide a concrete milestone to be endorsed by United Nations Member States. UNESCO has been actively contributing to the development of the new Strategy through participation in consultations at global, regional and country level. An outline of the Strategy will be presented at the July 2015 session of the UNAIDS Programme Coordinating Board (PCB), and the full strategy will be presented for adoption at a special session of the PCB in October 2015.

4.   Within the Organization, the UNESCO Strategy for HIV and AIDS provides a framework to guide its collective efforts for the 2011-2015 period, in line with the Medium-Term Strategy (C/4) and the Programme and Budget (C/5) and the UNAIDS Strategy and Unified Budget, Results and Accountability Framework (UBRAF) 2011-2015. An updated UNESCO Strategy is under preparation for the 2016-2021 period which will be aligned to the new UNAIDS Strategy and the SDGs, as well as UNESCO's C/4 and C/5 documents. It is expected that work in the 2016-2021 period will continue to be guided by the current UNAIDS Division of Labour, which designates UNESCO as the convener for ensuring good quality education for a more effective HIV response and as a key partner in the areas of reducing sexual transmission of HIV; empowering young people and key populations; meeting the HIV needs of women and girls; combatting gender-based violence and removing punitive laws; and reducing stigma and discrimination. As lead agency on education, UNESCO convenes the Inter-Agency Task Team on Education (IATT), which is currently collaborating with the United Nations Girls' Education Initiative and UN Women on the development of normative guidance to support countries to address school-related gender-based violence, including its linkages to HIV and related health issues.

5.   Funding is allocated amongst the UNAIDS cosponsors according to the UNAIDS UBRAF. While the 2016-2017 Programme and budget has not yet been presented to the UNAIDS Board, it is expected that it will approve a zero-growth budget of US $485 million, of which UNESCO would continue to receive an allocation of US $12.4 million. UNESCO's implementation of the 2012-2013 allocation exceeded 98% and implementation of the current round of UBRAF funds is expected to reach the same level. UNAIDS UBRAF funds are used to build country capacity for effective and sustainable education responses to HIV and health, with over 80% of funds allocated at country and/or regional level, and the remaining being used to support normative and standard setting work. Through the work of dedicated staff in over 30 countries (of which two thirds in Africa), UNESCO actively supported over 66 countries in 2014 to strengthen implementation of their

national strategies to address HIV in the school setting, including through provision of support in comprehensive sexuality education (CSE) and school-related gender-based violence (SRGBV).

6.   UNAIDS funding has also been pivotal in UNESCO's ability to leverage additional extrabudgetary resources for HIV and health education, through contributions by governments, NGOs and the private sector. Partnerships with the Swedish International Development Agency (Sida), the OPEC Fund for International Development, Norwegian Agency for Development Cooperation, GIZ (Germany), and the Netherlands, among others, have enabled UNESCO to mobilize an additional $4 million[1] towards Major Programme I's Expected Result 10 since 2014, bringing the total allocation of ongoing activities and projects to over $50 million.[2]

7.   Of particular note is the ongoing support provided by Sida to make good quality HIV and sexuality education, sexual and reproductive health and youth-friendly services available to young people, through extrabudgetary projects at regional, global, and country level amounting to over $13.75 million. In East and Southern Africa (ESA), the ministers of education and health from 20 countries came together to voice their commitment to the scale-up of comprehensive sexuality education and access to services for young people (South Africa, December 2013). An accountability framework was adopted in 2014 and will be the key tool used by the Eastern African Community (EAC) and the Southern African Development Community (SADC) to track progress. The framework monitors 20 key indicators with specific year-end targets for 2015, 2017 and 2020. As an example of progress achieved at country level, Zambia has integrated CSE in the pre-service primary teachers curriculum and capacities of over 12,000 teachers have been strengthened through the support of UNESCO, UNAIDS and Sida funding.

8.   In times of financial constraints for the Organization, the UNAIDS Joint Programme and other extrabudgetary funding continue to be critical in supporting UNESCO's progress towards achieving Major Programme I's Expected Result 10, and enable UNESCO to continue to play a strong role in HIV and health education in the post-2015 development agenda.

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[1]   Total allocation of all new extrabudgetary programmes since 2014.
[2]   Total allocation of all operational extra-budgetary programmes and regular programme activities contributing to Major Programme I's ER 10.

B. Cultural and educational institutions in Iraq
(Follow-up to 195 EX/Decision 5 (II, A))

1.   This document reports on UNESCO's activities in Iraq during the period from July 2014 to July 2015, which was marked by political, security, social and economic instability linked to a complex combination of factors. The advance of the so-called Islamic State of Iraq and the Levant (ISIL, also known as ISIS) in 2014 has brought to the fore a major security challenge, and a massive humanitarian crisis, with an increase in civilian casualties and displacement. Widespread human rights violations, systematic cultural cleansing and deliberate destruction of Iraq's cultural heritage have been used as a tactic of war that impacted severely the lives of Iraqi people.

2.   The Director-General visited Iraq in November 2014 and in March 2015, to express UNESCO's solidarity and scale up its response to the evolving crisis, particularly by providing access to quality education for displaced and refugee youth, and protecting the country's rich cultural heritage.

3.   Parallel to its emergency response actions, UNESCO continued its activities while engaging also in a number of new initiatives. On 16 April, UNESCO and the Ministry of State for Governorates Affairs of Iraq signed a Global Cooperation Agreement that provides an innovative framework for the planning, funding and implementation of joint programmes in Iraq's governorates within UNESCO's areas of competence.

4.   UNESCO's programme activities in Iraq were reinforced by the consolidation of its sub-office in Erbil, and the establishment in Amman of a Finance and Administrative Platform serving UNESCO Amman and Iraq offices.

EDUCATION

5.   In response to the evolving humanitarian crisis, UNESCO provided educational support to tens of thousands of displaced Iraqi and Syrian refugee youth. A number of activities were carried out on the ground especially in Internally Displaced Persons (IDP) and Syrian refugee camps. Within the framework of the UNHCR-funded project "Education, Life Skills and Psychosocial Training Support Programme" (budget: $400,000), UNESCO provided quality and sustainable educational services to 900 vulnerable refugees in urban areas of Dohuk and Erbil in the Kurdistan Region of Iraq (KR-I). Furthermore, almost 700 illiterate refugees, mostly women, attended basic literacy classes, life skills and vocational trainings organized by UNESCO; and some 50 adolescent and adult illiterates were trained to conduct psychosocial support sessions amongst their family members and peers.

6.   Through the Saudi Arabia-funded project, "Providing access to quality education to adolescents and young adults in conflict affected areas in Iraq" (budget: $1.9 million), UNESCO provided learning spaces for several thousand students. Five schools were constructed using pre-fabricated buildings in IDP camps, 16 schools in urban areas were renovated and one school was rented out. Moreover, 20 back-to-school and stay-in-school campaigns were conducted and 7,500 students and 100 teachers were provided with textbooks, stationery and other teaching and learning materials. Within the IDP community, 130 teachers and educational supervisors were trained on the provision of psychosocial support and organization of catch-up classes.

7.   In May 2015, UNESCO launched two emergency education projects (combined budget: $2.5 million, financed by Japan) that will ultimately benefit 19,000 students, bridging the gaps in secondary schooling for displaced Iraqi girls and Syrian refugees. Additional funds received from Switzerland (budget: $100,000) will be used for providing additional learning spaces for displaced Iraqis.

8.   Furthermore, within the framework of the "Educate A Child Initiative in Iraq" (see also following paragraph below), UNESCO brought back to school 5,000 students from among the

communities who fled to Erbil from Ninewa, one of the first governorates that fell to ISIL in July 2014.

9.   Parallel to its emergency response, UNESCO continued providing technical expertise and implementing a variety of capacity-building projects that aim to improve Iraq's education system. The Organization focused on secondary and higher education, and on technical and vocational education and training. Through the Qatar-funded project "Educate A Child Initiative in Iraq" (Education Above All (EAA)/Educate A Child (EAC), budget: $3.9 million), UNESCO enrolled a total of 37,000 children in four governorates (Erbil, Baghdad, Ninewa and Basrah), giving them children a solid basis for full re-integration into the normal school system. UNESCO also established 130 learning centres and trained almost 1,000 teachers and 190 outreach officers.

10.   Through the EAA project "Development of New Iraqi Curricula" (budget: $4.9 million), UNESCO trained 20 curriculum specialists and managers who will be developing a comprehensive annual action plan for the Iraqi National Curriculum and Evaluation Centre. UNESCO also trained some 30 supervisors, teachers and national experts on the skills of piloting the mathematics and sciences instructional materials for grades 1 to 3. A comprehensive piloting plan of the new instructional material was developed for the academic year 2014/15. After finalizing the training plan, 8,000 science teachers and 1,000 mathematics teachers from Baghdad were trained through a cascading system.

11.   Through another EAA project "Teacher Training Programme for Basic and Secondary Education" (budget: $4 million), UNESCO continued to support Iraqi specialists to enhance their capacities in developing teacher training packages for grade 11, training some 40 specialists and supervisors from the Kurdistan Regional Government Ministry of Education.

12.   Institutional and human capacities of the Ministry of Higher Education and Scientific Research (MoHESR) and higher education institutions were strengthened through the "Rehabilitation of Iraq's Higher Education System" EAA project (budget: $500,000). The quality assurance process continued in nine public universities. Site visits to a variety of higher education institutions were organized to assess quality improvement of academic performance and quality improvement plans.

13.   Another important achievement in higher education was the launch of the UNESCO Chair on "The Development of Inter-Religious Dialogue in the Islamic World" at the University of Kufa in Najaf.

14.   The "Iraqi Public Sector Modernization" project (budget: $2.5 million) funded by the Iraq UNDAF Trust Fund significantly improved the quality of higher education by fostering a values-based approach, including academic integrity, and producing a number of guidelines and reports. UNESCO also continued to reinforce strategic educational planning and management as part of its support for the implementation of the National Education Strategy (NES). This included supporting relevant ministries in establishing principles and criteria for reorganizing programmes and projects in the National Education Strategy, in addition to enhancing the skills of managers in strategic planning, decision-making, leadership and communication. Workshops and other training activities benefited nearly 90 government officials. Finally, UNESCO continued its advisory support to assist the MoHESR in developing and implementing more effective ICT-based processes and procedures.

15.   Building upon past and ongoing initiatives and responding to new challenges facing the technical and vocational education and training (TVET) sector in Iraq, UNESCO launched in April 2015 the European Union-funded project "Reforming Technical and Vocational Education and Training in Iraq" (budget: €12.3 million), which will help align TVET with the skills required in the labour market. Preparatory work took place in collaboration with the relevant line ministries to conduct a labour market needs assessment. Additionally, UNESCO together with representatives of the higher education sector in KR-I, developed an action plan for implementing a pilot activity

that will see the roll-out of a cumulative and transferable credit system, known internationally as the "Bologna Process" in all technical universities starting from the academic year 2016-17.

CULTURE

16.   Immediately after the outset of the present crisis, the Director-General requested national and international experts to prepare an "Emergency Response Action Plan for the Safeguarding of Iraq's Cultural Heritage" that was adopted on 17 July 2014. The Action Plan guides UNESCO's emergency intervention, which is supported by the global community, as shown for example by the recent United Nations General Assembly Resolution A/RES/69/281 on "Saving the Cultural Heritage of Iraq" and by increasing financial support.

17.   Within the framework of the Action Plan, the recent contribution by the Government of Italy (€300,000) will contribute to monitoring cultural sites and assessing the damage incurred, mitigating the loss of cultural heritage through capacity-building activities to fight illicit trafficking, raising awareness and coordinating with entities which are active in Iraq's cultural heritage protection and documentation.

18.   The project "Preventive Conservation of Iraq's Museum Collections and Cultural Heritage Sites at Imminent Risk" (budget: $1.5 million), financed by Japan, was prepared with the overall aim of ensuring the protection of Iraqi archaeological heritage, including those of the National Museum of Iraq. This is complemented by another activity financed by Norway that aims to ensure the protection of Iraq's heritage and fight against illicit trafficking of cultural property (budget: $155,000), as well as by a project supported by Italy to document the state of conservation of heritage sites in the district of Mosul, through satellite images, and train Iraqi law enforcement agencies in methods to counter illicit traffic of cultural objects (budget: $300,000).

19.   UNESCO continues to monitor Iraqi cultural heritage at risk, in close cooperation with the Iraqi authorities, specialized departments and in cooperation with its institutional partners. While it remains challenging to obtain reliable information on the nature and extent of damage, UNESCO has established contacts with other United Nations entities on the monitoring of cultural heritage through satellite imagery.

20.   With the continuation of the deliberate targeting of cultural and religious heritage, and especially following its escalation in February and March of 2015, the Director-General of UNESCO issued a number of statements condemning the destruction of cultural heritage and organized a series of events including, an international Conference on the "Protection of Heritage and Cultural Diversity at Risk in Iraq and Syria" held on 3 December 2014 at UNESCO Headquarters.

21.   During her two visits to Iraq (2 November 2014 to Baghdad and Erbil; and 28 March 2015 to Baghdad), the Director-General expressed UNESCO's solidarity with the people and Government of Iraq in the face of ISIL's attacks against minority groups and the country's cultural and religious heritage. The Director-General also conveyed UNESCO's commitment to protecting Iraq's cultural heritage and diversity.

22.   The 28 March 2015 visit to Iraq was also an opportunity for the Director-General to launch the #Unite4Heritage campaign at the Faculty of Arts of the University of Baghdad in Iraq at a highly symbolic event. The purpose of the vastly popular campaign is to counter propaganda of hatred, intolerance and violence with messages of unity, tolerance and solidarity and to build support for the protection of heritage, where it is threatened by sectarianism and extreme violence. The campaign was launched in several field offices, namely Beirut, Amman, Iraq, Cairo, Libya, Rabat, Bamako and Havana, and generated media interest with over 500 articles in the international press. The campaign has now reached 20,000 tweets using the hashtag #unite4heritage, 3.3 million views of campaign-related tweets published by UNESCO (105 tweets), and over 22,000 visits to the campaign website.

23. In the framework of the implementation of UNSC Resolutions 1483 and the 2199 banning cross-border trade of Iraqi cultural property, UNESCO continuously works on ensuring monitoring of virtual and traditional sales of cultural properties in close cooperation with INTERPOL and the World Customs Organization. Member States, cultural institutions, the art markets, museums and auction houses have been alerted and called upon to support these international concerted efforts. Assistance and follow-up on counter measures undertaken by Member States is ensured by UNESCO in close cooperation with the United Nations Sanctions Monitoring Team.

24. In line with its mid- and long-term strategy to safeguard Iraq's heritage, UNESCO continued to focus on conservation and promotion of cultural heritage, which is at the core of the country's cultural identity and as a vector of socio-economic development.The "Revitalization of the Erbil Citadel – Phase II" project, financed by the Erbil Governorate (budget: $12 million), centred on conservation of the Citadel's most vulnerable features by completing works at six buildings over the reporting period, bringing the total number of conserved buildings to 14. Additionally, the planning and design for the Interpretation Centre at the Citadel has been completed, and a study for the development and urban enhancement of visitor routes has been carried out.

25. UNESCO also helped promote the visibility of Iraq's cultural heritage, developing new opportunities for learning about and understanding the country's history and culture. In the context of the "Preserving Najaf's cultural heritage and promoting its international visibility" project financed through the Ministry of Culture (budget: $1.1 million), a 15-minute documentary and two publications on Najaf were prepared. The English version of "Najaf: The Gate of Wisdom" was launched at UNESCO Headquarters on 20 November 2014 on the occasion of the World Philosophy Day, while the Arabic volume has been presented to the public in Baghdad in December 2014, in the presence of the Prime Minister. The round table on "The contribution of Ali ibn Abi Talib's thought to a culture of peace and intercultural dialogue" was organized in November 2014 and its proceedings are being published.

26. In the framework of the World Heritage technical assistance to the Government of Iraq, as part of the Advisory Bodies' upstream process, and with financial and logistical support from the Arab Regional Centre for World Heritage, UNESCO assisted in the preparation of a Consolidated Management Plan of the Natural and Cultural Components of "The Ahwar of Southern Iraq: Refuge of Biodiversity and Relict Landscape of the Mesopotamian Cities".

27. Further to a UNESCO monitoring mission (May 2014) to the World Heritage site of Samarra Archaeological City, inscribed on the List of World Heritage sites in Danger, UNESCO prepared the project for the preservation of the Great Mosque and Al-Melwiyah Minaret (funded by the Governorate of Salah-Al-Din; budget: $850,000), as a first phase of an overall "Conservation and management of the World Heritage site of Samarra Archaeological City".

28. In view of the volatile security conditions affecting the original target location (Samarra Old City), the project "Enhancing Capacities in the Documentation and Conservation of Historical Religious Buildings and in the Refurbishment of Contemporary Mosques in Historic Contexts" (funded by the Sunni Endowment of Iraq; budget: $1.6 million) was re-designed to now include the assessment of seven historical religious buildings in Baghdad, carried out in June 2015, and a comprehensive capacity-building programme for staff of the engineering department of the Sunni Endowment and the first phase of a three-year training in manuscript conservation.

29. With regard to the implementation of activities for the "Documentation, Studies and Planning for the Stabilization and Conservation of Al-Hadba Minaret in Mosul" project financed by the Governorate of Ninewah (budget: $1.4 million), UNESCO is preparing training for employees of the governorate and commissioned a stabilization and conservation study.

30. Finally, UNESCO continued the implementation of the "Production of an online and print Encyclopedia of Sulaymaniyah" project funded by self-benefitting Iraqi funds-in-trust from the Former First Lady of Iraq (budget: $772,300).

31.   In parallel to these efforts on the grounds, a number of important decisions were taken at international level, concerning the cultural heritage of Iraq. These include the United Nations General Assembly Resolution 69/281 "Saving the cultural heritage of Iraq", adopted on 28 May 2015, and two decisions adopted by the World Heritage Committee at its thirty-ninth session in Bonn (Germany), from 28 June to 7 July 2015. These are the "Bonn Declaration", calling for an international mobilization in support of heritage in conflict areas, and the decision to inscribe the property of Hatra (Iraq) on the World Heritage List in Danger.

NATURAL SCIENCES

32.   UNESCO's engagement in the area of natural sciences was scaled up within the framework of the "Advanced Survey of Hydrogeological Resources in Iraq" project funded by the European Union (budget: €5 million). Several data sets have been collected and acquired from multiple sources to be used for identifying initial potential of groundwater resources. The data sets will also serve as inputs for hydrogeological modelling. Data on available wells, boreholes and cross sections, selected and validated up to the current stage of work, have been processed and archived to allow their use for creating 3D-representations of stratigraphic setups within the given geological inventory. A total of 426 radar images were acquired and processed.

33.   UNESCO's efforts also focused on the management of Iraq's natural resources, in particular water and drought risk management, as well as professional and institutional capacity development in science and technology. The "Development of a Master Plan for Science, Technology and Innovation" was undertaken for the Ministry of Science and Technology (budget: $80,000).

34.   As part of the International Hydrological Programme, UNESCO organized a study tour to Germany in May 2015 to consolidate Iraqi experts' knowledge of water resources and hydro management.

COMMUNICATION AND INFORMATION

35.   With the rise in sectarian tensions and violence, the safety of Iraqi media professionals has been increasingly at risk. Meeting the standards of professionalism required to build public trust in the media as a reputable source of information to help in decision-making is a continuous challenge for Iraqi journalists.

36.   Within UNESCO's ongoing efforts to support media in Iraq, the following activities have been implemented: On the occasion of World Press Freedom Day (WPFD) on 3 May 2015, UNESCO issued a joint statement with the Iraqi Journalists Syndicate (IJS) and Council of Representatives on the promotion of journalists' safety in Iraq and enhancing the media environment. As part of the celebration of the WPFD, UNESCO and IJS signed a project agreement for enhancing Iraqi journalists' capacities in conflict-sensitive reporting. UNESCO, in cooperation with a local NGO, is developing a journalists' safety index in Iraq. As part of its International Programme for the Development of Communication (IPDC), UNESCO held three workshops on investigative writing and reporting. The workshops took place in Baghdad and benefited some 40 women journalists. The investigative writing award event was held on 10 May 2015. During the reporting period, a series of seminars were held, including on the media code of conduct in Iraq (6 May 2015), the safety of journalists (16 May 2015), the public service broadcasting law (3 June 2015) and media and sustainable development (6 June 2015).

Proposed decision

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

The Executive Board,

1.   Recalling 195 EX/Decision 5 (II) (A),

2. <u>Having examined</u> document 197 EX/5 Part I (B),

3. <u>Acknowledges</u> with appreciation the results achieved in the implementation of programmes in UNESCO's areas of competence, in particular through capacity-building activities and by addressing the most urgent humanitarian needs of affected population;

4. <u>Expresses</u> its gratitude to all donors and multilateral and private sector partners for their substantial contribution to UNESCO's action in favour of the Iraqi people, and appeals to them to continue assisting UNESCO in its efforts to foster reconstruction, dialogue and the safeguarding of cultural heritage in Iraq;

5. <u>Welcomes</u> the #Unite4Heritage campaign and other initiatives taken by the Director-General to draw attention to the strong links between culture and peacebuilding;

6. <u>Further invites</u> the Director-General to present a progress report to it at its 200th session.

C. **Progress report on the preparation and publication of Volume IX of the *General History of Africa* including the activities of its Scientific Committee**
(Follow-up to 196 EX/Decision 5 (I, E))

1.   By 196 EX/Decision 5 (I, E), the Executive Board took due note of the progress made in the implementation of the preparation and publication of Volume IX of the *General History of Africa* (GHA) and requested the Director-General to present to it at its 197th session a progress report on the activities of the International Scientific Committee and the main themes and thrusts to be included in the said volume.

Main themes and thrusts of Volume IX

2.   The aims of Volume IX are: (i) to update the content of the existing eight volumes of the GHA in the light of recent developments in scientific research; (ii) to map and analyse the various African diasporas and their contributions to modern societies and to Africa's emancipation and development; and, lastly, (iii) to analyse the new challenges Africa and its diasporas are currently facing and the new opportunities that are open to them.

3.   The Scientific Committee chose to draft a history of Africans and people of African descent around the world based on the pioneering concept of "Global Africa", from the initial expansion of humans from the African continent to populate the planet, to the successive diasporas over time right up to the present day. This concept invites us to reassess the approach to the period of slavery and colonization, to study the relationship between pan-Africanism and the diasporas, to understand the enhancement of pan-Africanist thinking nurtured by contributions from different diasporic experiences and to actively and transversally address the different issues linking Africa and its diasporas, and its diasporas and their host countries.

4.   Furthermore, the Committee deemed it necessary to undertake the process of "decolonizing" the concepts used in social and human sciences. Volume IX will thus deal with the matter of "coloniality" to better grasp the representations and logic that justify disparaging the cultural and intellectual output of formerly colonized countries, by adopting an endogenous, pan-African approach and drawing on post-colonial studies conducted in Latin America, Asia and Africa.

5.   Volume IX, which is being developed in the continuity of the already published *General History of Africa* collection (Volumes I – VIII), comprises three books, each subdivided into several sections.

Book 1 will focus on the update of the GHA, particularly theories on the origins of humanity and the first human civilizations:

- Section I: Epistemological forum

- Section II: Content review of the eight GHA volumes

- Section III: Knowledge update on "From the origins to the emergence of complex societies"

- Section IV: Africa during the second millennium: update of the historical knowledge of the eight volumes

Book 2 will explore the manifold aspects of Global Africa and its different manifestations through the diasporas in the rest of the world:

- Section I: Epistemological forum

- Section II: Characterization and cartography of African diasporas

- Section III: History of life and tales of liberation;

- Section IV: Past and present resistance

- Section V: The contributions of the diasporas to the construction of the modern world

Book 3 will examine contemporary Global Africa and the opportunities and new challenges faced by Africa and its diasporas:

- Section I: Epistemological forum

- Section II: New challenges of Global Africa

- Section III: Africa's place in the contemporary world

- Section IV: Africa at the turn of the third millennium: challenges, dynamics and prospects

Activities and action undertaken by the Committee

(i)   Progress made in the preparation and publication of the volume

6.   Since the last session of the Executive Board, the Committee has significantly increased the rate of its exchanges in order to refine the structures of the three books. Regarding the progress of Book 2, which met with a few difficulties arising from methodological and epistemological differences within its editorial team, the Committee was called upon to decide which one of the different proposals that were submitted to it would best fulfil the initial ambitions of the editorial project. By a vast majority, the members of the Committee decided in favour of the proposal to synthesize and reconcile the different methodological approaches.

7.   Following this decision and in order to meet the time-frame (finalization of the manuscript by the end of 2016), the Secretariat contacted the authors selected to write the three books and gave them the information they needed to prepare their contributions, including the concept note prepared by the Committee. Most of the authors of these books have started working with the scientific coordinators and have been invited to submit a first draft of their contribution within the four months following the receipt of their contract. As the drafting phase has begun, the Committee hopes to be able to examine and validate 30% of the total contributions to Volume IX during its next meeting, set for December 2015/January 2016, according to the time-frame suggested in the report presented by the Secretariat at the 196th session of the Executive Board.

(ii)   Action undertaken to ensure a better geographical and linguistic balance

8.   Pursuant to 196 EX/Decision 5 (I, E) (paragraph 7), in which the Executive Board recalled the importance of developing an inclusive and holistic approach to achieve a geographical and linguistic balance, the Committee, upon the proposal of the Secretariat, introduced the necessary adjustments in order to ensure that the principle of cultural and linguistic diversity that prevails at UNESCO was better reflected in the final list of suggested authors.

9.   Thus, subject to their final acceptance, the 241 authors selected [from 54 different countries and representing every region, namely: Africa (115), South America (31), North America (37), Asia and the Pacific (12), the Caribbean (13) and Europe (33)] will participate in drafting Volume IX.

(iii)   Meetings in which the Committee or its representatives took part

10.   Professor Augustin C. Holl, Chairperson of the Committee, met Her Excellency Ms Eliana Zugaib, Ambassador and Permanent Delegate of Brazil to UNESCO, on 9 June 2015 to inform her of the progress made in the preparation and publication of Volume IX and the efforts of the members of the Committee to finalize the manuscript of said volume by the end of 2016.

11.   Two members of the Committee, one of whom was its Chairperson, participated in the meeting of the International Scientific Committee for the pedagogical use of the *General History of Africa*, held in Khartoum and Marawi, Sudan, from 4 to 10 May 2015 at the invitation of the Sudanese Government. The meeting, which led to the validation of educational content for African primary and secondary schools, also provided the opportunity to discuss the pedagogical use of Volume IX and the link between the two phases of the project.

12.   The first two meetings of the Committee were held in Brazil and the third at UNESCO Headquarters in France. It will be suggested to some African countries that they host the next meeting, which will be held in December 2015/January 2016. The objective of this important meeting will be to validate 30% of the total contributions to Volume IX. The Secretariat is currently working at selecting the countries open to hosting such a meeting.

13.   A member of the Committee was invited to the round table discussion entitled "The General History of Africa: Learning and Teaching about African Heritage", held at United Nations Headquarters in New York on 10 July 2015, to recall the intellectual and political stakes of the preparation and publication of Volume IX.

Mobilization of additional funding for the finalization of the manuscript by the end of 2016

14.   So as to face (i) the additional costs arising from the production of the third book, requested by the Committee to ensure a greater scientific coherency, and (ii) the budget reduction caused by the fluctuating exchange rate of the Brazilian real against the United States dollar, the Secretariat conferred with African Member States to mobilize additional extrabudgetary funds to finalize the manuscript of Volume IX by the end of 2016. The Secretariat also tried to find solutions within the private sector, and promising contacts were established.

15.   It must also be noted that until that point, despite previous Executive Board decisions, the project had received no additional financial support from Member States.

Proposed decision

16.   Having examined the progress report on the activities of the International Scientific Committee, together with the main themes and thrusts of Volume IX of the *General History of Africa*, the Executive Board may wish to adopt a decision along the following lines:

The Executive Board,

1.   Recalling 195 EX/Decision 17 approving the Statutes of the International Scientific Committee for the Preparation and Publication of Volume IX of the *General History of Africa* (GHA),

2.   Bearing in mind 196 EX/Decision 5 (I, E), which takes note of the project's progress and the need to mobilize additional funds for its effective implementation and success,

3.   Having examined the progress report on the activities of the International Scientific Committee, together with the main themes and thrusts of Volume IX of the *General History of Africa* (GHA),

4.   <u>Recalling</u> 196 EX/Decision 5 (I, E), by which Member States were invited to continue to support the project by more voluntary contributions to ensure the effective implementation and success of Volume IX of the *General History of Africa,*

5.   <u>Takes note</u> of the methodological approach and the thrusts adopted by the International Scientific Committee, and the efforts made by said Committee to respect cultural and linguistic diversity;

6.   <u>Requests</u> the Director-General to continue her efforts to mobilize the funding required for the preparation, publication and promotion of Volume IX;

7.   <u>Takes note</u> that the General Conference will examine, at its next session, a report on the implementation of the last phase of the *General History of Africa* (GHA) project*.*

D. **Activities benefitting SIDS within the Organization's programme (2014-2017) and budget (38 C/5), including an analysis of additional resource requirements**
(Follow-up to 196 EX/Decision 5 (I, B))

1.   In response to the resolution adopted by the General Conference at its 37th session on *Reinforcing UNESCO's Strategy on Small Island Developing States* (Part V – paragraph 1.e), the Organization has elaborated a draft Action Plan for the Small Island Developing States (SIDS). The draft SIDS Action Plan is in line with the priorities set out in the outcome document of the Third International Conference on SIDS (1-4 September 2014), also referred to as the "SAMOA (SIDS Accelerated Modalities of Action) Pathway". The draft Action Plan was submitted to the Executive Board at its 196th session (document 196 EX/5) and is to be implemented during the remaining period of the Medium-term Strategy (2014-2021).

2.   The Executive Board expressed its appreciation for the draft SIDS Action Plan and requested the Director-General "*to identify within the current quadrennial programme of work those specific activities associated with SIDS, to provide an analysis of the direct allocations and costing of those activities earmarked in the regular biennial budget (2016-2017), and separately, an analysis of the funding gap to be filled with extrabudgetary funds at its 197th session*".

3.   The Organization undertook a detailed examination of the activities benefiting SIDS on the basis of the information contained in SISTER in the workplans for the current 2014-2015 biennium, as well as in the draft workplans of the RBB exercise for 2016-2017.

4.   The results of this examination are detailed in document 197 EX/5.INF. The main findings are summarized as follows:

5.   All five Major Programmes are implementing activities benefitting SIDS, which respond to all priority areas in the draft SIDS Action Plan. As a global intergovernmental organization, the great majority of UNESCO activities are designed to positively impact all or a wide range of Member States, amongst which SIDS are included. As a result, it is a considerable challenge to differentiate benefits to SIDS from benefits to other Member States, when in many instances they may benefit collectively from the same activities. To facilitate this analysis, four proposed groups of activities related to SIDS are identified.

6.   **Activities of a global nature, which benefit SIDS but without mention of specific SIDS Member States.** This includes activities that bring benefits to SIDS through fulfillment of the Organization's core functions. As an international standard setter, for example, the implementation of UNESCO's Culture Conventions are global in scope and bring benefits to a wide range of Member States including SIDS. At the same time, several of the Conventions include a specific focus on furthering ratification and training for the SIDS of the Caribbean, Pacific and AIMS subregions. Similarly, as a catalyst for international cooperation, UNESCO facilitates debates among a wide range of partners on, for example, global governance of large marine ecosystems.

7.   **Activities of a global or regional nature that specifically mention one or more SIDS along with other Member States.** This includes, for example, activities in the fields of TVET, science, technology and innovation policy, social inclusion, or sports and physical education, among many others, that are implemented in Latin America and the Caribbean, or across the Asia-Pacific region, or in the region of Africa, which includes the SIDS of Cabo Verde, Comoros, Mauritius, Seychelles and Sao Tome and Principe.

8.   **Activities with SIDS as the major target group.** While not the exclusive beneficiaries, SIDS are a major target group for certain activities carried out by the Organization. These include activities relating to, for example, climate change education, tsunami warning systems and natural disaster management in the Caribbean and in the Pacific and Indian Oceans, island biosphere reserves, or underwater cultural heritage.

9.   **Activities benefitting exclusively SIDS Member States.** These include activities implemented by the cluster offices for Pacific SIDS in Apia and for the Caribbean in Kingston, the SIDS national office in Port-au-Prince, as well as SIDS-specific activities in Headquarters.

10.   Activities benefitting SIDS are implemented by headquarters, field offices and category 1 and 2 institutes and centres. Certain field offices are entirely devoted to the implementation of activities in SIDS Member States (Apia, Kingston, Port-au-Prince), while other offices such as the regional and cluster offices in Bangkok, Dakar, Havana, Jakarta, Montevideo, Nairobi, New Delhi and Yaoundé devote an important part of their work to the benefit of SIDS Member States within their region or cluster. A number of activities, such as those on education for sustainable development or disaster risk reduction, are implemented through intersectoral cooperation. Partnerships with other United Nations agencies also occupy an important place at the operational level within SIDS e.g. with UNDP, ILO, UN Women, UNOPS, UNAIDS, UNV, amongst others.

11.   Activities benefitting SIDS are funded from both the Regular Programme budget, including additional appropriations, and dedicated extrabudgetary resources. Details on the budget allocated to these activities within each Major Programme during the current biennium are provided in the document 197 EX/5.INF, along with details on the preliminary allocations foreseen in 2016-17. Also included is the volume of regular programme funds allocated to SIDS via the Participation Programme for 2014-2015.

12.   In general, this analysis shows that across all major programmes, the Organization will maintain its budget commitment to SIDS in 2016-2017. It is foreseen for the 2016-2017 biennium that ongoing activities will be pursued, with an effort to expand their coverage to include an increasing number of SIDS. In addition to supporting SIDS Member States in the implementation of the post-2015 agenda and the SAMOA Pathway, the Organization is also planning new activities to be implemented in the SIDS, such as the transfer of marine technology and related capacity-building, or support to traditional medicinal practitioners, with a focus on women practitioners, in the Indian Ocean SIDS, notably Comoros.

13.   As regards the mobilization of extrabudgetary resources for the further implementation of activities in favour of SIDS over the period of the coming biennium 2016-17, all Programme Sectors at headquarters and in the field are committed to fundraising for the SIDS. On the basis of their preliminary inputs, a very provisional estimate was developed that suggests that such a gap might amount to some US $20 million. However, this figure will need to be reviewed and confirmed at the end of the year, as a final estimate should be based on the final workplans to be developed after the 38th session of the General Conference. This final workplanning exercise will also provide clearer indications of the opportunities for mobilizing these funds. A plan to mobilize extrabudgetary resources is being developed by the Organization and is outlined in document 197 EX/5.INF.

Proposed decision

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

The Executive Board,

1.   <u>Recalling</u> 37 C/Resolution 1 (V);

2.   <u>Stressing</u> the importance of the SIDS Accelerated Modalities of Action (SAMOA) Pathway as the reference document for SIDS;

3.   <u>Recalling</u> 196 EX/Decision 5 (I, B);

4.   <u>Having examined</u> document 197 EX/5 Part I (D) and 197 EX/5.INF;

5. <u>Recalling</u> the special status conferred by the Organization upon SIDS as a Priority target group in its Medium-Term Strategy for the period 2014-2021;

6. <u>Acknowledging</u> the major contributions that UNESCO has made to the International Year of SIDS and the Third International Conference on SIDS (Samoa, 1-4 September 2014) and its preparatory process;

7. <u>Mindful</u> of UNESCO's role in contributing to the identification of priorities for the sustainable development of SIDS in the elaboration of the post-2015 development agenda, especially in the formulation of sustainable development goals and actions with respect to, inter alia, inclusive and equitable quality education, and life-long learning, climate change, oceans and coastal zone management, freshwater, youth and gender, social and cultural well-being, building knowledge societies and ICT;

8. <u>Reiterating</u> its appreciation for the draft SIDS Action Plan presented by the Director-General for the period of the current Medium-Term Strategy (2014 to 2021);

9. <u>Acknowledges</u> the information provided by the Director-General describing specific activities associated with SIDS within the current quadrennial programme of work, the direct allocations and costings of those activities earmarked in the regular biennial budget, and the analysis of the funding gap to be filled with extrabudgetary funds;

10. <u>Requests</u> the Director-General to present at its 199th session, the finalized SIDS Action Plan along with an Implementation Strategy;

11. <u>Further requests</u> the Director-General to present at its 201st session, a report on progress towards the further implementation of the SIDS Action Plan.

PARIS, 11 August 2015
Original: English/French

Item **5** of the provisional agenda

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

PART II

INTERSECTORAL ACTIVITIES

FOLLOW-UP OF THE SITUATION IN THE AUTONOMOUS REPUBLIC OF CRIMEA (UKRAINE)

SUMMARY

This information is presented pursuant to 196 EX/Decision 5 (II) on the follow-up by UNESCO of the situation in the Autonomous Republic of Crimea (Ukraine), in which the Director-General is requested to report to the 197th session of the Executive Board: (1) on the results of an Information Meeting to provide Member States with updates on the situation in Crimea (Ukraine) in the fields of UNESCO's competence, inviting representatives of international organizations and NGOs; (2) on latest developments in Crimea and Sebastopol (Ukraine); (3) on existing and planned actions within UNESCO's fields of competence.

To implement the Decision, in consultation with the Permanent Delegation of Ukraine, the Director-General organized an Information Meeting on 2 June, 2015, to which were invited the following organisations, given their relevance to UNESCO's fields of competence and existing partnership relations with UNESCO: the United Nations Office of the High Commissioner for Human Rights; the Office of the Commissioner for Human Rights, Council of Europe; the Representative on Freedom of the Media of the Organisation for Security and Cooperation in Europe; the International Council on Monuments and Sites; and Amnesty International (Official Partner of UNESCO with Associate Status). The Commissioner for Human Rights, Council of Europe, was not able to attend, but the Director-General drew the attention of Member States to his latest relevant report during the Information Meeting (Report by Nils Muižnieks, Council of Europe Commissioner for Human Rights following his mission to Kyiv, Moscow and Crimea, 7-12 September 2014, CommDH (2014) 19-27 October 2014). At the Information Meeting, there were presentations by: Ms Dunja Mijatović, Representative on Freedom of the Media, Organisation for Security and Cooperation in Europe; Mr Stephan Oberreit, Director of Amnesty International France; Ms Marie-Laure Lavenir, Director-General of ICOMOS; and Ms Ruth Marshall, the United Nations Office of the High Commissioner for Human Rights.

In line with 196 EX/Decision 5 (II) on the follow-up by UNESCO of the situation in the Autonomous Republic of Crimea (Ukraine), the Director-General submits to the Executive Board hereafter: (1) the interventions of the organizations made during the Information Meeting on 2 June; (2) information provided to the Secretariat on 1 July, 2015, by the Permanent Delegation of Ukraine on latest developments in the Autonomous Republic of Crimea and the city of Sevastopol (Ukraine) in UNESCO's fields of competence; (3) a review of existing and planned actions in UNESCO's fields of competence.

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

Office of the United Nations High Commissioner for Human Rights

Statement delivered by Ruth Marshall

Information meeting on the situation in the Autonomous Republic of Crimea (Ukraine), particularly in regard to culture, communication and education

2 June 2015

UNESCO, Paris

Excellencies, Colleagues,

I am honoured to deliver the following statement on behalf of the Office of the High Commissioner for Human Rights.

According to the United Nations Human Rights Monitoring Mission in Ukraine, the unusually rich ethnic, linguistic, religious and cultural diversity of the Crimean Peninsula has come under significant pressure following the change in status of the territory last year. The work of numerous media outlets has also been curtailed, and the freedom of religion and right to education have been adversely affected.

Since March 2014, the Mission has monitored human rights throughout Ukraine, including the Autonomous Republic of Crimea, with more than 30 OHCHR staff deployed to Lviv, Kharkhiv, Odesa and Donetsk. The Mission's ten published reports have consistently provided impartial information to the highest level of the United Nations, as well as to the Council of Europe, the OSCE and the European Union. Regrettably, the Mission has not been granted access by the authorities in the Autonomous Republic of Crimea, henceforth referred to as Crimea, whose status is prescribed by General Assembly resolution 68/262. Thus our staff must monitor the situation in Crimea from Odesa.

Our work has highlighted a number of human rights violations committed by the *de facto* authorities. They include unwarranted arrests and searches, torture and ill-treatment of activists who have criticised the de facto authorities and their unlawful 'referendum' last year. Many violations have targeted the Crimean Tatar minority, which has been the most outspoken in its opposition to the unfolding events. We have documented nine cases of enforced disappearances – eight Crimean Tatars and one ethnic Ukrainian – and three of these people have been found dead. No investigations of those deaths or disappearances have yielded results. Other cases have involved house searches, abusive questioning as suspects or witnesses, the imposition of fines, and job dismissals.

Numerous Crimean Tatars have been arrested on various grounds, including officials of the Mejlis, the representative body of the Crimean Tatar community. The deputy head of

the Mejlis was arrested in January, and has been detained on suspicion of organising mass riots, a charge which carries a prison sentence of four to 10 years. Several other members of the Mejlis have been charged with participation in riots and risk prison terms of three to eight years. A charitable fund for Crimean Tatars has been fined the equivalent of over US$100,000 for leasing a building to the Mejlis, and to the now-defunct Crimean Tatar newspaper Avdet, without the consent of the recently formed 'Crimean Committee for the Protection of Cultural Heritage'. Many Tatars believe that this Committee represents an attempt by the de facto authorities to divide the community.

Members of the minority Ukrainian community have also reported arrests and harassment. Recently four activists were sentenced to corrective labour after they unfurled a Ukrainian flag with the inscription "Crimea is Ukraine" during an authorized rally to commemorate a national poet. Individuals have been harassed, assaulted and even prosecuted for speaking the Tatar or Ukrainian languages in public places, and for using national symbols.

The *de facto* authorities tightly restrict the exercise of the rights to freedom of opinion and expression. There have been repeated reports over the last year regarding physical assaults, threats and intimidation against journalists. We note with concern the recent detention of journalist Tatyana Guchakova, who co-founded the BlackSeaNews website. Security forces have also sought to intimidate journalists and media who have left the peninsula for mainland Ukraine.

At least seven media in the Crimean Tatar language – including the TV channel most watched by the Crimean Tatar community, and the community's major newspaper – have been denied permission to re-register under the law of the Russian Federation. As a result, all seven have been forced to cease operating. Even when media outlets have been permitted to re-register, the imposition of Russian media legislation may impede Crimean journalists from working freely, since it contains excessively broad clauses that make it possible to criminalize conduct that is protected under international human rights law.

The freedom of conscience and religion of hundreds of thousands of people in Crimea has also been adversely affected by the situation. Dozens of representatives of religious communities have been harassed or forced to leave the peninsula. The security forces have staged numerous raids on and searches of mosques. Churches belonging to the Ukrainian Orthodox Church of the Kyiv Patriarchate have been attacked by armed individuals, without

any investigation into the incidents, and four churches have had to close. Greek-Catholic priests have also faced threats, and four have fled Crimea. The senior Roman Catholic priest in Simferopol, who is a Polish citizen, and more than 20 Turkish imams and teachers, have had to leave the peninsula following refusal to renew their residency permits.

Freedom of religion is also endangered by the requirement to re-register under Russian Federation law. Only 51 religious communities have been accorded this legal status to date, although over 1,400 communities were able to operate previously, under the law of Ukraine. Without registration, religious communities can congregate, but they cannot rent state-owned property, employ people or invite foreigners to their gatherings.

The possibility to attend school in the Ukrainian or Tatar languages is also faltering. Currently there are only two Ukrainian-language schools in Crimea: in Yalta and Simferopol. Both have switched to offering a majority of classes in Russian and the directors of both these schools have been dismissed. Security officers are also said to perform sweeps through bookshops, removing books about the culture and history of the Tatars.

In addition, this year, for the first time since 1994, the Crimean Tatars were not permitted to commemorate the May 15th anniversary of the forcible deportation in 1944 of more than 230,000 Tatars. That forcible deportation, and the Crimean Tatars' struggles to return to their homeland, are a touchstone of Crimean Tatar culture.

All persons in the Autonomous Republic of Crimea have a right to fundamental freedoms, including the freedoms of peaceful assembly and association, expression, religion and movement, the right to education, and the right to participate fully in public and political life.

The Mission has repeatedly issued recommendations to the de facto authorities regarding the deterioration of human rights in Crimea. Notably, they include an end to pressure and intimidation against political opponents and representatives of ethnic minorities and religious communities, including the multiplication of searches of private property and unwarranted use of criminal and administrative liability against them. All allegations of torture and other human rights violations by security and police forces must be investigated and prosecuted. Incidents of intimidation of religious communities and journalists, including attacks on Ukrainian Orthodox churches, Greek Catholic churches, the Muslim community,

journalists and human rights defenders must be independently, promptly and comprehensively investigated and perpetrators brought to justice.

The Office also recommends that the imposition of cumbersome re-registration requirements should be canceled, and the decision to deny licenses to Crimean Tatar media outlets – which disproportionately affects this community, and may amount to discrimination on the basis of ethnicity – should be reversed.

OSCE
The Representative on
Freedom of the Media

UNESCO Information Meeting
Situation in Autonomous Republic of Crimea

2 June 2015
UNESCO Headquarters, Paris

- In view of the current conflict in and around Ukraine, the Office of the OSCE Representative on Freedom of the Media has been closely monitoring the media freedom situation and reporting on instances of serious violations;

- The Representative visited Simferopol on 5 March 2014 and met with media associations and local journalists, some of which were victims of violence, to discuss the safety situation in Crimea

- At that time, several cases when local and foreign journalists, media outlets and media NGOs were intimidated by self-defense forces and local militia were noted;

- Since the visit the Representative repeatedly spoken out on the media freedom situation in Crimea noting that:

  - Practically all Ukrainian television channels have been switched off and replaced with channels originating from the Russian Federation in the terrestrial broadcasting;

  - Journalists and bloggers have been threatened, detained, assaulted, physically attacked, searched, banned from entry, forced to flee, interrogated and kidnapped and had their equipment confiscated or damaged;

  - The premises of at least six media outlets and media NGOs have been raided; in some cases their equipment was seized;

  - In September the national post operator Ukrposhta stopped deliveries of Ukrainian press publications to subscribers and retail outlets in Crimea;

  (The Representative's statements on the media freedom situation in Crimea are available at www.osce.org/fom/143841.)

- Crimean Tatar media has been under extensive pressure and intimidation, as well as subject to raids and detention of staff;

- From 1 April 2015 practically all Crimean Tatar media outlets, including the ATR and Lale television channels, the Meydan and Lider radio stations, QHA news agency and the newspaper Avdet, have been forced to cease their activities due to the repeated denials of registration under Russian Federation media legislation;

- On several occasions when visiting Ukraine the Representative met and held extensive talks with journalists and representatives of media organizations from the peninsula (Simferopol, Yalta, Sevastopol, Mykolaiv and Kerch) to discuss media freedom issues and seek ways to offer assistance to them;

- Representatives of Crimean media, who now live in mainland Ukraine, will take part in the Conference on Journalists' Safety, Media Freedom and Pluralism in Times of Conflict, which is organized by the Representative's Office on 15-16 June in Vienna;

- The Representative will continue to closely monitor the media freedom situation in Ukraine, including Crimea, and report on instances of serious violations;

- In consultation with the OSCE chairmanship, executive structures and other institutions, and in co-operation with other international organizations, the Representative will continue to seek ways to visit Crimea.

The OSCE Representative on Freedom of the Media is an independent OSCE institution and observes media developments in all 57 OSCE participating States. She provides early warning on violations of freedom of expression and media freedom and promotes full compliance with OSCE media freedom commitments. Learn more at www.osce.org/fom, Twitter: @OSCE_RFoM and on facebook.com/osce.rfom.

ICOMOS

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

Paris, 2 June 2015

Madam Director-General,
Ladies and gentlemen,

Thank you for giving me the opportunity to participate in these discussions and to speak, today, in the name of the International Council on Monuments and Sites (ICOMOS).

First, a few words on ICOMOS. ICOMOS is a non-governmental organization (NGO) whose mission is to promote internationally the conservation of cultural heritage, both tangible and intangible.

Its establishment in 1965 – we will celebrate ICOMOS' fiftieth anniversary in Warsaw in a few days – was the natural continuation of the first reflections shared by architects, historians and other international experts as early as the beginning of the twentieth century, which led to the adoption of the Venice Charter in 1964.

In the diversity of their different cultures and expertise, the 10,000 members of ICOMOS work indefatigably for the conservation, protection and promotion of cultural heritage throughout the world. They participate in the development of doctrine and the evolution and dissemination of ideas and knowledge. They also take action to raise awareness – a particularly important activity in the violent, destructive times we are currently experiencing.

Furthermore, ICOMOS is the advisory body of the World Heritage Committee for the implementation of the World Heritage Convention of UNESCO. As such, it examines the nominations to the World Heritage List of humanity's cultural property and monitors the state of conservation of the property inscribed thereon.

At ICOMOS' last General Assembly in Florence in November 2014, a resolution was adopted to express the concern of ICOMOS members regarding the issue of the cultural heritage in Crimea. Consequently, the ICOMOS Executive Committee was requested to ensure, in close collaboration with UNESCO, the monitoring of the situation of the cultural heritage in Crimea.

That is the context in which ICOMOS has strived, during the last few weeks, to gather information on the situation of the cultural heritage in Crimea, heritage of which I would like to emphasize the extraordinary wealth: more than 12,000 sites have been identified, half of which are archaeological sites. One site (the ancient city of Tauric Chersonese and its chora) was inscribed on the World Heritage List in 2013. Four sites are inscribed on the tentative list.

I am glad to have the opportunity to share the following information with you today, even though it is still partial and often incomplete.

A. **First, with regard to the ancient city of Tauric Chersonese and its chora, the teams working on the site communicated the following points to us:**

(1) The Tauric Chersonese National Preserve has kept its independent legal entity status.

(2) It seems that the Preserve has received registration data recorded in the land register of the 19 zones it comprises, particularly those inscribed on the World Heritage List. The enforcement of the legal provisions made to attach to the Preserve parts of the chora – rich in many archeological material but not yet integrated into the site – is under way. The technical difficulties linked to the implementation of these provisions are complicating the task, but it seems that all interested parties are committed to bringing the process to a successful conclusion.

(3) We are assured that the buffer zones defined when the nomination dossier was being drafted will be taken into account by the new Master Development Plan of the city of Sevastopol. According to our information, the matter is currently being discussed at the Department of Architecture of the Government of Sevastopol.

(4) We found out that, this year, some 15 archaeological expeditions took place at the site, most of which were led by the National Preserve teams. It was decided, in particular, to launch an underwater expedition and excavation programme in the maritime zone. This programme is headed by the Preserve's new Director, Andrei Kulagin, formerly responsible for the Department of Underwater Archaeology.

That is all the information I can give on the Preserve today, even if I must emphasize that we were not able to receive any outside confirmation. None of the international experts who had worked on the site and with whom we are in touch have been there since the celebration of its inscription on the World Heritage List in September 2013. Furthermore, the Ukrainian National Committee for ICOMOS no longer receives information concerning the site.

B. **As to all the World Heritage sites in Crimea, we received the following information from our Ukrainian National Committee:**

(1) First of all, like the national authorities, the Committee emphasizes that Ukraine has committed itself to protecting its sites of outstanding universal value, but currently is not in a position to honour that international commitment.

(2) Furthermore, the Committee has informed us of the progress of large-scale excavations that do not adhere to the international principles on archaeological heritage. It has expressed its concerns about these unauthorized excavations, which could have serious consequences for the integrity of Crimea's cultural heritage.

Thank you for your attention. I must once more emphasize ICOMOS' involvement and commitment, alongside UNESCO, concerning the matter of the cultural heritage in Crimea. We shall keep you informed of any additional information we may receive in the future.

AMNESTY INTERNATIONAL

Information meeting on Crimea

UNESCO – 2 june 2015

Stephan Oberreit – GD Amnesty International France

Excellencies, ladies and gentlemen

I would like to thank the General Director of Unesco for this invitation.

Amnesty International is deeply concerned that the occupation and subsequent annexation of Ukraine's autonomous Republic of Crimea by Russia, in February-March 2014,[1] has resulted in considerable deterioration of the situation across a number of fields of UNESCO's competence. This is most evident in the area of freedom of media, with the **curtailment of the right to freedom of expression** having been particularly striking, but the fields of culture and education have also been visibly affected.

The media in Crimea enjoyed considerably greater freedom prior to the annexation of the peninsula by Russia.[2] Today, there is notably less pluralism in the local broadcast, printed and online media. A year ago, the restrictive Russian laws and practices were promptly extended to Crimea in their entirety.[3] Their application has clearly been aggravated by the desire of the *de facto* Crimean authorities to silence dissenting voices altogether.

Senior members of the *de facto* authorities have repeatedly threatened to use sanctions against those media outlets which disseminated views and news coverage which they deemed unwelcome.[4] The Crimean Tatars have been particularly affected, though the clampdown on rights and freedoms is not limited to just their community.

Direct harassment of independent media outlets by law enforcement agencies has been widely deployed. Means of harassment included issuing official and unofficial warnings of potential criminal prosecution under Russia's anti-extremism legislation,[5] conducting home and office searches, and questioning people known for their pro-Ukrainian views.

Thus, the premises of the popular Crimean Tatar-language TV channel ATR were raided on 26 January 2015 by some 30 armed masked men from the riot police unit, as well as ten officials from the Russian Investigative Committee and the Federal Security Service. The ATR's offices were searched for several hours. Its normal broadcasting was disrupted, and its computer servers were taken away.[6]

Members of several media outlets interviewed by Amnesty International during a field mission to Crimea last February acknowledged that they were exercising considerable self-censorship in an attempt to avoid the risk of closure or legal sanctions against staff. However, such self-restrictions have not ensured their survival.

Several independent Crimean Tatar-language media outlets – including the ATR TV channel, QHA news agency, the Avdet newspaper and others – were forced to close on 1 April. This was the deadline given to them by the de facto authorities for are-registration under Russian law[7]after which their continued operation would lead to heavy fines and criminal prosecutions. They all duly submitted applications in good time, some repeatedly, but have been consistently arbitrarily refused re-registration. Some received evasively vague explanations for the refusal, while others did not hear back from the licencing authorities in time to rectify any possible omissions.

The closure of several media outlets, and the raid against the TV channel, happened against the background of criminal prosecution or forcible exile of prominent Crimean Tatar leaders. This served as a very clear warning to all dissenting voices in Crimea that persevering with attempts to exercise one's right to freedom of expression would have serious repercussions.

The exercise of other rights too, has been negatively affected in Crimea since its annexation by Russia. Thus, the right to **freedom of peaceful assembly** has been severely curtailed with regards not only to political protest but also cultural events. Public gatherings have visibly decreased.

Under Russian law, organizers of any public gatherings are obliged to obtain official permission unless they plan to hold them in a specially designated, and typically remote, location. Since the Russian annexation, such permissions have been systematically denied to Crimean Tatars who were either forced to move their traditional commemorative events from central squares to remote neighbourhoods, or in some cases been denied the opportunity to assemble altogether.

> This particularly concerned the annual public commemoration of the day of the deportation of Crimean Tatars in 1944, 18 May. In 2014, this event was only allowed in one location, on the outskirts of the Crimean capital Simferopol, against the background of heavy police presence. In 2015, the Crimean Tatars were unable to secure permission to hold any public commemoration of the date at all.

> Another day traditionally commemorated by the Crimean Tatars is 23 February, when the national hero Numan Chelibejihan is celebrated. In 2015, the Crimean Tatar Mejlis, a body elected at an informal Crimean Tatar assembly (Kurultai) that performs a representative role on behalf of the community, offered to move the celebratory event from its usual public location in Simferopol to the enclosed courtyard of the Khan Saray palace in Bakhchisaray, a town some 30 km south-west of Simferopol, but permission to hold the event was denied anyway.

Public assemblies intended to celebrate Ukrainian cultural events too, have been prevented by the de facto authorities.

> Following the death in a car accident on 2 February 2015 of the popular Ukrainian singer Andriy Kuzmenko, spontaneous commemorative public vigils were held in his honour throughout Ukraine. However, one such, entirely peaceful, gathering of about a dozen people in Sevastopol was interrupted by police. Police officers told the participants to turn off their mobile phones on which Kuzmenko's songs were being played, checked their identification documents and copied their

personal details, and told them to disperse. When the mourners tried to argue with the police, they were confronted by a group of thuggish-looking men who told them to "respect the law on police".

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

The restrictions on the exercise of the rights to freedom of expression, assembly and association have disproportionately affected other areas associated with the Ukrainian language and culture. Thus, according to the Ukrainian Human Rights Commissioner (Ombudsperson), over the past year the number of children educated in Ukrainian plummeted four times, from over 160,000 school pupils a year ago to fewer than 40,000 at present.

Prominent NGOs involved in pro-Ukrainian educational and human rights projects have chosen to cease to exist or relocate elsewhere in Ukraine. Some have done so in protest against the annexation, while others have felt compelled to do so on account of the personal threats and physical violence faced by their members.

Thus, The Center for Civil Education "Almenda", in Yalta, was a Crimean NGOs promoting human rights education and providing free legal assistance to the local residents, ceased to exist after four of its members received veiled threats and decided to leave the peninsula.

Another NGO, Ukrainian House, a group which worked to promote the Ukrainian language and culture in Crimea, was targeted by pro-Russian paramilitaries and other supporters. Its leader, Andriy Schekun, was abducted on 9 March 2014 from the train station in Simferopol by members of the so-called Crimean self-defense (pro-Russian paramilitaries), held for 11 days in a secret location, and abused with electric shocks while being interrogated on at least three occasions. On 20 March, his captors handed him over to Ukrainian military servicemen at the checkpoint in Chongar, a village across a narrow strait separating mainland Ukraine from Crimea. He has not returned to Crimea since. Another member of the group, Leonid Korzh, went missing on 25 May 2014. His colleagues Timur Shaymardanov and Seyran Zinetdinov began a search for him, and went missing too, on 26 and 30 May respectively. They are still missing, and their fate and whereabouts remain unknown.

Unless the ongoing clampdown on human rights, including freedom of expression, assembly and association in Crimea is reversed, and past violations are effectively addressed, the outlook for the people living on the peninsula – including across a number of fields of UNESCO's competence, such as media freedom, education and culture – is bleak.

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

Thank you for your attention

[1] On 26 February 2014, supporters of the new government in Kyiv and pro-Russian activists staged two opposing rallies in front of the Crimean parliament in the capital Simferopol. There were isolated clashes, which left two dead and some 30 people injured. Leaders of the opposing crowds and police prevented further escalation and negotiated departure of the demonstrators. The following night, key administrative buildings across Crimea were occupied by armed paramilitaries, and in subsequent days military installations throughout the peninsula were blocked by Russian regular military forces operating without insignia. The Crimean parliament met on 27 February and elected a new leader, Sergei Aksionov, the head of the Russian Unity movement. A "referendum" was called, in violation of the Ukrainian laws, for 16 March 2014, in which an overwhelming majority were recorded as voting favor of Crimea joining Russia. Opponents boycotted the poll as unlawful, and its results have not been recognized by the Ukrainian government and internationally. On 18 March, a "treaty" was signed in the Kremlin in Moscow on the accession to the Russian Federation of Crimea and Sevastopol (a separate administrative unit in Crimea and the home of Russia's Black Sea Fleet in accordance with a Russian-Ukrainian agreement).

[2] In Russia, the government exercises considerable control over the mainstream media which has become noticeably less pluralistic in recent years. See Amnesty International, *Violation of the Right to Freedom of Expression, Association and Assembly in Russia*, briefing, 2 October 2014 (AI Index: EUR 46/048/2014).

[3] For details on the latter, see Amnesty International, *Violation of the Right to Freedom of Expression, Association and Assembly in Russia*, briefing, 2 October 2014 (AI Index: EUR 46/048/2014).

[4] In October 2014, Yuliya Martynova, the *de facto* Deputy Minister for Internal Politics, Information and Mass Communication, urged all media outlets in Crimea to re-register in accordance with Russian legislation, by the deadline of 1 January 2015, and warned them that any "provocative" acts thereafter would result in sanctions. The *de facto* leader of Crimea, Sergei Aksionov, has on repeated occasions expressed his aversion to pro-Ukrainian media. In one of his more recent pronouncements, on 13 February 2015, in response to a question about the Crimean Tatar TV channel ATR, he described such media as "inimical in essence" and stressed that any media outlet which might "give hope to some citizens that Crimea will return to Ukraine" would "definitely not be welcome." Sergei Aksionov went on to state that this was his personal position, but the point was made.

[5] Russian legislation intended to combat "extremism" has long been used in Russia to target government critics.

[6] The search was conducted in connection with a criminal case opened into the purported "mass disturbance" events in Simferopol on 26 February 2014 (the clashes between supporters of the new government in Kyiv and pro-Russian activists in front of the Crimean parliament). The case has led to the arrest of Crimean Tatar leader Akhtem Chiygoz on spurious charges.

[7] Following Crimea's annexation by Russia, the *de facto* authorities ordered all legal entities in Crimea to re-register under relevant Russian legislation, by 1 January 2015, a deadline that was subsequently extended to 1 April 2015. The registration procedures confers a wide discretion on the registering authorities to delay or deny registration, including on minor technicalities – or sometimes purporting there are irregularities but without specifying what they are.

Постійне
представництво
України при ЮНЕСКО

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№ 2031/29-194/087-136

July 1, 2015, Paris

Dear Madam Director-General,

In response to your letter dated 11 June 2015 (Ref.: DG/15/4873) by which you requested the information on the latest developments in the Autonomous Republic of Crimea and the city of Sevastopol (Ukraine) in the fields of competence of UNESCO in accordance to the relevant Decision of the 196th session of UNESCO Executive Board, I have the honor to transmit herewith the information in question received from the Ukrainian authorities.

The Delegation would be grateful if you could include this information into the report of the Director-General to the 197th session of the Executive Board.

Ukraine stands ready to provide you with further updates on the matter once available.

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

Attachment: 13 pages.

Oleh Shamshur
Ambassador, Permanent Delegate

H.E. Mrs Irina Bokova
Director-General

UNESCO

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

The information hereafter is presented as provided by the Permanent Delegation of Ukraine in its letter to the Director-General on 01 July 2015.

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

According to 19 EX/Decision 5 (II) B of the 196th session of UNESCO Executive Board "Follow-up of the situation in the Autonomous Republic of Crimea (Ukraine)"

Occupation and subsequent annexation of Crimea by Russia led to massive and systemic violations of human rights on the Crimean peninsula, including those within the area of UNESCO's competence. This situation has been caused primarily by the forceful imposition of the active legislation of the Russian Federation on the temporarily occupied territory, and policy of intolerance and discrimination pursued by the occupying authorities on the grounds of ethnic origin, religion and political views. The most vulnerable groups are Ukrainians and Crimean Tatars. Thousands of the residents of Crimea had to leave their homes and flee to Ukrainian mainland to seek refuge and protection of persecution.

I. Media Freedom and the Safety of Journalists

The Russian authorities on the Crimean peninsula have introduced severe restrictions on the activities of the media. They have been regularly perpetrating gross violations of the rights of journalists, their harassment and illegal arrests. On the regular basis journalists have been subjected to the use of force and unlawful detention by the so-called forces of Crimean self-defense, illegal dismissals, interrogation by the Russian Federal security service (FSB) in connection with fabricated accusations of "extremism", prohibition of entry to Crimea, judicial persecution. On numerous occasions their professional equipment have been damaged or destroyed. Many Crimean journalists have been forced to cease their professional activities or flee the territory of Crimea.

Activities of paramilitary units of the so-called Crimean self-defense are used as a tool of brutal intimidation of the representatives of the media who are in opposition to the policies of the Russian occupying authorities. They go beyond mere insults and threats, practicing arbitrary detentions, beatings of "unwanted persons", including the representatives of media. Legalization of their activities through the adoption of the Russian federal law "On the national militia – people's territorial army of Republic of Crimea" only exacerbated the situation.

Independent TV and Radio Company "Chornomorska" was removed from the information field of Crimea through the seizure of its property according to the decision of Sevastopol

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Economic Court of Appeals. On 3 March 2014 transmitters and frequency owned by the broadcasting company were unlawfully transferred to the Russian TV channels. This action was followed by illegal seizure of cable network of the company on 1 July 2014. Finally, on 1 August 2014 the broadcasting of "Black Sea News" provided by the company was stopped. The management of the company had to move to Kyiv and Lviv.

On 26 January 2015 the armed security officials, including the servicemen of the Special task units ("OMON") of the Ministry of Interior of the Russian Federation conducted a search at the office of "ATR" Crimean Tatar TV channel in Simferopol. On 1 April 2015 the TV channel ATR was forced to stop operation because of several failed attempts to re-register as an official media in accordance with Russian law. Only in June 2015 this Crimean Tatar TV channel was able to surmount all the barriers set by local authorities and resume broadcasting on the peninsula.

The law-enforcement services of the Russian Federation are continuing to use the practice of obstruction of journalistic activity in Crimea. In particular, in 2014 the Crimean "Center for Investigative Journalism" recorded more than 100 cases of violations of the rights of journalists, including 38 assaults and 13 illegal detentions. First of all, this refers to the employees of the Crimean Internet channel "CrimeanOpenCh", the online media of "Center for Investigative Journalism" itself, edition "Tvoia Gazeta", the Project "Realnist", the Ukrainian channel "Gromadske TV", the Russian TV channel "Dozhd" the Polish "Gazeta Wyborcza" and so on. Subsequently, the mentioned Center was forced to terminate its activities on the territory of Crimea, which further narrowed the choice of reliable and independent information sources.

In March 2015 the FSB Investigation Committee opened a trumped-up criminal case against the journalist of the afore-mentioned "Center for Investigative Journalism" A.Andriyevska on an absurd charge of "instigating extremism". Her apartment was searched. As a result of pressure, A.Andriyevska was forced to leave Crimea for Kyiv. As part of the mentioned investigation on 13 March 2015 the editor of the online edition of the "Center for Investigative Journalism" N.Kokorina was illegally detained for six hours by the agents of the FSB under a false pretext "as a witness of the criminal actions of A.Andriyevska". Her private apartment was searched, she was not given access to legal aid during the search and detention, and no reason was given for her being detained. It is worth mentioning, that the OSCE Representative on Freedom of the Media D.Miyatovich has raised her voice in defense of N.Kokorina and of the "Center for Investigative Journalism". As D.Miyatovich stated in this connection, "The repression of free media and independent voices we witness in Crimea is nothing short of a fundamental violation of basic human rights ".

Russian security services continue to pursue the fabricated criminal charges against the Ukrainian filmmaker Oleg Sentsov, arrested on 11 May 2014 in Crimea for allegedly "plotting terrorist acts". He became one of four Ukrainian (Sentsov, Gennady Afanasyev, Alexei Chirnigo, Alexander Kolchenko) citizens being held by Russia's Federal Security

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Service that accused them of seeking "to carry out terrorist attacks against bridges, power lines, and public buildings in Simferopol, Yalta, and Sevastopol ". He is charged with the arsons of the "Russian Community of Crimea" building on 14 April 2014 and the building of the Simferopol branch of the 'United Russia' party on 18 April 2014, as well as "plotting to carry out explosions" on the Crimean Peninsula. His detention by the Russian authorities has been extended by yet another two months up to 11 July 2015.

The representatives of the foreign media find themselves under pressure from Russian law enforcement agencies and illegal militant groups as well. In particular, on 14 March 2015 in the city of Simferopol the thugs from the so-called Crimean self-defense without any explanations detained T.Kulakovski, correspondent of the Polish TV channel "Polsat News" for Russia and Ukraine.

Another serious obstacle for the activities of independent media was deliberately created by the introduction of the requirement of mandatory re-registration of the media operators on the peninsula. On 19 November 2014 the State Duma of the Russian Federation adopted in second reading the Law "On Specificities of Legal Regulation of Relations in the Media following the Accession of the Republic of Crimea to the Russian Federation and the Formation of Two New Federal Constituent Entities in the Russian Federation – the Republic of Crimea and the Federal City of Sevastopol". The mentioned law established the rules of registration of the local media, as well as conditions of issuing them with TV and radio broadcasting licenses that should have been met until 1 April 2015. On 25 November 2014 the Presidium of the State Council of the Republic of Crimea adopted Decree 222-1/14 which established the rules regulating the accreditation of journalists, media workers and news agencies of the State Council of the Republic of Crimea. The new rules set by these regulations blatantly violate the rights of media organizations that had been working in the Autonomous Republic for years.

So far, only 232 media operators, or 8% of their total number prior to annexation have been allowed "to pass" the registration procedure. This means that all the rest have to cease their activities as non-compliant with the rules of registration procedure established by the Russian authorities. The letter usually do not even explain the reason for refusals in re-registration, referring to the legislative regulations on the protection of privacy and personal data. Permissions are issued by the "Parliament" of Crimea only to journalists that have the passports of the Russian Federation. At the same time, the Russian state-owned or pro-governmental media have no problems with re-registration.

No Ukrainian newspapers or magazines are being allowed in Crimea. Under such circumstances, the spread of Ukrainian information products on the Crimean Peninsula is possible only through satellite platforms and public resources in Internet. At the same time, although formally the existing Internet network on the peninsula is not subject to official bans or limitations, its equipment is being entirely substituted by the communications facilities provided and controlled by Russia. Following the instructions of the Prime-Minister of the Russian Federation D.Medvedev to take the Internet in Crimea

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under the state control and according to the relevant Decision of the Ministry of Communications, the State Joint Stock Company "Rostelecom" has implemented a project of construction of a fiber-optic communication line along the bottom of the Kerch Strait, thus replacing the connection provided by the mainland Ukraine and creating all the technical preconditions for conducting a total control over the content of Internet communications.

II. Rights of minorities falling within UNESCO's mandate

According to the State Service for Emergency Situations of Ukraine, as of 1 June 2015 the number of Crimean residents that had to flee the peninsula and move to mainland Ukraine amounts to 20,653. According to Refat Chubarov, Chairman of the Mejlis of the Crimean Tatar People (Crimean Tatar parliament), half of these internally displaced persons are Crimean Tatars.

Thus, around 10,000 out of 300,000 of the Crimean Tatar population was forced to leave the territory of peninsula due to the repressions unleashed by the occupying authorities. They are subjected to groundless persecutions, violence and abuse, their right to freedom of religion, freedom of assembly and others are violated on a daily basis.

Since the start of the occupation of Crimea by the Russian Federation around 150 Crimean Tatars were falsely accused of committing criminal offences, at least 20 Crimean Tatars disappeared. The overwhelming majority of victims were known for their overt opposition to the occupation of Crimea. 3 of them were found dead, 8 were eventually released by undisclosed kidnappers, and the location of 9 people is still unknown. Following disappearance of one of the activists of the group "Ukrainian National Home" Timur Shaymardanov, the group's founder himself disappeared too. Later, Seyran Zynedinov, another member of the same group, who was involved in the search for both missing persons, was abducted by unknown people and forced into a car, this crime having been recorded by a video surveillance camera at a gas-filling station. There are reasons to believe that the real number of abducted Crimean Tatars is much higher.

Investigations of the abductions, forceful disappearances and torture either are not conducted by the occupation authorities or are inconclusive, proving that the authorities has no intention to solve the crimes that are politically motivated and perpetrated with their knowledge or even direct involvement.

In order to get rid of "potentially disloyal" Crimean Tatars, the Russian Federation authorities enlist them into the armed forces. In case of refusal to serve in the Russian army, they are facing criminal charges.

On 22 April 2014, Mustafa Dzhemilev, leader of the Crimean Tatar people, People's Deputy of Ukraine, while departing from Crimea, was presented with the "Act of notice of non-permission of entry into the Russian Federation" by officers of the Border Service of

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the Russian Federation (such ban is imposed on a number of other most respected Crimean Tatars public persons, including Sinaver Kadyrov, Ismet Yuksel and others). Participants of a subsequent peaceful demonstration against the ban of entry into Crimea of Mustafa Dzhemilev, which was held on 3 May 2014, were persecuted by the Russian authorities. The Crimean authorities launched an official inquiry concerning the participants in this demonstration and fraudulently charged them with border trespassing and violation of public order. Crimean Tatars who participated in this peaceful action were subjected to administrative fines.

Since the beginning of 2015 the new wave of repressions against the activists of the Crimean Tatar national movement has started.

One of the flagrant violations of the rights of Crimean Tartars by the occupation authorities in Crimea was the arrest on 29 January 2015 in Simferopol of Akhtem Chiygoz, Vice-President of the Mejlis of the Crimean Tatar people. He was falsely charged with organizing mass riots: this offence is punishable under the Penal Code of the Russian Federation by imprisonment for a term of up to ten years.

The arrest of Mr Chiygoz was preceded by a search, on 26 January 2015, of the premises of the Crimean Tatar television channel "ATR" in Simferopol and the removal of archives containing material on the large-scale rally of the representatives of the population of the peninsula (the overwhelming majority of them were Crimean Tatars) who advocated the unity of Ukraine, which took place on 26 February 2014 outside the Crimean parliament.

Since 29 January 2015 A.Chiygoz has been in detention. There are important findings that indicate that the preparation of indictments has been deliberately delayed and fair trial procedures violated in this and other similar cases. There is abounding evidence that some Crimean Tatars were pressured into testifying against the prominent Crimean Tatars leaders like A.Chiygoz.

On 27 March 2015 the Simferopol District Court sentenced Crimean Tatar activist K. Abdulaev , who was absurdly accused of using symbols of the Ukrainian national flag during the demonstrations on 9 March 2015, to 40 hours of community service.

On 18 May 2015 the Simferopol city administration prohibited the rally in commemoration of the deportation of the Crimean Tatar people that was carried out by Stalinist regime 71 years ago. Members of the Medzhlis of the Crimean Tatar People and a number of activists were summoned to the Crimean Prosecutor's Office and received warnings as to the ban on holding public events on the Deportation Day and their possible criminal and administrative responsibility in this connection.

On 29 May 2015 a criminal case has been opened in Russia against Refat Chubarov, the head of the Mejilis (Assembly) of the Crimean Tatar people. According to the "Crimean Prosecutor" Natalia Poklonskaya, R.Chubarov has been "put on the wanted list" and is facing up to five years in jail for alleged public calls "for actions aimed at violating

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Russia's territorial integrity." After Crimea's annexation by Russia in March 2014, Chubarov departed for Ukraine. Later he was falsely accused by Russia of "attempts to provoke inter-ethnic conflicts" and banned from entering Crimea for a five-year period.

On 5 June 2015 the local authorities of Simferopol did not grant a permission to the Organization of the Crimean Tatars' Youth to conduct the celebration of the Day of Crimean Tatar national flag.

On 25 June 2015 a fine had been imposed on Yunus Nemuttulaev, imam of the Dolinka village in Krasnoperekopsky District for alleged "violation of the established procedures of organization or holding of meetings, rallies, demonstrations, marches or picketing" while attending the local memorial rally on 18 May 2015 to commemorate the victims of deportation of the Crimean Tatar people.

Ukrainians dwelling in Crimea also experience severe limitations on exercise of their right to assembly and freedom of expression, as well as in their access to native culture. The most recent examples in this respect are the persecution in court of the participants of events honoring 201th anniversary of the birth of Taras Shevchenko (Ukrainian national poet) on 9 March 2015, and a ban on the commemorative events in honor of contemporary Ukrainian singer and composer A.Kuzmenko «Scriabin».

III. Freedom of conscience and religion

Occupation of Crimea by the Russian Federation led to emergence of the pattern and practice of violations of freedom of religion. They include the intimidation of clergy, discrimination, destruction of property of religious communities, imposition by the occupying power of alternative religious groups and introduction of new religious authorities to upset the existing balance of interconfessional relations, bureaucratic delays and obstacles. Those actions violate the right to freedom of thought, conscience and religion, stipulated in Article 18 of the International Covenant on Civil and Political Rights adopted by the General Assembly of the United Nations on 19 December 1966.

At present one of the major obstacles for further existence of the religious communities is the requirement of their re-registration under the terms of the Russian legislation. Before the annexation there were around 2,000 religious communities in Crimea, 1,400 of which were officially registered. As of June 2015, only 150 parishes applied for re-registration, and only around a dozen of them were able to complete the process. According to the religious communities, during this process virtually unsurmountable problems arise from the huge amount of information that must be submitted in written form, as well as from the cumbersome procedures of submission of the data. In particular, it is being required to describe and explain the essence of religion, its attitude to the family, gay marriage, divorce and even the state. Moreover, the federal legislation of Russia which is being unlawfully applied to the religious communities in Crimea requires that in order to have a religious organization re-registered on the peninsula its official founders must have

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Russian citizenship.

A number of measures undertaken by the so-called Crimean government (searches of mosques and other places of worship, educational institutions of _Muslims_, search for "banned", "extremist" Islamic literature, the creation of the Tauride Muftiate as an alternative Spiritual Administration of Crimean Muslims, etc.) lead to an aggravation of the situation of the Muslim religious community.

On 13 June 2014 an arson was attempted at the "Chukurcha-Dzhami' mosque in Simferopol, with Nazi symbol painted on the fence near it. On 24 June 2014 officers of the FSB conducted an illegal search in the madrassas in the village of Kolchugine, and in the home of the madrassa's Deputy Director. In September, 2014 a number of mosques were searched for "drugs, weapons or extremist materials". On 17 September 2014 the Simferopol Borchokrak Dzhamisi mosque was searched. On 22 September 2014 the "Derekoy" mosque in Yalta was being searched for seven hours. FSB officers summoned for interrogation a teacher from Turkey who worked at the mosque. In the night of 12 November 2014 unknown persons attempted to set fire to the mosque in the village Sonyachna Dolyna, Sudak region.

The priests of the _Ukrainian Orthodox Church of the Kyiv Patriarchate_ (UOC KP) are under constant pressure from the Russian FSB and local authorities.

In order to intimidate Clement, the Archbishop of the Simferopol and Crimea parish of the UOC KP, his country residence was set on fire.

In Sevastopol, Krasnoperekopsky, Kerch and the Perevalnoye village the churches of Kyiv Patriarchate were closed.

The Church of St.Clement Martyr of Rome in Sevastopol was illegally seized by the militants of the so-called Crimean self-defense.

On 1 June 2015 the group of armed persons wearing the uniforms of Russian Cossacks seized by force the building of the St. Mary Church of the UOC KP (Perevalne village, Simferopol district) and severely damaged its interior and equipment. They did not allow the dean and the parish to conduct a service. During the capture of the church these persons have injured the dean, his daughter who is suffering from cerebral palsy, and his pregnant wife as the dean's family had been trying to prevent the seizure of church.

This June the Archbishop Clement has filed the petition with the UN Secretary General, the OSCE Chairman-in-Office, as well as the heads of States-parties to the Budapest Memorandum. He has informed them of a seizure of the premises belonging to the Crimean diocese of the Ukrainian Orthodox Church of the Kiev Patriarchate in Simferopol. In his address, Archbishop Clement also accused the Crimean authorities of the attack on the Ukrainian Churches, Ukrainian education and culture. He finds unacceptable the prosecution of the Crimean people on the grounds of their religion, as

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well as prosecution of Crimean Ukrainians who remain citizens of Ukraine and are the bearers of the Ukrainian language and Ukrainian culture. Archbishop called for a decisive action in order to protect the basic principles of human rights and freedoms in Crimea.

Since March 2014 the priests of the Crimean Exarchate of the *Ukrainian Greek Catholic Church (UGCC)* had been constantly receiving numerous verbal and written threats and demands to leave Crimea. UGCC priests of Crimea evacuated their wives and children to the Ukrainian mainland, and then returned to the parishes to support the faithful in the times of crisis and moral and physical danger. During that time their apartments had been attacked many times, the attackers were leaving notes or inscriptions on the walls, like "Get out, Vatican spies."

On 15 March 2014 during religious service in the church of Assumption of the Blessed Virgin (Sevastopol) six armed men abducted Father Mykola Kvych, priest of the local community. At the time of abduction a note in his dwelling has been left, stating that abduction was "a warning to all the agents of the Vatican" in Crimea. The assault on the church was accompanied by the destruction of the church property, unlawful search and violent actions against the priest personally. Subsequently, the priest had to leave Crimea.

In the city of Yalta the Russian FSB threatened the head of the Greek Catholic community with criminal proceedings for alleged terrorist activities.

As a result of a tremendous and constant pressure, by the end of March 2014 all Greek Catholic priests were forced to leave the temporarily occupied territory of Crimea. As the clergy representatives say nowadays, their Church on the peninsula has been driven underground, just like in the Soviet times.

The priests of the *Roman Catholic Church in Ukraine (RCCU)* in Crimea have been subjected to the same type of persecutions and intimidation.

IV. The Right to Education

Before the annexation, Crimean education system included 7 schools providing instruction in Ukrainian, 165 schools offering tuition in Ukrainian and in Russian, 1 school with Ukrainian and Crimean Tatar languages of instruction and 333 schools that provided education only in Russian.

The situation has changed to the worse since the occupation of Crimea by Russia. While prior to annexation 8,2% of the Crimean children were taught in Ukrainian, during 2014/2015 academic year the number of students who studied in Ukrainian decreased by the factor of 7- to 1,2%. In Yalta, which is one of the most populated cities in Crimea, one school remained out of 7 schools with instruction in Ukrainian. Ukrainian schools in the town of Schelkino and the city of Kerch were closed. Only 4 schools with tuition in Ukrainian are being allowed to operate in Crimea.

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The number of schools forms with instruction in Ukrainian is being reduced. For example, only 9 Ukrainian-language forms were left for teaching in Ukrainian in the single Crimean Ukrainian school-gymnasium of Simferopol (compared to 33 Russian-language classes started there during the last academic year).

As for the share of Crimean Tatar children who have access to teaching in their native language in the total number of Crimean Tatar children of the school age, it remains very low (15-20% at different levels of education) and lags far behind their real needs.

According to the self-proclaimed Crimean authorities the new school curriculum envisages only one or two hours for studying the Crimean Tatar or the Ukrainian language.

The closure of the Ukrainian Philology Faculty of the Taurida National V. I. Vernadsky University has resulted in a sharp decrease in the number of teachers of Ukrainian language and literature and their requalification into teachers of Russian language and literature under the threat of losing a job. In accordance with the order the "Ministry of Education of the Republic of Crimea" No. 132 of 29 August 2014, 276 teachers of Ukrainian language and literature have been sent for retraining in the subject «Philology, Russian Language and Literature» for 10 months (the Directive of the Crimean Republican Institute for Postgraduate Pedagogical Education (CRIPPE) No.8 «On Enrollment» dated 1 September 2014). History of Ukraine and Ukrainian Literature disappeared from the list of subjects in educational establishments of the Crimean Peninsula.

In compliance with the recommendations of the CRIPPE concerning the educational process at schools with «the native (non-Russian) language of teaching», the number of hours for the study of Ukrainian is less than half as provided for the study of Russian. As for the high school establishments, the education in Ukrainian and Crimean Tatar languages is prohibited by law imposed by the occupying authorities.

The Ministry of Education and Science of Ukraine issued regulatory acts that simplify the system of transferring of citizens residing in the temporarily occupied territory of Ukraine to the universities in the Ukrainian mainland, and provide the opportunity to receive nationally recognized certificate. Additionally, as of end of June, 2015 over two thousand pupils from the Autonomous Republic of Crimea were enrolled to the higher educational establishments of Ukraine outside Crimea. At the same time, carrying out of this policies requires substantial efforts and funding, thus negatively affecting the development of other important educational projects.

The most outrageous example of what is really happening in Crimea in the sphere of education is recent information on a new form of a violent repression against education in Ukrainian and Crimean Tatar languages: the new books in these languages are not being published, while previously published books are being written off libraries' registers and destroyed, sometimes by burning. Russian authorities are doing their utmost to impose the Russian language as the only one spoken and written language in Crimea, denying to the

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children and students of non-Russian ethnic origin free access to their native cultural heritage.

V. Science

Due to annexation of Crimea Ukraine has been robbed of several unique science centers situated on the peninsula. Among them are the world-renowned Marine Hydrophysical Insitute (MHI), the A.O.Kovalevsky Institute of Biology of the Southern Seas (IBSS) and Black Sea Center for Underwater Research (all three in Sevastopol).

The first two institutes had over 150 scientists each working locally in the research facilities; they disposed of 2 research vessels each, as well as of laboratories, training courses and libraries with over a 100.000 items each, including the printed editions of the late XVIIIth and early XIXth centuries.

All three were active participants of UNESCO programs and conference activities. The Marine Hydrophysical Institute has been a part of the Black Sea Regional Program in Marine Sciences and Services and of the Global Oceanographic Data Archaeology and Rescue Project, both within the framework of the Intergovernmental Oceanographic Committee. This April the delegation of the Black Sea Center for Underwater Research took an active part in the 5th session of the Convention on the Protection of Underwater Cultural Heritage. However, for over a year this Center was conducting evacuation of the scientists and facilities from Crimea to the city of Mykolaiv and restarting their activities anew. The situation with A.O.Kovalevsky Institute of Biology of the Southern Seas is much worse. The facilities of the Institute have not been transferred to the continental part of Ukraine, and only a few members of personnel including its Director V.Yeremeev were able to move to Kiev without any research papers or equipment necessary for further scientific work. This, in particular, prevented V.Yeremeev from participation in the 28th Assembly of the Intergovernmental Oceanographic Commission (IOC) this June, although he remains the official representative of Ukraine in its Executive Council, and throughout the last ten years has been actively taking part in IOC activities.

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

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VI. Sports

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

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

VII. Cultural Heritage

In accordance with Article 15 of the Law of Ukraine "On Museums and Museum Affairs", the Museum Fund of Ukraine is a national treasure and the integral part of cultural heritage of Ukraine protected by law.

According to the State Statistics Committee as of 1 January 2014: in Crimea there were 35 museums with 928,177 museum exhibits belonging to the State Museum Fund of Ukraine; in Sevastopol there were 5 museums with 322,406 museum exhibits belonging to the State Museum Fund of Ukraine.

In accordance with Part 7 of the Law of Ukraine "On Ensuring Protection of the Rights and Freedoms of Citizens and Legal Regime on the Temporarily Occupied Territory of Ukraine" the responsibility for protection of cultural heritage rests on the Russian Federation as the occupying state by norms and principles of international law.

Currently the Ministry of Culture of Ukraine has no possibility to contact and oversee activities of the cultural institutions, located on the temporarily occupied territory of the Autonomous Republic of Crimea and the city of Sevastopol (Ukraine).

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Ukrainian State can exercise control over the movement of people and material objects from the temporarily occupied territory only on land. It is unable to control their movement across the Kerch Strait and the Black Sea. This could result in museums objects being shipped away by the Russian Black Sea fleet or other means.

In June 2014 the Agreement on Scientific and Cultural Cooperation was signed between the Hermitage Museum (Saint-Petersburg, Russian Federation) and the museum-reserves of Crimea. Taking into account the lack of information on the content of these agreements, the objects of cultural value could be moved from the Crimean museums to the Hermitage Museum under pretext of realization of «exhibition projects», «expert analysis», «restoration» or they can be even transferred for permanent storage. This practice can deprive Ukraine of priceless museum collections, which are the part of national cultural heritage of people of Ukraine.

As we have informed UNESCO before, on the 27th of January 2015 the State Duma of the Russian Federation adopted the Law "On Special Legal Regulation of Relations in the Culture and Tourism Sectors following the Accession of the Republic of Crimea to the Russian Federation and the Creation of New Constituent Entities within the Russian Federation – the Republic of Crimea and the Federal City of Sevastopol".

In accordance with Article 2 of the Law, within one year from the date of entry into force of the document, the cultural heritage, located on the temporarily occupied territory on the date of admission of the Republic of Crimea and Sevastopol to the Russian Federation (including the newly discovered cultural heritage) can be classified as cultural heritage sites of the federal importance with further registration in accordance with the Federal Law №73-FZ of 25.06.2002 "On sites of cultural heritage (monuments of history and culture) of people of the Russian Federation".

In accordance with Article 6 of the mentioned Law, the museum exhibits and museum collections are considered as included in the state part of the Museum Fund of the Russian Federation. The museum exhibits and museum collections of other museums on the temporarily occupied territory are integrated in the non-state part of the Museum Fund of the Russian Federation.

This decision of the State Duma ignored the international law in the sphere of protection of cultural property, in particular the Convention on the Means of Prohibiting and Preventing the Illicit Import, Export and Transfer of Ownership of Cultural Property, adopted in Paris on 14 November 1970 (ratified by the USSR 28 April 1988). In particular, the cultural property ownership transfer being a direct or indirect result of occupation by a foreign state is considered illegal and void (Article 11).

The adoption of the mentioned law threatens the integrity of the Museum Fund of Ukraine, which includes as its integral part the museum collections situated on the temporarily occupied territory of the Autonomous Republic of Crimea.

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This list of violations of basic human rights on the Crimean peninsula within the spheres of UNESCO's competence is definitely incomplete. The reason for this is the lack of permanent independent monitoring of the situation on the ground. The Russian Federation has established real ban on obtaining independent, verifiable information from Crimea and the city of Sevastopol (Ukraine).

This is why it is so important to make the best use of all available sources of such information, including reports of intergovernmental and non-governmental bodies engaged into collection of information concerning the developments in Crimea falling within UNESCO's mandate. At the same time, it is also necessary to fully engage the existing framework of UNESCO's bodies responsible for the monitoring of the implementation of the relevant conventions and recommendations.

According to preliminary information, the Council of Europe Commissioner for Human Rights Nils Muižnieks, who until now remains one of the few heads of fact-finding missions that was able to collect the data directly in the field in Crimea last year (his relevant report was published on 27 October 2014), is planning a follow-up visit to the annexed peninsula early this fall if situation permits. If this happens, UNESCO could invite him to collect updated information within the spheres of competence of Organization.

Existing / Planned Actions relating to the Autonomous Republic of Crimea (Ukraine)

1. This report is part of the implementation of the Decision adopted by Member States at the 196th session of the UNESCO Executive Board on "Follow up of the Situation in the Autonomous Republic of Crimea (Ukraine)." In all of its actions, UNESCO has been guided by the United Nations General Assembly Resolution of 27 March, 2014, on "Territorial Integrity of Ukraine," which "affirms its commitment to the sovereignty, political independence, unity and territorial integrity of Ukraine within its internationally recognized borders."

2. Under Major Programme I, the following schools and institutions are part of the UNESCO Associated Schools Network (ASPnet): Gymnasium No. 9 of Simferopol City Council, Simferopol, Autonomous Republic of Crimea (Ukraine); Secondary school of I-III Degrees No. 14, Simferopol, Autonomous Republic of Crimea (Ukraine); Alexander Pushkin Secondary School, Gurzuf, Autonomous Republic of Crimea (Ukraine); and Sevastopol Liceum No.1, Sevastopol, Autonomous Republic of Crimea (Ukraine). Part of the ASPnet, these schools and institutions work to translate UNESCO's ideals into concrete action, in support of international understanding, peace, intercultural dialogue, sustainable development and quality education in practice. As such, these schools and institutions are included on the ASPnet mailing list and information-sharing tools and have been invited to take part in the ASPnet in Action online collaborative spaces, such as "Learning and Exchanging about Biodiversity" and "Global Citizens Connected for Sustainable Development." The Education Sector has not received recent activity reports through the National Coordinator from these schools and institutions.

3. Under Major Programme II, the International Geoscience Programme has one existing project relating to the Autonomous Republic of Crimea (Ukraine). Entitled "From the Caspian to the Mediterranean: Environmental Change and Human Response during the Quaternary" (active since 2013, and running to end in 2017), the project seeks to provide cross-disciplinary and cross-regional correlation of geological, archaeological, environmental, and anthropological records, in order to explore interrelationships between environmental change and human adaptation during the Quaternary, to create a networking and capacity-building structure to develop new interdisciplinary research initiatives, and to provide guidance to heritage professionals, policy makers, and the wider public on the relevance of studying the Caspian-Black Sea-Mediterranean Corridor, for a deeper understanding of Eurasian history, environmental changes and their likely future impacts on humans. Several Ukrainian partners have been involved in this project, led by the Department of Physical and Marine Geology at the Odessa I. I. Mechnikov National University, which had been considering holding a Plenary Conference for the project in 2016 in Sevastopol (Ukraine).

4. Under Major Programme III, the International Children Centre (ARTEK), located in Gurzuf, the Autonomous Republic of Crimea (Ukraine) became a Category 2 Centre under the auspices of UNESCO in July 2007. The objective of the Centre was to promote learning to live together, tolerance, understanding and knowledge about different peoples, cultures, customs and traditions among young people through artistic education and creativity. The agreement with UNESCO came to an end in July 2013 and may be renewed in conformity with the Integrated Comprehensive Strategy for Category 2 Centres.

5. Under Major Programme IV, there is one World Heritage property -- "Ancient City of Tauric Chersonese and its Chora" –- situated in the Autonomous Republic of Crimea (Ukraine), inscribed on the World Heritage List in 2013. The World Heritage Centre continues to monitor, to the extent possible, the state of conservation of the property, which is not reported by UNESCO's partners, NGOs or other concerned intergovernmental organizations, including ICOMOS and ICCROM, as facing threats to its outstanding universal value. No State of Conservation report for the World Heritage property was presented to the last World Heritage Committee. In addition, there are four sites inscribed in the World Heritage Tentative List of Ukraine that are situated in the Autonomous Republic of Crimea (Ukraine): the Bagçesaray Palace of the Crimean Khans (2003); the Trading Posts and Fortifications on Genoese Trade Routes, From the Mediterranean to the Black Sea (2010); the Cultural Landscape of "Cave Towns" of the Crimean Gothia (2012); and the historical surroundings of Crimean Khans' capital in Bakhchysarai (2012). No specific information has been received by the World Heritage Committee about possible threats relating to these sites.

With regard to cultural heritage in general, no information has been received by the relevant Ukrainian authorities or specialized NGOs with which the Secretariat cooperates to monitor the situation, that indicate that cultural property in Crimea (Ukraine) has suffered damage or destruction, or that actions contravening the provisions of the 1954 Hague Convention for the protection of Cultural Property in the Event of Armed Conflict and its two (1954 and 1999) protocols have been undertaken.

The situation in this regard continues to be monitored by the Secretariat in cooperation with its partners, in particular the International Committee of the Blue Shield, which brings together the international networks of ICOM, ICOMOS, the International Council on Archives and the International Federation of Library Associations and Institutions, and the Ukrainian authorities.

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

Concerning the protection of underwater cultural heritage, the first Underwater Archaeology Centre for the Black Sea Region was inaugurated in June 2013 with the support of UNESCO, along with the first Ukrainian museum related to underwater cultural heritage, in Feodosya, Crimea (Ukraine). During the 5th session of the Meeting of States Parties to the 2001 UNESCO Convention held in Paris in April 2015, the Ukrainian Delegation informed that the Underwater Archaeology Centre for the Black Sea Region was being re-established in Nikolayev (Ukraine).

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

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

Item **5** of the provisional agenda

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

PART II

INTERSECTORAL ACTIVITIES

ADDENDUM

**FOLLOW-UP OF THE SITUATION
IN THE AUTONOMOUS REPUBLIC OF CRIMEA (UKRAINE)**

SUMMARY

This document constitutes an Addendum to document 197 EX/5 Part II on "Follow-Up of the Situation in the Autonomous Republic of Crimea (Ukraine)" pursuant to 196 EX/Decision 5 (II).

The present Addendum provides complementary information that was transmitted to the Secretariat on 10 August, including a letter from the Permanent Delegation of Ukraine, dated 7 August, 2015, and a "Comment of the Ministry of Foreign Affairs of Ukraine Spokesperson on Russian Attempts to appropriate objects of Ukrainian Cultural Heritage," issued on 3 August, 2015

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

**Постійне
представництво
України при ЮНЕСКО**

**Délégation permanente de
l'Ukraine auprès de
l'UNESCO**

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№ 2031/29-194/087-

7 August 2015, Paris

Dear Madam Director-General,

In response to your letter dated 11 June 2015 (Ref.: DG/15/4873) by which you requested the information on the latest developments in the Autonomous Republic of Crimea and the city of Sevastopol (Ukraine) in the fields of competence of UNESCO in accordance to the relevant Decision of the 196th session of UNESCO Executive Board, and as a follow-up of the information in question received from the Ukrainian authorities transmitted to you on 1 July 2015, please find enclosed the Comment of the MFA of Ukraine Spokesperson on Russian attempts to appropriate objects of Ukrainian Cultural Heritage of 3 August 2015.

Given the importance of this information, the Permanent Delegation of Ukraine would be grateful for the urgent relevant comment by UNESCO and its inclusion into the database of the report of the Director-General to the 197th session of the Executive Board.

Ukraine stands ready to provide you with further updates on the situation in the Autonomous Republic of Crimea and the city of Sevastopol (Ukraine) in the fields of competence of UNESCO once available.

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

Attachment: 1 page.

**Oleh Shamshur
Ambassador, Permanent Delegate**

**H.E. Mrs Irina Bokova
Director-General**

UNESCO

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Comment of the MFA of Ukraine Spokesperson on Russian attempts to appropriate objects of Ukrainian Cultural Heritage

03 August, 19:33

The decision of the Russian leadership to include territory and monuments of the National Reserve "Chersonesus" to the Unified register of cultural heritage of the Russian Federation peoples is the evidence of ignorance towards the principles and norms of international law from the Russian side.

In the context of temporary occupation of Autonomous Republic of Crimea and Sevastopol by Russia this decisions cannot be considered in any other way than attempting to appropriate the cultural heritage of Ukraine. It should be recalled that UNESCO included the Ukrainian object "Chersonesus ancient town and its Chora (Sevastopol, Crimea)" to the World Heritage List in June 2013. It is protected by this international organization.

An attempt of Russian invaders to claim Ukrainian object of cultural heritage, which is of universal importance, as their own cannot change anything for the entire civilized world – "Chersonesus ancient town and its Chora" remains Ukrainian contribution to the treasury of UNESCO world heritage. However, the irresponsible actions of the Russian occupation authorities are endangering the existence of "Chersonesus" as an integral historical and architectural complex.

Item **5** of the provisional agenda

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

PART II

INTERSECTORAL ACTIVITIES

ADDENDUM 2

FOLLOW-UP OF THE SITUATION IN THE AUTONOMOUS REPUBLIC OF CRIMEA (UKRAINE)

SUMMARY

Pursuant to 196 EX/Decision 5 (II) on the follow-up by UNESCO of the situation in the Autonomous Republic of Crimea (Ukraine), the Director-General submits to the consideration of the Executive Board the present document containing additional information provided by letter of the Ambassador and Permanent Delegate of Ukraine, on 28 September 2015 accompanied by the Executive Summary of the Report of the Human Rights Assessment Mission on Crimea of the Organisation for Security and Cooperation in Europe, 6-18 July 2015 (published on 17 September, 2015).

Постійне представництво України при ЮНЕСКО		**Délégation permanente de l'Ukraine auprès de l'UNESCO**

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№ 2031/29-194/087-*184*

28 September 2015, Paris

Dear Madam Director-General,

In response to your letter dated 11 June 2015 (Ref.: DG/15/4873) by which you requested the information on the latest developments in the Autonomous Republic of Crimea and the city of Sevastopol (Ukraine) in the fields of competence of UNESCO in accordance to the relevant Decision of the 196th session of UNESCO Executive Board, and as a follow-up of the information in question received from the Ukrainian authorities transmitted to you on 1 July 2015 as well as its addendum of 7 August 2015, please find enclosed the Executive Summary of the **Report of the Human Rights Assessment Mission on Crimea** (6–18 July 2015) organized jointly by OSCE Office for Democratic Institutions and Human Rights & High Commissioner on National Minorities. The complete version of the mentioned Report could be found at http://www.osce.org/odihr/180596

Taking into consideration that this document contains the important updates on the situation in the Autonomous Republic of Crimea and the city of Sevastopol (Ukraine) in the spheres falling under the UNESCO's mandate, the Permanent Delegation of Ukraine would be grateful for the incorporation of the relevant information included in the mentioned Report into the database of the report of the Director-General to the 197th session of the Executive Board.

Ukraine stands ready to provide you with further updates on the situation in the Autonomous Republic of Crimea and the city of Sevastopol (Ukraine) in the fields of competence of UNESCO once available.

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

Attachment: 5 pages.

Oleh Shamshur
Ambassador, Permanent Delegate

H.E. Mrs Irina Bokova
Director-General

UNESCO

ORGANIZATION FOR SECURITY AND CO-OPERATION IN EUROPE
Office for Democratic Institutions and Human Rights
&
High Commissioner on National Minorities

Report of the Human Rights Assessment Mission on Crimea (6–18 July 2015)
Published on 17 September 2015

Executive Summary

1. Following an invitation by the Government of Ukraine on 15 June 2015, the OSCE Office for Democratic Institutions and Human Rights (ODIHR) and the OSCE High Commissioner on National Minorities (HCNM) conducted a joint Human Rights Assessment Mission (HRAM) on Crimea from 6 to 18 July 2015.

2. The HRAM evaluated the current human rights situation in Crimea, including the situation of minority groups, as impacted by developments since the release of the previous ODIHR/HCNM report (1) on Ukraine in May 2014, soon after the occupation and annexation of Crimea by the Russian Federation.(2)

3. Notably, the most critical human rights problems in Crimea today are largely congruent with the concerns and negative trends identified in that previous assessment, which ODIHR and HCNM then called upon *de facto* authorities in Crimea to address.(3)

4. Despite their clear mandates to monitor the human rights situation in Crimea, the institutions and independent experts of the OSCE, the United Nations and the Council of Europe have all had their access to the Crimean peninsula either fully or partially restricted since the annexation. The *de facto* authorities in Crimea did not respond to requests to facilitate access to Crimea for the HRAM(4), for which reason the HRAM primarily conducted fact-finding and research in the territory of mainland Ukraine, as well as through remote interviews with relevant contacts in Crimea and elsewhere.

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1 OSCE-ODIHR/HCNM, Report of the Human Rights Assessment Mission to Ukraine (The Hague/Warsaw: 12 May 2014), available at: http://www.osce.org/odihr/118476.

2 Note on terminology: for the purposes of this report, "occupation" refers to the exercising of control over Crimea by Russian Federation forces since late February 2014 (*see* note 15 below); whereas "annexation" refers to the Russian Federation's integration of Crimean institutions into the Russian Federation under the imposition of its domestic legal framework, beginning on 21 March 2014 (*see* note 17 below). With regard to the status of Crimea, *see also*, United Nations (UN) General Assembly Resolution No. 68/262 on the "Territorial integrity of Ukraine" (UN Doc. A/RES/68/262; adopted 27 March 2014).

3 In their 2014 joint report (note 1 above), ODIHR and HCNM issued the following recommendations to de facto authorities in Crimea, *inter alia*: (i) to apply the principle that the change in authorities exercising effective control over Crimea should not have regressive effects on the enjoyment of rights, with particular attention to the principle of non-discrimination; (ii) to guarantee that all individuals permanently residing in Crimea, including both Russian and Ukrainian citizens, retain all their rights, including permanent residency status, employment rights, property and land rights, without discrimination by authorities or private actors; (iii) to protect participants of public assemblies from attacks, harassment or intimidation; (iv) to protect journalists and activists from attacks, threats, harassment and intimidation so that they can carry out their activities freely and without fear; (v) to protect all persons from arbitrary or unlawful detentions, mistreatment or torture in detention; (vi) to respect in full all fair-trial and due-process rights of persons detained under the law; (vii) to exercise due diligence in the investigation, prosecution and punishment of human rights violations, particularly against activists, journalists, and vulnerable or minority groups; (viii) to promptly disband "selfdefence" groups and any other groups *de facto* exercising the functions of law-enforcement agents.

4 Letter from the Director of ODIHR to Mr. Sergey Aksyonov (dated 2 April 2015). On 11 June 2015, the Records Management Department of the Crimean Ministers Council confirmed receipt of the letter (upon request), which it informed ODIHR had been reviewed by Mr. Aksyonov and forwarded to Ms. Lyudmila Lubina, the Crimean Human Rights Commissioner, under Document No. 6158/01-01 (dated 08 April 2015).

5. Through extensive meetings and interviews with over 100 civil society actors, Ukrainian authorities, internally displaced persons and cross-boundary travellers, the HRAM received numerous credible, consistent and compelling accounts of human rights violations and legal irregularities in Crimea – some of them of a serious nature. The allegations documented and trends established by the HRAM demand urgently to be addressed by Crimean *de facto* authorities, and underscore the need for systematic independent monitoring of the human rights situation in Crimea by impartial international bodies.

6. As a result of the annexation, the changes in government and the legal framework being applied in Crimea have dramatically impacted the enjoyment of the full spectrum of human rights and fundamental freedoms by residents there, particularly of those residents who were opposed to the annexation, were

unable to reject forced Russian citizenship, and/or did not seek to acquire Russian passports.

7. Fundamental freedoms of assembly, association, movement, expression and access to information have all been restricted in some fashion – whether through formal measures, or through the sporadic targeting of individuals or communities representing opposing views, voices or socio-political structures.

8. Re-registration requirements by the Russian Federation for non-governmental organizations (NGOs), media outlets, and religious organizations have reportedly been leveraged against those opposed to Russian rule, significantly restricting freedom of association, constricting the space for civil society, and

decimating the number of independent voices in the media landscape.

9. Through the justice system, the *de facto* authorities in Crimea have applied vague charges of extremism" and "separatism" under criminal law of the Russian Federation to a wide variety of assemblies, speech and activities – in some cases retroactively to events prior to annexation and/or outside of Crimea in mainland Ukraine. Based on interviews with those targeted and primary

documentation reviewed by the HRAM, numerous such criminal warnings, investigations and prosecutions appeared to be politically motivated – directed at pro-Ukrainian activists, journalists and minority community members – without due process guarantees for the accused, and without effective remedies for alleged procedural violations.

10. In contrast, there appear to have been neither proactive investigations nor any prosecutions of pro-Russian "self-defence" groups accused of committing serious human rights abuses at the start of and since the occupation of Crimea. Those alleged abuses included disappearances, extrajudicial killings, torture and ill-treatment, as documented by ODIHR and HCNM in their 2014 joint HRAM report. (5) Since then, "self-defence" groups have reportedly continued to intimidate, harass, detain and seize the properties of Crimean residents – particularly those suspected of opposing Russian rule – without an adequate legal basis.

11. In terms of accountability, the European Court of Human Rights has extended the Russian Federation's deadline until 25 September 2015 to submit its observations on the admissibility of two inter-State applications lodged against it by Ukraine – including in

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5 *See* 2014 joint report of ODIHR/HCNM (note 1 above), paras. 88, 109 *et seq.*

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relation to forced citizenship, discrimination, property rights, the right to private life, and the prohibition against torture and ill-treatment.(6). During that extended response period, the Constitutional Court of the Russian Federation issued a concerning ruling on 14 July 2015 that the government would not be required to implement judgments of the European Court of Human Rights if they contravened the Russian Constitution(7). Apparently conflicting with the Russian Federation's obligations under international treaty law (8) , such a decision could further undermine the right to an effective remedy for claimants, and the execution of judgments by the European Court in future claims, including in the dozens of individual cases that have already been submitted to the Court in relation to recent events in Crimea.

12. In the realm of economic, social and cultural rights, the imposition of Russian Federation citizenship and laws on residents of Crimea has caused problems for those Ukrainian citizens who have not sought Russian passports (despite having Russian citizenship nominally imposed upon them). Without Russian passports, residents face obstacles in every aspect of their lives, including: re-registering and/or selling private properties and businesses; gaining or retaining employment; and accessing education, health care, or other social services.

Language studies and native-language education in the Ukrainian and Crimean Tatar languages have also reportedly been reduced in schools and universities throughout Crimea, to the detriment of those communities' enjoyment of their cultural and language rights.

13. In the penitentiary system, more than 2,000 convicts imprisoned in Crimea at the time of annexation reportedly were unable to opt out of mandatory Russian citizenship, did not benefit from Ukrainian-ordered amnesties and conditional releases in 2014, and are potentially subject to transfer to penal colonies in mainland Russia, as has reportedly transpired in some cases. Injecting drug users and persons living with HIV/AIDS in the pre-trial detention facility and three penal colonies in Crimea have also reportedly lacked necessary medical care.

14. Exacerbating the legal and practical problems enumerated above are the existence of dual and parallel citizenship records, civil registries, cadastral records, pension systems, and justice systems exercising jurisdiction over the same persons and properties. As neither Russia nor Ukraine recognizes official documentation issued by the other in relation to Crimea, residents are caught between two overlapping and conflicting legal and regulatory systems. In order to navigate these complexities, many Crimean residents keep both Russian and Ukrainian passports, despite both countries not recognizing those residents' dual citizenship of the other (9).

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6 Registrar of the European Court of Human Rights, Press release, "European Court of Human Rights extends time allowed for Russia's observations on admissibility of cases concerning Crimea and Eastern Ukraine", Doc. No. ECHR 122 (2015), issued on 13 April 2015.

7 See the Russian Constitutional Court's statement on the ruling, available at:
http://www.ksrf.ru/ru/News/Pages/ViewItem.aspx?ParamId=3244.

8 Article 27 of the Vienna Convention on the Law of Treaties (1969) provides: "A party may not invoke the provisions of its internal law as justification for its failure to perform a treaty."

9 See Law of Ukraine No. 1207-VII "On legal guarantees of the rights and freedoms of citizens in the temporarily occupied territory of Ukraine", Article 5(4); and Federal Law No. 62-FZ "On Russian Federation Citizenship", Article 6(1); and Constitution of the Russian Federation, Article 62.

15. The HRAM received numerous accounts of Crimean residents and displaced persons who were unable to: sell their properties or businesses; acquire Ukrainian birth certificates for newly born children; or have their divorces in Crimea acknowledged by Ukrainian authorities, resulting in restrictions of the freedom of movement of many children with single parents under new

Ukrainian regulations on travel to Crimea. Students graduating from Crimean secondary schools since annexation have also been unable to enroll in Ukrainian universities with diplomas issued by unrecognized authorities (and without sufficient opportunities to seek alternative qualifications), spurring surges in migration of families with school-age children from Crimea to mainland

Ukraine.

16. The HRAM found in Crimea that those Crimean Tatars and Ukrainians who openly supported the territorial integrity of Ukraine and did not support the *de facto* authorities continued to be in a particularly vulnerable position. The suppression of activities of Mejlis – a self-governing body of Crimean Tatars – as well as intimidation, expulsion, or incarceration of prominent leaders of the

Mejlis of the Crimean Tatar People has had a detrimental effect on the exercise of political and civil rights of persons belonging to the Crimean Tatar community.

17. Effectively forcing Crimean Tatar community-run media outlets, such as ATR, to close by denying their registration has not only restricted media freedom and access to information, but also deprived the Crimean Tatar community of a vital instrument to maintain and revitalize its identity.

18. The space for Ukrainian culture in the illegally annexed Crimea has also decreased. Cultural, religious and symbolic elements of Ukrainian identity have been restricted and/or suppressed through various administrative or law-enforcement measures. Hostile attitudes in Crimea towards residents of Crimea who support the territorial integrity of Ukraine, display Ukrainian state and cultural symbols and publicly celebrate important dates for the Ukrainian culture and history are widespread.

19. Education in and of the Ukrainian language is disappearing. Pressure on school administrations, teachers, parents and children to discontinue teaching in and of the Ukrainian language is growing, which further curtails the presence of the Ukrainian language and culture on the peninsula. Education both in and of the Crimean Tatar language continues to face obstacles.

20. As obligated under its international human rights commitments and the Constitution of Ukraine (10), the Ukrainian government has adopted numerous policy measures to meet the needs of its citizens remaining in, or displaced from Crimea, despite lacking effective control over the peninsula. Those measures have reportedly been most effective where conjoined with awareness-raising campaigns to inform affected populations of solutions available for the challenges they face. However, many of those citizens impacted by the political and security challenges in Crimea over the last year have called for more relief and administrative assistance from the Ukrainian government to overcome those

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10 *See,* the Constitution of Ukraine, Article 25: "A citizen of Ukraine shall not be deprived of citizenship and of the right to change citizenship. A citizen of Ukraine shall not be expelled from Ukraine or surrendered to another State. Ukraine guarantees care and protection to its citizens who are beyond its borders."

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problems – particularly in relation to accessing the civil registry and education, and acquiring personal identification or other official documents. People crossing back and forth between Crimea and mainland Ukraine have also criticized newly increased restrictions on freedom of movement between the two regions, and inadequate infrastructure at land crossing points.

21. Through the Crimean *de facto* authorities, the Russian Federation is likewise obligated to respect, protect and fulfil the human rights and fundamental freedoms of persons in Crimea – in line with the international treaties to which it is party, as well as its commitments as an OSCE participating State to uphold those human rights and fundamental freedoms. Those OSCE commitments encompass the Russian Federation's obligations under international human rights law and international humanitarian law, per its role as an occupying power in effective control of the Crimean peninsula.

Executive Board

Hundred and ninety-seventh session

197 EX/5
Part III

PARIS, 27 August 2015
Original: English

Item **5** of the provisional agenda

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

PART III

PERIODIC REPORT ON INTERNAL OVERSIGHT SERVICE (IOS) EVALUATIONS

SUMMARY

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

1. Evaluation of the World Water Assessment Programme;

2. Evaluation of technical and vocational education and training;

3. Evaluation of culture and sustainable development; and,

4. Lessons from UNESCO's field reform in Africa.

Action expected of the Executive Board: Proposed decision in paragraph 35.

INTRODUCTION

1.   At its 186th session, the Executive Board requested the Director-General to continue to report periodically on evaluations completed (186 EX/Decision 6 (VI)). The Internal Oversight Service (IOS) herewith presents a summary of four recently-completed evaluations. The detailed findings, conclusions and recommendations are presented in the full evaluation reports, which are available along with management responses on the IOS website: www.unesco.org/ios.

2.   The following evaluations are foreseen for late 2015: (1) Education for All global and regional coordination mechanisms, (2) UNESCO's action in education in transition and emergency situations, (3) Regional conventions on higher education, and (4) the UNESCO Associated Schools Project (ASP) Network. In addition, IOS will continue to provide backstopping to evaluations managed by sectors and field offices, as per the new UNESCO Evaluation Policy.

EVALUATIONS COMPLETED

(1)   EVALUATION OF THE WORLD WATER ASSESSMENT PROGRAMME

Background and purpose

3.   The World Water Assessment Programme (WWAP) was established in 2000. WWAP, a UNESCO programme, is responsible for the production of the World Water Development Report (WWDR), a UN-Water report. The primary goal of the evaluation was to assess the performance – i.e., the activities, outputs, and outcomes – of WWAP, with an emphasis on the WWDR. More specifically the evaluation focused on four dimensions: (1) the WWDR (approach, content, quality, policy and academic influence); (2) the strategic orientation of WWAP and other non-WWDR activities; (3) the institutional setting of WWAP; (4) the financial sustainability of WWAP (budget, staffing, and location).

4.   The evaluation was conducted in the first half of 2015 by a team of external evaluators in collaboration with UNESCO's Internal Oversight Service. The methodology of the evaluation comprised an extensive desk study, a systematic bibliometric analysis, a stakeholder survey and semi-structured interviews with key stakeholders. To complement the present evaluation an audit exercise was undertaken which focused on administrative processes and controls.

Findings

5.   The key achievements of WWAP are the following: WWDR is a flagship United Nations report on water, based on a broad collaborative approach in the framework of UN-Water. The periodic publication of the WWDR, within the framework of UN-Water, constitutes a key achievement of WWAP. The capacity and experience to manage and coordinate the production of this report are important assets of the WWAP team. The WWDR is one of the most visible reports produced by UNESCO (on the basis of the following criteria: web site visits, downloads of the report, international press coverage). On the basis of a comprehensive bibliometric analysis, it was found that the WWDR continues to be an authoritative source of information on fresh water resources. WWAP has successfully initiated an initiative on gender-disaggregated data in the context of water and sustainable development.

6.   Given the purpose of the evaluation, which is partly formative, a major part of it has been directed at identifying challenges. The most important challenges are the following:

    (a)   Non-water sectors are insufficiently consulted or engaged in the course of developing the WWDR or in its dissemination and communication;

(b) The shift from a triennial to an annual WWDR has led to a less comprehensive and less data-informed approach to reporting, which is likely to affect its overall status and use;

(c) There is no clear and unified communication strategy for the WWDR among the different involved entities. Moreover, there has not been a clear and consistent approach to branding the WWDR;

(d) Overall, in recent years there is a general decline in WWAP programmatic activities other than the WWDR, which is in large part due to financial pressures;

(e) WWAP has drifted from its original mandate. While the WWDR is at the core of WWAP's mandate, some of its other activities are not;

(f) The Potential Conflict to Cooperation Potential (PCCP) Programme is not sufficiently aligned and logically connected to WWAP's core mandate and emerging global needs around water data and monitoring;

(g) Even though consecutive WWDRs have reported on water-related dimensions of the MDGs, they have not played a key role in this regard;

(h) WWAP's potential to mobilize UNESCO entities from the UNESCO Water Network to contribute to the WWDRs and the underlying analytical work remains underutilized;

(i) Within the framework of UN-Water, in recent years WWAP has not positioned itself clearly in the evolving discussions on the monitoring and assessment of different water issues;

(j) In recent years, despite significant budget cuts in the Italian public sector, the Italian Government has maintained generous financial support to WWAP. At the same time irregular disbursements during the 2007-2013 Funds-In-Trust (FIT) period as well as, more recently, reduced disbursements under the new law, have significantly affected WWAP's operations, with UNESCO stepping in at times to provide financial stability. Notwithstanding some recent successes in fundraising, WWAP has insufficiently invested in fundraising and lacks a clear strategy for doing so;

(k) WWAP currently lacks the in-house expertise to strengthen the analytical (e.g. data and assessment) work underlying the WWDR;

(l) While under the current ad interim management leadership WWAP can operate in a "business-as-usual" modus, the kind of strategic decisions that are needed to strengthen WWAP's strategic focus and positioning requires a longer-term executive coordinator; and,

(m) For multiple reasons, the current premises of WWAP are not conducive to a sustained successful implementation of WWAP's mandate.

Way forward

7. On the basis of its findings, the evaluation presents the following main recommendations:

(a) WWAP should strengthen its substantive contribution to (i.e. enhance the quantity and depth of analytical work feeding into) the WWDR;

(b) WWAP should pursue innovative approaches to collecting and reporting on case studies and indicator data;

(c)   UNESCO in consultation with UN-Water should develop and implement a unified communication strategy for the WWDR;

(d)   WWAP should strengthen its strategic focus, prioritizing the WWDR and analytical work in direct support of the WWDR;

(e)   UNESCO in collaboration with UN-Water members should work towards positioning the WWDR (and especially the five-year synthesis report) as a key UN-wide reporting mechanism on the "Water SDG" (SDG 6);

(f)   WWAP should develop a more systematic approach to extrabudgetary fundraising;

(g)   UNESCO in consultation with key stakeholders should develop a plan to move WWAP from Perugia; and

(h)   In order for WWAP to successfully act upon the above-mentioned recommendations, UNESCO should appoint a permanent coordinator for WWAP.

(2)   EVALUATION OF TECHNICAL AND VOCATIONAL EDUCATION AND TRAINING (TVET)

Background and purpose

8.   UNESCO's Strategy for TVET has aimed at guiding the Organization's work in this field from 2010 to 2015. The thematic area has been ranked among the top four priorities in education (along with literacy, teachers, and sector-wide policy and planning) by the Organization's Member States, indicating their aspiration to privilege strengthening capacities for TVET. Given the increasing priority status of TVET in UNESCO, and the fact that the current Strategy for TVET will come to an end in 2015, the timing for an evaluation was opportune. The evaluation's purpose is two-fold: (1) to assess progress achieved in the implementation of the current Strategy for TVET (relevance, effectiveness, efficiency, sustainability and cooperation with partners) and (2) to inform the proposal for a follow-up of the Strategy for TVET in view of lessons learned and of the global debate around the post-2015 sustainable development agenda.

9.   The evaluation was conducted in the first half of 2015 by a team of four external evaluators with senior TVET expertise and two evaluators from UNESCO's IOS. The methodology of the evaluation comprised an extensive desk study, a number of site visits, three stakeholder surveys and semi-structured interviews with key stakeholders and partners.

Findings

10.   Key achievements that result from the present evaluation include:

(a)   UNESCO's work in TVET is highly relevant given the Organization's mandate, global economic and social developments, and national needs. In the period 2010-2015 UNESCO established itself as an authority in the field of TVET, notably through the Third International Congress on TVET and the resulting Shanghai Consensus. The setup of a UNESCO TVET community (informal network of education specialists with portfolios in TVET at Headquarters, at the UNESCO-UNEVOC International Centre and in the field) has proved to be very beneficial and as a whole has contributed to the strong positioning of UNESCO in this field.

(b)   UNESCO's approach to TVET extends beyond the economic goal of providing people with skills for work. It has shown global leadership in broadening concepts of TVET by bringing issues which are close to UNESCO's mandate, such as equity, social justice, lifelong learning and sustainable development, into countries' TVET reforms. This

humanistic dimension clearly distinguishes UNESCO from other international actors working in TVET.

(c)   UNESCO not only has a global mandate in TVET and authoritative normative role that extends to all stages of education, but it also manages a unique global network: the UNEVOC Network comprised of ministries, national TVET bodies, and research and training institutions at the national level, coordinated by the UNESCO-UNEVOC International Centre.

(d)   Stakeholders at different levels (global, regional and national), acknowledge UNESCO's convening power. The evaluation found that UNESCO has been successful in bringing together international organizations that are active in TVET, in particular at the global level (such as through the Inter-Agency Group on TVET (IAG-TVET) and respective sub working groups on priority thematic areas) to cooperate on key issues and to produce joint publications.

(e)   UNESCO's work in all three core areas of its TVET Strategy, as well as its approach to TVET are widely appreciated:

o   UNESCO's provision of policy advice was found to be relevant to most national contexts and its expertise was greatly appreciated at the national level. Capacity-building work, policy advice and policy reviews are in most cases feeding into current policy debates and/or developments.

o   UNESCO's conceptual and normative work is seen as very valuable in helping Member States in setting up and improving their TVET systems. Key publications, conceptual clarification and normative instruments are among the areas where UNESCO has a clear added value.

o   UNESCO's clearing-house function, mainly ensured through UNESCO-UNEVOC International Centre, is highly appreciated by different stakeholder groups, among which are the UNEVOC Centres. In addition, the 2012 Third International Congress on TVET and the resulting Shanghai Consensus are well known among TVET policy-makers, and serve as a reference point for renewed policy awareness in the field.

11.   A number of challenges were also identified, including:

(a)   UNESCO does a lot with limited resources, but relies on too few people, instead of achieving results increasingly in cooperation with its extended networks and partners, especially in light of current and future resource constraints. This hampers the Organization's effectiveness and sustainability, especially at the country and regional levels.

(b)   The potential of the UNESCO TVET community is not yet fully realized as roles and responsibilities are not consistently understood by all individuals and entities. Furthermore, the role of the regional offices and the involvement of category 1 education institutes as well as that of UNESCO staff working in related thematic areas in the implementation of the Strategy have so far not been optimized.

(c)   Managing a unique global UNEVOC Network is a key added value to extend UNESCO's outreach in Member States. Despite advances in revamping the Network since 2010, its potential is yet to be fully realized and sustained in practice. The still insufficient level of activity of some individual UNEVOC Centres and the limited organizational capacity to manage and mobilise the Centres by UNESCO entities

working in TVET, especially at the regional level, hamper the attainment of this objective.

(d) The effectiveness and sustainability of UNESCO's activities at the country level are at times compromised by the absence of a longer-term strategic approach that envisions the consolidation of results on a medium/longer term, and the still limited institutional commitment and involvement of a wider array of actors and partners.

(e) Despite the increasing outreach and cooperation with organizations, at the regional and national levels, UNESCO missed out on some opportunities to work together with other organizations active in TVET. In fact, these organizations are not always aware of UNESCO's activity in the same regions/countries.

(f) The UNESCO Strategy for TVET (2010-2015) has supported UNESCO in structuring and better organizing its work internally, but as a document it has so far been less useful as a way of communicating the Organization's messages on TVET at the global, regional and national levels.

Way forward

12. On the basis of its findings, the evaluation presents recommendations that should lead to the following results. More details on suggested actions are provided in the evaluation report.

(a) An organizational capacity (including financial and human resources) aligned with the needs for effectively implementing UNESCO's mandate in TVET in the context of the post-2015 development agenda. This includes a consolidated UNESCO TVET community with clear responsibilities and accountabilities for its individual entities.

(b) A dynamic network of active UNEVOC Centres that contribute to international cooperation, capacity-building and policy development in the Member States and in full cooperation with relevant UNESCO entities especially at the (sub)regional level by seeking greater outreach and increased opportunities for knowledge exchange, capacity development, and policy advice.

(c) Country- and regional-level interventions that are planned, designed, implemented and followed up in full alignment with the policy development stage in a country/region and embedded in the larger TVET policy debate to ensure the effectiveness and sustainability of UNESCO's work.

(d) Inspiring, well recognized and effective normative instruments that – with the help of UNESCO and other development partners – are translated into regional and national TVET reform processes.

(e) Committed partners and networks that are willing and available to work with UNESCO by taking mutual ownership of countries' TVET reforms in a comprehensive and sustainable way.

(f) A well communicated new Strategy for TVET that consolidates UNESCO's visibility and role in the field of TVET by highlighting the Organization's unique vision for TVET, in the context of the post-2015 development agenda, and specifying how UNESCO, together with its networks and partners, will operationalize and fund it.

(3)   CULTURE AND SUSTAINABLE DEVELOPMENT

Background and purpose

13.   The relationship between culture and sustainable development has been a subject of discussions for over three decades, culminating in three United Nations General Assembly resolutions on the topic that confirm culture's role as being both an enabler and a driver of development, and that call for the mainstreaming of culture in the international development agenda. UNESCO, being the specialized United Nations agency for culture, has a key role to play in promoting, strengthening and making the link between culture and sustainable development visible. It exercises this role through its policy and normative work at the global level, including UNESCO's advocacy for the inclusion of culture in the post-2015 development agenda, and by supporting programmes and projects at regional, national and local levels. So far, no thorough transversal study has been conducted of UNESCO's engagement in this area, nor have the policy environment for its work on culture and sustainable development or the effectiveness of the approaches, methods and tools used in its implementation been looked at in much detail. The evaluation aimed to serve the following purpose: (1) To provide insights into the relevance and effectiveness of UNESCO's policy environment on culture and development; (2) To generate findings and recommendations regarding the value added of UNESCO's cultural work to sustainable development at the national level; and (3) To make recommendations that will help UNESCO position its work on culture and development in post-2015.

14.   The evaluation was conducted in the first half of 2015 by an external evaluator with senior culture expertise and two evaluators from UNESCO's IOS. The methodology of the evaluation comprised an extensive desk study, a meta-review of research and studies on the contribution of culture to sustainable development, a number of site visits, and semi-structured interviews with key stakeholders.

Findings

15.   A convincing and growing body of evidence demonstrates that there is an important relationship between culture and sustainable development. Since the 1990s UNESCO has been at the forefront of developing this evidence through research and case studies, complementing important work undertaken by many public authorities and civil society organizations at local, national and global levels, and by researchers all over the world.

16.   However, while exceptions certainly exist, culture and the cultural dimensions of development are still hardly taken into account in international sustainable development cooperation. Limited understanding of the cultural dimensions of development and a set of prevailing misconceptions (e.g. understanding of culture as the preservation of traditional practices) and reservations (e.g. of a political nature, of opening the door to cultural relativism, etc.), as well as technical and institutional capacity constraints at national and local levels remain obstacles to further progress in this area.

17.   Real progress in integrating culture and sustainable development often takes place at the local, rather than at the national, regional or global level. While this is not always easy to recognize in the United Nations system, it opens up both opportunities and challenges.

18.   While UNESCO's work on culture and sustainable development is often considered to be the sole responsibility of the Culture Sector, other parts of the Organization also contribute. These initiatives are often not recognized to be part of culture and sustainable development, but they could be seen as pertaining to a common paradigm. Various different policy messages and narratives on culture and sustainable development co-exist with the Culture Sector and across the Organization. Some of them are articulated, while others are implicit.

19.   UNESCO's communication on culture and sustainable development is seen by many to be privileging the link between culture and the economic dimension of development, thus neglecting a broader, more integrated view of sustainable development.

20.   The Organization has supported many interesting activities related to culture and sustainable development. The Millennium Development Goals Achievement Fund (MDG-F) and its "culture and development window" and UNESCO's work as a convener have considerably boosted its engagement in this area and increased its visibility.

21.   UNESCO is advocating for the integration of culture in sustainable social, environmental and economic development at global, national and local levels. This message is considerably weakened by the fact that this integration has not happened at the level of the Organization.

22.   UNESCO engages both in "upstream" activities of standard-setting, capacity-building and policy advice related to culture and sustainable development, and in "downstream" activities of capacity-building and supporting initiatives at the local level. The challenge is to find the right balance between the two.

23.   Within the Organization several factors complicate UNESCO's work on culture and sustainable development both at Headquarters and in the field. These include a lack of mechanisms, structures and incentives for inter-sectoral work, combined with insufficient tools and methodologies for intersectoral cooperation within the Organization and with partners; a lack of familiarity with sustainable development issues by Culture Sector staff; resource constraints that severely limit the ability of the Culture Sector at Headquarters to engage beyond the confines of its current focus on statutory activities and to take the lead in the work on culture and sustainable development across the Organization.

Way forward

24.   Linking sustainable development with culture calls for new kinds of multi- and intersectoral partnerships that give voice to a diverse range of stakeholders at all levels, and for strong connections between local level initiatives and policy making institutions and with the global sustainable development arena in order to avoid a disconnect between the two. UNESCO is well placed to create platforms for exchanges between different types and different levels of stakeholders that could facilitate this work.

25.   UNESCO should become more conscious of the narratives on culture and sustainable development that co-exist within the Organization, and of the assumptions that underlie them, so that prevailing tensions and contradictions can be acknowledged, negotiated and reconciled if necessary. This would also help create awareness across the Organization of those aspects of culture that are often neglected or overlooked. There is also a need to provide clarity on the conceptual and practical interconnections between some of the initiatives undertaken, for instance those managed by the Culture Sector as part of its standard-setting work and the activities of the Africa Department.

26.   Intersectoral cooperation both within UNESCO, and at national and local levels, is key to the work on culture and sustainable development. Internationally and nationally, the Culture Sector's advocacy efforts for the integration of culture in sustainable development would carry more weight with non-cultural actors if these efforts were reinforced by the other sectors of UNESCO.

27.   It could be argued that given UNESCO's traditional role and function of a standard-setting agency and in light of its limited resources, its main emphasis should be on upstream activities. However, downstream activities are also necessary to some extent, so as to illustrate with tangible results the relevance of the Organization's discourse. Both an illustration of the "how to" and of the positive impact of the work on people's lives is required. UNESCO needs to be strategic, though, when picking its "downstream" engagements, and focus on initiatives that have the potential to

influence policy-making, and that have substantial visibility, multiplication potential and are sustainable.

28.   Overall, the full exploration of the links between culture and sustainable development demands that a holistic approach to culture be adopted, one that stresses the ecosystem-like, interrelated nature of cultural aspects and overcomes current 'silo'-based work. Recommendations to that effect have been included in the evaluation report.

(4)   LESSONS FROM UNESCO's FIELD REFORM IN AFRICA

Background and purpose

29.   At its 36th session, the General Conference approved a comprehensive reform of UNESCO's field network to enhance the quality of programme delivery to Member States, to ensure a more flexible and visible field presence and to improve UNESCO's alignment with the United Nations system-wide coherence. Subsequently, due to financial constraints, it was decided to initially implement the field reform in the Arab States and Africa, and later in the Africa region only, with the roll-out of the reform to other regions being deferred to a later date, pending an analysis of the lessons from phase one in Africa. In this context, IOS undertook a review of the reform in the Africa region for the purpose of drawing early lessons and providing the Director-General and Governing Bodies with information to undertake any necessary adjustments should it so be determined.

30.   The review was conducted in the first half of 2015 by a team of IOS evaluators. The methodology of the evaluation comprised a desk study, a number of site visits, four stakeholder surveys and semi-structured interviews with key stakeholders and partners.

Findings

31.   There is broad agreement that the main goals of the reform of the field network were and remain highly pertinent. The review came across some promising examples of emerging good practices, an increased and more vigorous focus on new partnerships and resource mobilization at the country and regional level, and a sustained effort to adapt to the realities of the new field structure. Achievements include: (i) despite the difficult financial situation faced by the Organization, the five Multisectoral Regional Offices (MROs), with the support of host Member States, were put in place and staffed/complemented with expertise covering most if not all of UNESCO's sectors; (ii) programme sectors increased their efforts to decentralize financial resources to the field, with Africa given priority; and (iii) increased and more effective engagement of UNESCO within a number of United Nations country teams.

32.   The achievements nevertheless are limited in comparison to the challenges faced, including:

(a)   The reform of the field network was challenging both in terms of time and resources available to execute it properly. The entire process was significantly affected by both the financial crisis at UNESCO and the overall global economic crisis, which resulted in major delays and reductions.[1] In addition, staff deployment was slower than expected with significant delays in filling key posts. Some of these issues are of a systemic nature; nevertheless they have had negative effects on the roll-out and success of the reform.

(b)   The field reform in Africa itself was not complemented by a strategy with clear targets and deliverables or a robust implementation plan with clear targets and deliverables. In

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[1]   For example, the indicative staff configuration for MROs was drastically reduced and supporting platforms, such as regional support platform for administrative and financial support, were suspended.

parallel, no structured contingency plans were developed to deal with the consequences of the financial crisis.

(c)   Although attempts were made to define responsibilities and accountabilities these were not well understood. Multiple actors at Headquarters (Bureau of Strategic Planning, Bureau of Human Resources Management, Bureau of Financial Management, Sectors) assumed some level of management responsibility but there was no central entity responsible for coordinating the reform and its roll-out. Although having the overall coordination role for activities in Africa, the Africa Department was not visibly engaged in the reform and its precise functions were unclear to many staff and stakeholders. As a consequence, overall leadership, monitoring and oversight over the reform was ambivalent, uncoordinated and uneven.

(d)   There was no comprehensive human resource strategy to enable smooth implementation of the field reform and the deployment of staff. The review found several examples of staff members being re-deployed to locations despite not having the experience, technical competencies or language skills to adequately serve the needed function. The majority of staff movement was intra-regional in nature, with insignificant movement of staff from Headquarters to the region.

(e)   The structures to emerge from the reform do not, in some cases, align with the approved criteria for establishing UNESCO's field presence. In this regard, the mandate, location and therefore rationale for a number of offices would merit further review, especially in the context of strategically positioning UNESCO to better deliver upon the post-2015 development agenda.

(f)   The field reform in Africa has not fully aligned UNESCO with the African Regional Economic Commissions as originally intended. In some cases, there even exist two or three UNESCO Multisectoral Regional Offices within the country coverage of one Regional Economic Community. UNESCO is also not fully aligned with the two regional groupings of the United Nations Development Group (UNDG): western-central and eastern-southern, a potentially significant issue in the context of UNESCO's delivering on the post-2015 development agenda.

Way forward

33.   The review reveals a number of key lessons which will require consideration by the Director-General and the Governing Bodies in order to identify the most appropriate strategic responses:

(a)   The financial crisis greatly restricted the Organization's ability to ensure full implementation of the reform of the field network. More investment is needed if the reform is to meet its intended objectives, recognizing that the greatest potential for additional resources is likely going to be coming from extrabudgetary funding and not from core funding, as is the current trend within the broader United Nations system. This may also require more flexible field structures as well as further consolidation of the field network as a means for developing a critical mass of core programme staff and expertise in MROs.

(b)   The initial implementation phase of the field reform in Africa coincided with the dismantling of the Bureau of Field Coordination. This has led to responsibilities for interaction with the field to be dispersed across various services and sectors and the absence of a visible single entry point. Greater clarity around the responsible entity for the overall management of the field network, including responsibilities for managing and monitoring the reform initiative, would result in efficiency gains. With regard to managing the implementation of further reforms specific to Africa, several options could

be considered, *inter alia*, reviewing the precise role and the optimal geographic location of the Africa Department.

(c)   The post-2015 development agenda presents an opportunity for UNESCO to review and redefine its field presence, its working modalities and its comparative advantages. This will require specific strategies that respond to, *inter alia*, meeting Member States' needs for normative support, integrated policy advice, capacity development, innovation and support to South-South cooperation. Some of this needs to be done by leveraging existing partnerships as well as by developing new ones, ensuring that the appropriate critical mass of technical expertise is made available and by developing more transversal programmes across the five mandates of UNESCO.

(d)   Careful consideration needs to be given to whether any further roll-out of reform should be preceded by an in-depth evaluation of current strengths, weaknesses, opportunities and threats, all within the context of the post-2015 development agenda.

34.   A more comprehensive discussion of the key achievements, challenges, lessons and strategic implications going forward are contained in the full report. As requested by the Executive Board decision at its 196th session an action plan to address the findings and lessons in this report will be presented by the Director-General.

Proposed decision

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

The Executive Board,

1.   <u>Recalling</u> 186 EX/Decision 6 (VI),

2.   <u>Having examined</u> document 197 EX/5 Part III,

3.   <u>Welcomes</u> the evaluations and <u>invites</u> the Director-General to implement the recommendations, except those recommendations that require a decision by the Executive Board and/or General Conference, in which case the relevant issue shall be submitted to the Executive Board for its consideration.

Executive Board

Hundred and ninety-seventh session

**197 EX/5
Part IV**

UNESCO

United Nations
Educational, Scientific and
Cultural Organization

PARIS, 26 August 2015
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Item **5** of the provisional agenda

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

PART IV

MANAGEMENT ISSUES

SUMMARY

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

Part IV of this document contains information on the following management issues:

A. Proposal for the organization of regional consultation meetings concerning the C/4 and C/5 documents: Roadmap for the 2016 consultations on the preparation of the Draft Programme and Budget (39 C/5)

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

B. Implementation of the action plan for improved management of extrabudgetary funds

The present report gives an update on developments relating to the programming of extrabudgetary activities, resource mobilization, the implementation, monitoring and evaluation of extrabudgetary activities as well as cost recovery. As requested by the Executive Board in the decision on 195 EX/5 Part IV-C, it is accompanied by an updated resource mobilization plan including resource mobilization targets and potential donor groups, on a two yearly basis in parallel with the finalization of each C/5 document. This request was echoed in the decision on the draft document 38 C/5 (195 EX/Decision 13) whereby the Executive Board requested the Director-General to submit a "*draft resource mobilization strategy for the period 2016-2017, including for private sector partnerships*". The draft resource mobilization strategy is presented as an Addendum to this document (197 EX/5 Part IV Add).

Action expected of the Executive Board: Proposed decision in paragraph 51.

C. Participation Programme and Fellowships

Pursuant to 37 C/Resolution 72 (A, II), paragraphs 2 (c) and 3, the Director-General submits to the Executive Board a report on the requests approved under the Participation Programme and emergency assistance for 2014-2015, including those from non-governmental organizations in official partnership with UNESCO, and indicating the amounts approved to finance them.

The lists have been posted online at:
http://unesdoc.unesco.org/images/0023/002336/233658M.pdf

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

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

D. Invest for Efficient Delivery

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

E. Criteria for introducing new and maintaining existing programmes, for regular and extrabudgetary programmes

F. Proposal for presenting the performance indicators (PI) and targets related to the global priorities Africa and gender equality

The Director-General proposes to defer this document to the 201st session of the Executive Board session at which time the Draft Programme and Budget (39 C/5) will be presented.

G. Schedule and workload of Executive Board sessions

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

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A. Proposal for the organization of regional consultation meetings concerning the C/4 and C/5 documents: Roadmap for the 2016 consultations on the preparation of the Draft Programme and Budget (39 C/5)
(Follow-up to 187 EX/Dec.17 (III, A) and 192 EX/Dec.5 (III, B))

1. By 192 EX/Decision 5 (III,B), the Executive Board invited the Director-General "to submit to it at an appropriate session in the 2014-2015 biennium a fully-fledged roadmap and costed plan for the 2016 consultations on the preparation of document 39 C/5".

2. The present document aims at responding to this request.

Background

3. The preparation by the Secretariat of the Draft Programme and Budget is underpinned by a consultative process which comprises different stages and involves UNESCO Member States and stakeholders. The expected outcomes of the consultations are the provision of guidance and input on programme priorities, the strategic positioning and comparative advantage of the Organization, the future thematic priorities and leadership roles, the modalities of work, as well as on selected management issues. Starting with the General Conference which will provide a platform for Member States representatives to debate and agree on general strategic programme orientations, the Director-General consultations will be pursued over several months leading to the formulation of her Preliminary Proposals concerning the Draft Programme and Budget for 2018-2021 (39 C/5).

4. In pursuance of 187 EX/Decision 17 (III, A), the Secretariat proposed in document 192 EX/5 Part III.B various options for alternative and cost-effective modalities for the Director-General consultations with Member States and all stakeholders. Since then, and in compliance with the Executive Board 192 EX/Decision 5 (III, B), the Secretariat continued exploring various possibilities, taking also in consideration the reduction in its core budget and the consequent need for cost savings. The following roadmap is therefore proposed for the 2016 consultations on the preparation of the Draft Programme and budget for 2018-2021 (39 C/5).

Roadmap for the Director-General's Consultations on the preparation of the draft document 39 C/5

5. For the next round of consultations on the preparation of the draft document 39 C/5 which will start in early 2016, it is proposed that the format could vary from online collaborative discussions via e-discussion boards to tele- and web conferencing, depending on the number of participants, the available infrastructure and the technical expertise. UNESCO will draw on the technology that it already uses to support online collaboration and virtual meetings. More specifically, the following possibilities are available:

- Web-conferencing, including sound and video;
- Document sharing;
- Library of documents;
- Work on draft documents jointly (version control);
- Surveys;
- Discussion group, online discussion board;
- Shared planning and tasks;
- Voting;
- Smaller group chats.

6. While these possibilities are available today at UNESCO Headquarters, in order to successfully manage such type of online discussion groups and virtual meetings with remote participation from a large number of Member States representatives, including National Commissions, there will still be a need to invest further, both in terms of acquiring the appropriate equipment, and also of developing in-house capacities. Guidance and coaching will be also

necessary to ensure that all participants engage effectively in online discussions and that the moderators have the capacities to moderate discussions online and manage virtual meetings. In addition, UNESCO will still need to find the appropriate and most cost-effective tool that could enable multilingual discussions. (See detailed costs in the Annex).

7.   For the preparation of Draft 39 C/5, it is proposed that the 2016 consultations be launched with an online questionnaire addressed to Member States, Associate Members, organizations of the United Nations system, intergovernmental organizations (IGOs) and international non-governmental organizations (NGOs) maintaining official relations with UNESCO. Based on an analytical summary of responses to the questionnaire prepared by the Secretariat and posted online, consultations would proceed through time-bound e-discussions, organized successively at cluster/subregional and then regional levels. Where feasible and on a pilot basis, virtual meetings could be envisaged. Furthermore, and as proposed in document 192 EX/5 Part III.B, Member States may also opt for face-to-face meetings, provided they succeed in securing the necessary funding for all participants, including UNESCO staff, since no provisions have been made for these in the draft document 38 C/5. (See also information on costs of face-to-face meetings in the Annex).

8.   UNESCO will also explore the possibility of conducting face-to-face consultations on the preparation of draft document 39 C/5 during the annual Interregional Meeting of National Commissions, provided it is scheduled around May-June 2016 so as to meet the statutory deadlines.

9.   The following roadmap presents in details the various stages of the consultation process proposed for the preparation of the draft document 39 C/5, including the deliverables expected at each stage, and the related cost estimates.

Date		Activity	Deliverable	Cost
October 2015	**197th EXB**	**Executive Board examines roadmap for the 2016 Consultations**	**Recommendation to the 38th GC**	
Nov. 2015	**38th GC**	-Secretariat shares Information on the roadmap as approved by the 197th EXB with NatComs at their Inter-regional Meeting (Paris, 02 Nov 2015); -Member States representatives at the GC debate future orientations for 39 C/5	- NatComs informed of the new modalities - 38 C/Resolution on future (39 C/5)	organised by ERI; (already planned in 37 C/5)
Dec. 2015 - Feb. 2016	**Preparatory Phase**	Exchanges between NaComs of each cluster to elect the Chair/moderator; rapporteur, and define the calendar ; UNESCO Field Offices, in liaison with HQs, facilitate the process	- Clusters Member States/NatComs defined; - Chair/moderator and rapporteur elected; - Calendars of consultations established	Staff time (FOs;ERI;BSP)
		- Secretariat initiates the preparation of the online Questionnaire, and relevant background documents; - Mapping of equipment and capacity gaps ; -Preparation of guidance and training material; - Preparation of proposal for fund-raising.	- Invitations letters+ questionnaire sent out; - Costed plan for acquisition of necessary equipment and training, including calendar	staff time (KMI;BSP) (see also Annex)
March 2016		- Launch of Questionnaire; - Funds secured and implementation of installation+training project launched	All participants have access to the appropriate equipment and are enabled to engage in e-discussions;	(see Annex)
April 2016	**199th EXB**	**Executive Board examines the Strategic Results Report, and formulates recommendation to the General Conference on the implementation of sunset clauses for UNESCO's programmes**	**199th Executive Board's decision on programme orientations, including programme continuation or termination.**	
		Secretariat prepares analysis of replies to Questionnaire	Preliminary Analytical summary of replies to Questionnaire posted on line	Staff time (BSP)
May- June 2016		1-2 day Sub-regional Consultations with NatComs via online discussion boards; -Support provided by UNESCO, FOs and HQs	Summaries of sub-regional consultaions posted on line	Staff time (FOs;BSP)
		Regional consultations: e-discussions and/or virtual meeting where feasible, with one representative from each sub-region; or Interregional meeting	Regional Summary Reports prepared and posted on line	Staff time (BSP;ERI;GBS)
July -August 2016		Secretariat prepares the DG's Preliminary Proposals, based on the 199th Executive Board's decision on programme orientations, the Director-General's consultations, as well as on the summary results of the stakeholders' survey and the programme reviews and evaluations.	Preliminary Proposals sent to Executive Board Members	Staff time (BSP;GBS)
Sept.-Oct. 2016	**200th EXB**	**Executive Board examines the DG's Preliminary Proposals**	**200th Executive Board Decision on draft 39 C/5**	

Proposed decision

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

The Executive Board,

1.   <u>Recalling</u> 187 EX/Decision 17 (III, A), 92 EX/Decision 5 (III, B) and 36 C/Resolution 104 (II),

2.   <u>Having examined</u> document 197 EX/5 Part IV (A) and the roadmap for the 2016 consultations contained therein,

3.   <u>Recognizing</u> the importance and added value of the consultations with Member States and their National Commissions, IGOs, NGOs and organizations of the United Nations system in informing the Director-General preliminary proposals for the Medium-Term Strategy (C4) and the Programme and Budget (C/5),

4.   <u>Bearing in mind</u> the financial difficulties faced by the Organization,

5.   <u>Welcomes</u> the Director-General's proposal for alternative modalities for the regional consultations, and the proposed roadmap for the preparation of draft document 39 C/5;

6.   <u>Invites</u> the Director-General to seek the necessary funding and arrangements to conduct the 2016 consultations in accordance with the roadmap;

7.   <u>Encourages</u> Member States to ensure sufficient funding to support the organization of face-to-face regional and/or interregional consultation meetings, if they so wish;

8.   <u>Recommends</u> to the General Conference that it endorse this decision.

ANNEX

ESTIMATED COSTS FOR SETTING-UP, ORGANIZING AND MANAGING ICT-FACILITATED MEETINGS AND COLLABORATIVE WORK SPACES

A.   Equipment

The following costs are to be considered as an investment in the facilities that can support remote participation:

(i)   For managing a web-conference: Room equipment at UNESCO (Headquarters and regional and field cluster offices): US $15,000-20,000 per location

(ii)   Local infrastructure:

- A landline phone and a good quality or a desktop computer/or laptop with a webcam and sound system, and a reliable Internet connection: average $2,000;

- Additionally, in countries where electricity is not reliable, an UPS (Uninterruptible Power Supply) might be required;

- For web-conferencing: The costs per a three-hour session include also an average audio conferencing cost of $75 per participant, which may vary from one country to another.

(iii)   Multilingual equipment: UNESCO has not found the technical solution which would support multilingual virtual web-conferencing as yet. Discussions are still ongoing with the relevant companies.

B.   Training and coaching

It is assumed that technical support will be available in each location where the participant "connects" to the collaborative online workspace. Nevertheless, UNESCO will conduct a survey of National Commissions on equipment and technical expertise to identify the gaps and work with the concerned parties to find the most suitable solution.

Guidelines and training material on remote participation in online collaborative work spaces will be prepared by UNESCO. Each participant would benefit of two distance training sessions. The training is basic and should take no more than two hours. For the chairperson, moderator, rapporteurs and their deputies/assistants, there is need for a different type of training.

UNESCO staff that will be in charge of organizing the virtual meetings, facilitating the on-line discussions, and/or providing other types of support will also need to receive the appropriate training.

The services of a qualified trainer will be sought in order to help organize all the training and necessary coaching, and also build in-house expertise. A total amount of $12,000 would therefore be required.

Costs of the 2012 consultation meetings

As indicated in document 192 EX/5 Part III(B), the 2012 consultations meetings were organized on the basis of cost co-sharing, thanks to the generosity of a number of Member States who offered to cover full or part of the costs. Depending on the region, the average cost per participant for a three-day meeting was within a range of $4,000-$4,300 in 2012.

The cost of a face-to-face meeting could also be estimated based on a more recent meeting organized in the framework of the Interregional Meeting of National Commissions, which was held in July 2014 in Astana, Kazakhstan. The meeting brought together participants from 110 Member States. Costs incurred by UNESCO, amounting to $188,000, covered the travel costs of 50 representatives from LDCs and SIDS and of eight UNESCO staff, and the costs for simultaneous interpretations in English, French and Russian. Travel costs for the other participants were covered by their respective countries. All other costs, including accommodation and hospitality, were born by the host country.

Regional and subregional grouping of countries

In each region, ICT-facilitated consultations would be organized according to UNESCO field cluster and regional offices. Other sub-groupings may also be considered, for instance in accordance with language or other criteria.

Virtual meetings with remote participation by representatives from every country in each region may not be easily manageable, because of issues mentioned above that are related to connectivity, high number of remote participants, lack of adequate facilities, and also the issue of language that is still to be resolved. Nevertheless, provided equipment and training are delivered as per the above description, the organization of consultations through virtual meetings could be planned on a pilot basis with a smaller number of participants, e.g. among participants of the same subregion or per UNESCO field cluster office. The pilot virtual meeting could be preceded by a time-bound online collaboration (exchange of views in a discussion forum; document sharing, teleconferences, among others), with the Secretariat's support.

B.   Implementation of the action plan for improved management of extrabudgetary funds
(Follow-up to 195 EX/Dec. 5 (IV, C) and 195 EX/Dec.13)

1.   The present report gives an update on developments relating to the programming of extrabudgetary activities, resource mobilization, the implementation, monitoring and evaluation of extrabudgetary activities as well as cost recovery. It covers the period that has elapsed since the submission of the last report to the Executive Board on this subject in September 2014. The section on resource mobilization also gives a comparison between voluntary contributions received in 2014 with the corresponding figures for 2013 to demonstrate evolutions in resource mobilization trends from different types of donors. As requested by the Executive Board, it is accompanied by a draft strategy for resource mobilization for 2016-2017 contained in the Addendum.

I.   Programming

2.   Targets for resource mobilization for each C/5 Expected Result, have been defined in parallel to the finalization of document 38 C/5.

3.   To ensure the resource mobilization targets are realistic, account was taken of resource mobilization performance in past years as well as delivery capacity. When preparing preliminary workplans for document 38 C/5 (2016-2017) in line with the progressive implementation of RBB, UNESCO staff at Headquarters and in the field, were also invited to identify resource mobilization opportunities in connection with each workplan. All the relevant information was entered in the RBB tool developed for this purpose and available online. Having quantified the need for extrabudgetary resources, staff were also asked to assess whether the likelihood was high, medium or low. The preliminary information generated through the RBB workplan exercise on the needs and opportunity for resource mobilization proved very relevant for the resource mobilization target setting exercise.

4.   Resource mobilization targets together with the quantitative and/or qualitative target/benchmarks to be attained with funds mobilized in 2016-2017 will be further refined after the 38th session of the General Conference and entered into SISTER where they will be visible to Member States. The overall vision for resource mobilization as well as breakdown of targets by Expected Result is given in Annex 1 of the Addendum "Draft resource mobilization strategy for 2016-2017".

II.   Evolution of voluntary contributions[1]
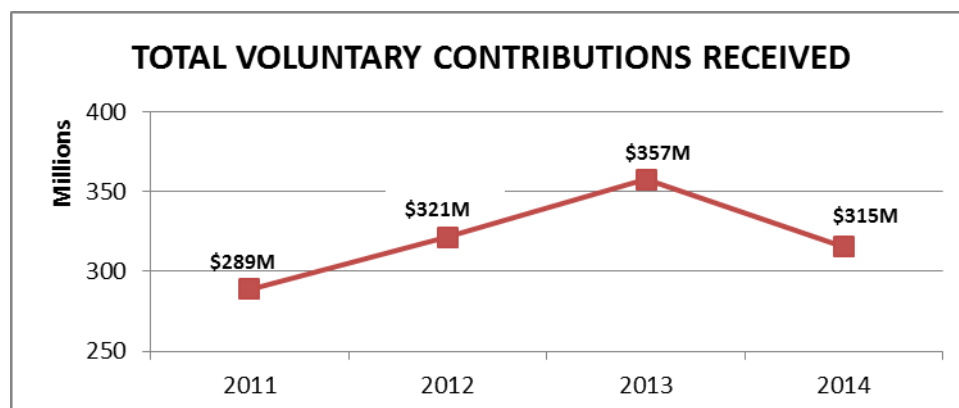
5.   In 2014, UNESCO received US $315 million in voluntary contributions compared to $357 million in 2013,[2] representing a decrease of 11.8% (or $42 million). Contributions from all funding sources decreased, except for United Nations sources which increased by $13 million.

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6.   Another modality for receipt of additional funding is the "additional appropriation" otherwise referred to as "donation"' which is accounted for separately from extrabudgetary contributions. These remain an important source of funding, amounting to $10.1 million in 2014 compared to $12.4 million in 2013.

Top 25 donors in 2014 in having contributed to extrabudgetary projects and Institutes

Donor	Amount received in 2014 ($)
Italy	38,161,506
Brazil	35,503,130
Sweden	25,941,042
Netherlands	21,904,547
European Union (EU)	15,128,907
Norway	12,607,128
Peru	10,704,278
Republic of Korea	10,684,723
UNAIDS	10,241,000
Japan	9,575,353
UNDP	7,881,813
Switzerland	6,433,795
World Bank/I.B.R.D.	6,228,745
Finland	4,774,415
France	4,545,629
NUFFIC*	4,395,205
Australia	3,733,398
IAEA	3,725,463
Canada	3,551,143
United Kingdom	3,473,640
Germany	3,320,265
UNICEF	3,199,164
China	2,804,000
Saudi Arabia	2,680,244
Belgium	2,626,999

* Netherlands Organization for International Cooperation in Higher Education

Governmental sources

7.   With contributions of $217 million, governments remain the largest source of funding accounting for 69% of the total funds received compared to 66% in 2013. The level of contributions decreased by $18 million compared to 2013.

8.   The main underlying causes of the comparative decrease in payments between 2014 and 2013 are two-fold. Firstly, in 2013, Japan made large advance cash transfers for major education programmes in Afghanistan amounting to $23 million and, secondly, voluntary contributions to self-financed country-based projects received by the Brasilia offices fell by $10 million partially due to the exchange rate fluctuation of Reals versus the US dollar. In spite of the overall decrease in government funding as a whole for governments as a group, a number of Member States

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[2]   Including $1.41 M for the Emergency Fund.

increased their voluntary contributions to UNESCO compared with 2013 including Australia, Canada, Finland, Italy, the Republic of Korea, the Netherlands, Peru, Saudi Arabia, Sweden, Switzerland and the United Kingdom.

9.   Highlights since the submission of the last report to the Executive Board in September 2014 include the conclusion of a major multi-annual Programme Cooperation Agreement (PCA) with Sweden in the amount of around $54 million, as well as a PCA for 2015 with Norway in the amount of around $11.4 million. A new framework agreement was signed with Monaco in all fields of UNESCO's competence and with China on higher education in Africa and Asia in the amount of $2 million, and with the Republic of Korea on peace education ($3 million) and on ICT in education in Africa ($6 million). Significant funding was provided for programmes under standing framework agreements: Azerbaijan approved $2 million for programmes relating to girls education, higher education, and intangible heritage and joined the ranks of Nordic countries as a supporter of CAP-EFA. Malaysia approved around $2 million (for programmes relating to South-South cooperation. Canada granted CAN 900,000 for GMR, Germany renewed its long standing commitments to UNEVOC with contributions amounting to €3.1 million and provided significant in-kind and financial support for the hosting of the 39th session of the World Heritage Committee in Bonn in July 2015. Sweden increased its support for sexual and reproductive health education for Eastern and Southern Africa by an amount of approximately $500,000. Japan renewed its long-term support through annual commitments to World Heritage, intangible heritage, capacity-building of human resources, ESD, and programmes for education and for science in Asia and the Pacific. An agreement was also concluded with Qatar for a $0.9 million programme to promote cultural dialogue.

10.   UNESCO's work in crisis and transition situations continues to attract generous support from government donors. During the reporting period, Japan granted $5 million for projects relating to education of Syrian refugees, and internally displaced persons in Iraq, preservation of Iraq's cultural heritage, and mitigation of risks linked to flooding in certain Arab States, as well as $4 million for flood warning in Pakistan. The Saudi Fund for Development provided $4 million and Kuwait provided $5 million in support of the UNESCO education response to the Syria Crisis. Sweden provided an additional $2.8 million to bolster ongoing cooperation on the revitalization of the historic environment in Palestine. Italy pursued its commitment to UNESCO's work on cultural heritage at risk with contributions amounting to over $2 million for Egypt and Jordan. France provided €1 million for flood recovery of cultural institutions in Bosnia and Herzegovina.

11.   Voluntary contributions linked to self-financed arrangements remained relatively stable at $46.2 million compared to $48.4 million in 2013. Self-financed country-based cooperation is characterized over the period by a major new programme of cooperation with the Government of Peru on the development of teacher education.

Contributions to self-financed country-based projects in 2014[3]

Donor	Education (ED)	Natural Sciences (SC)	Culture (CLT)	Social and Human Sciences (SHS)	Communication and Information (CI)	Total Donor
Brazil	14,827,955	3,776,466	2,168,543	9,352,202	2,342,361	**32,467,527**
Burundi	141,170					**141,170**
Cameroon					1,757,865	**1,757,865**
India			824,172			**824,172**
Madagascar	265,235					**265,235**
Peru	10,690,278					**10,690,278**
Thailand			45,999			**45,999**
Total	**25,924,638**	**3,776,466**	**3,038,714**	**9,352,202**	**4,100,226**	**46 192 246**

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[3]   Source: Bureau of Financial Management (formerly called self-benefitting)

Private sector

12.   Voluntary contributions from private sector donors including companies, foundations, individuals and NGOs amounted to $41.5 million in 2014 compared to $51.1 million in 2013.

13.   In line with the importance attached by the Director-General to cooperation with the private sector and the conclusions of the Independent External Evaluation, UNESCO continued to place an emphasis on strategic and high-value partnerships especially with the BRICS. Partnerships with the Chinese private sector in particular have been further enhanced and diversified over the reporting period. New high-value agreements have been signed with the Chinese private sector with companies such as Weidong, Tang West Market group, Tencent, Perfect Game Holding, Elion and China World Peace Foundations amounting close to $9 million, including a framework agreement with the HNA Group/the Hainan Cihang Foundation ($5 million) in support of girls' and women's education in Asia and Africa.

14.   Similarly, the cooperation with UNESCO's long-standing partners Microsoft and Nokia were expanded over the reporting period including through the signature of new partnerships in support of ICTs in education for the amount of $500,000 and in support of adult literacy targeting four countries for the amount of $750,000. The activities will be implemented by UNESCO's Institute for Lifelong Learning (UIL, Hamburg).

15.   The period also saw the launch of a number of innovative partnerships including with Airtel Gabon in support of science education for Gabonese youth for the amount of $4.13 million representing a first partnership with a company originating from sub-Saharan Africa. UNESCO also further developed its various fundraising mechanisms with the private sector during the period. For example, in the context of the partnership with Juventus Football Club in support of Youth and Sport for inclusion and against discrimination, a fundraising event was organized in June 2014 "The UNESCO Cup". The high-level event offered an opportunity to generate funding through ticket sales the proceeds of which donated to UNESCO ($319,000). It also provided a platform for disseminating key messages about the partnership. In April 2015, UNESCO signed the Partnership Agreement with Al Hilal Football club with several sports celebrities in attendance. Cooperation with the Korean company CJ E&M and the CJ Welfare Foundation also offers pointers for new ways of fundraising. A Strategic Partnership Agreement was signed for promoting Girls' Education in the framework of the major music event, the "MNet Music Award Event" (MAMA) held in Hong Kong in December 2014. The fundraising and outreach were carried out by the partner through an online auction of items donated by artists and through a call for donations on a dedicated webpage with powerful visibility and advocacy components. Following the MAMA event CJ contributed $170,000 for girls' education.

16.   A framework agreement was signed with Seabourn Cruise Line Limited for the amount of $1 million to support the strategic objective of world heritage conservation and sustainable tourism. It was characterized by an innovative commitment by the partner to supplement its fixed contribution amount of $1 million with donations from its guests. Financial considerations aside, this partnership represents an opportunity for UNESCO to increase engagement with a key player in the tourism industry on sustainable tourism and in world heritage conservation and protection.

17.   Another new trend emerging in UNESCO's partnerships with the private sector is the possibility of mobilizing in-kind contributions such as equipment and/or facilities as part of a wider multi-stakeholder approach. In this context Panasonic provided equipment to enhance the facilities of the UNESCO Secretariat in the framework of the "Restoration and Improvement of Room I" project. Efforts will be made to replicate such approaches. Public donations raised through the well-established UNESCO TV Globo partnership "Criança Esperanza" remained an important source of income. In 2014, over $8 million was raised through this channel.

European Union

18.   Voluntary contributions from the European Union (EU) represented $15.1 million in 2014. Compared to 2013, there has been a decrease of $4.8 million. This is consistent with the wider pattern of EU funding to the United Nations in 2014.

19.   Nevertheless, during the reporting period UNESCO has reached for the first time ever the top ten ranking of United Nations beneficiaries. The EU remains the largest single multilateral donor of Official Development Assistance (ODA) in the world and there is still great potential for strengthening the cooperation with UNESCO.

20.   In 2014, new agreements concluded between UNESCO and the EU include: the rehabilitation of the cultural heritage of Timbuktu, Mali, the emergency safeguarding of the Syrian cultural heritage, strengthened governance of the natural and cultural heritage of the Lake Ohrid region, media development in Jordan and Myanmar, reforming technical and vocational education and training (TVET) in Iraq, supporting the International Task Force on Teachers for Education for All (phase II), as well as two projects funded by the Directorate-General for Research and Innovation under the Horizon 2020 programme: Stakeholders Acting Together On the ethical impact assessment of Research and Innovation (SATORI) and Inquiry Awards for Youth over Europe (Ark of Inquiry).

21.   In line with the CAP and in an effort to strategically develop the cooperation with the EU by adopting a more pro-active and dynamic approach, in 2014 UNESCO has focused in initiating the discussions on the new EU *Biodiversity for Life initiative* (B4Life) initiative and *Pan-African Programme*. Concept notes have been submitted on MAB, Africa Nature, Biospheres and Oceans on one hand, and EMIS, higher education, TVET, STI and fight against the illicit trafficking on the other hand.

22.   The regulations laying down the new EU's Multiannual Financial Framework for 2014-2020 requires that UNESCO demonstrates a level of financial management and protection of the EU's financial interests equivalent to that of the Commission to be entrusted with the corresponding budget-implementation tasks and receive funds. In this context, the EU has undertaken the *ex-ante* assessment called "7 Pillar assessment" on internal control, accounting, independent external audit, procedures and rules for grants, for procurement and for sub-delegation.[4] The outcome of the evaluation was reported as positive and confirmed UNESCO can continue receiving funds from the EU.

23.   However, new administrative arrangements for cooperation between the EU and United Nations agencies introduced on a pilot basis in January 2015 for a period of one year are raising implementation challenges for the United Nations as a whole because they represent an additional administrative challenge when selecting partners, preparing agreements and will also cause difficulties during the implementation of projects, notably for reporting purposes and eligibility of expenditures.

Multilateral development banks, regional economic communities and other multilaterals

24.   The overall funding from multilateral development banks and Regional Economic Communities amounted to $9.8 million in 2014. This represents a decrease compared to 2013 ($33 million) which was exceptionally higher than the previous year ($5.4 million in 2012) due to the $20 million received from the Global Partnership for Education (GPE) managed by the World Bank.

25.   Highlights during the period included the conclusion of a $2 million agreement with the Government of the Democratic Republic of Congo for the implementation of a major project in the area of education financed through a World Bank grant. The cooperation with the OPEC Fund for

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4   Six out of the seven pillars as the one related to "Financial Instruments" was not applicable to UNESCO.

International Development (OFID) has also been considerably increased by the signature at the beginning of 2015 of three new agreements amounting to a total of $2.3 million. Strategic cooperation with the African Development Bank, Inter-American Development Bank and World Bank has also been enhanced through high-level meetings of senior management of UNESCO and banks' representatives.

26. UNESCO also has well-established cooperation with a number of smaller multilateral organizations. Funding from these entities amounted to $160,206 in 2014 compared to $330,463 in 2013.

United Nations

27. In 2014, United Nations funding for development related and humanitarian activities reached $31 million which represents an increase of $13 million compared to 2013.

28. This increase is mainly due to the $10.2 million received from UNAIDS in 2014 for the Unified Budget Results Accountability Framework (UBRAF), set up to translate the UNAIDS strategy into action. The increase in cash transfers is also linked to the relatively constant level of funding received over the last two years (around an average of $5.3 million) from the UNDP Multi-Partner Trust Fund Office in its capacity of administrative agent of both multi-donor trust funds and thematic trust funds.

29. Other significant highlights in 2014 consist of a project on education of $1.9 million with OCHA to provide access to quality education to adolescents and young adults in Iraq and various country projects totalling $1.7 million supported by UNICEF. Further, UNEP continues to support UNESCO programmes on transboundary water assessment and UNDP has provided support in the amount of around $1.9 million for Communication and Information. Another highlight is UNESCO's participation in the implementation of projects amounting to $0.5 million under the United Nations Partnership on the Rights of Persons with Disabilities (UNPRPD), a unique collaborative effort that brings together United Nations entities, governments, disabled people's organizations and the broader civil society to advance disability rights around the world. The Peace Building Fund has funded peace-building programmes in Guinea, Guatemala, Nepal and Myanmar for $2.8 million. Also to be highlighted is support from UNICEF of $2.5 million for teacher and school leadership training and for formal education for out-of-school children in Somalia.

30. Over the period, UNESCO has worked on a sustained basis to improve its partnership with other United Nations partners mainly UNFPA, UNHCR, IFAD, ILO, UNEP, UNESCAP and UNDP in the field of education, culture and development; natural sciences and, communication and information with a focus on strengthening institutional and organizational capacity. Longer-term funding trends look optimistic, with the volume of United Nations-funded projects remaining steady over the past four years despite the challenges of the current funding environment, including those related specifically to the fact that UNESCO is a non-resident agency in a number of countries.

III.   Implementation, monitoring and evaluation

31. In the context of wider efforts to improve capacities for design, resource mobilization and delivery, training on project design and resource mobilization targeted at programme specialists has continued. Since June 2014, workshops have been organized for UNESCO field offices in Port-au-Prince, Cairo, Tunis and Amman as well as a regional training hosted by the UNESCO Beirut Office.

32. UNESCO's capacity has also been strengthened during the period through new and renewed secondment arrangements and the loan of personnel including from Angola, Australia, Belgium (Flanders), Brunei, China, Cyprus, Finland, France, Germany, Italy, Indonesia, Mexico, Norway, Japan, Philippines, Republic of Korea, Singapore, Sweden, Turkey, United Kingdom, as well as short-term deployments from the Norwegian Refugee Council to the UNESCO field offices in Accra

and Juba and negotiations with a number of other Member States in the pipeline. UNESCO also receives support from the private sector in this area with experts provided by the Anhook Foundation (Republic of Korea) and ENGIE (ex GDF-Suez) (France).

33.   The improvement of the evaluation of extrabudgetary activities remained a subject of close scrutiny over the period. In December 2013, IOS concluded a diagnostic study of 570 recent (self-) evaluation reports. The study found that most reports are meeting basic reporting requirements. However, many challenges remain. A number of initiatives are currently ongoing to address these challenges.

34.   Of particular importance in this regard is the presentation of the new UNESCO Evaluation Policy to the 196th session of the Executive Board in March 2015. The new policy sets out the principles for evaluation in light of the current challenges and demands for accountability and learning in the UNESCO system.

35.   For the first time in the history of the Organization, a comprehensive policy on evaluation has been developed to guide corporate (i.e. managed by IOS) and decentralized (i.e. managed by Programme Sectors) evaluations. The majority of evaluations of extrabudgetary activities fall under the latter category. Apart from providing more clarity on the principles, roles and responsibilities for decentralized evaluation, the new policy presents a number of new initiatives to strengthen the decentralized evaluation system. One of the novel aspects that is expected to be put into practice in the near future is the development of a network of evaluation focal points which, in collaboration with IOS, will constitute the core capacity for the planning, design and management of evaluations in the UNESCO system.

IV.   Update on the Implementation of the cost recovery policy

Process update

36.   Following the introduction of the "Budget for UNESCO" online tool (B4U) a second phase was envisaged to make improvements to the module and to provide reporting tools to monitor actual cost recovery against approved budgets. Changes were proposed at the end of 2014, both to enhance the system and to take into account comments made by the External Auditor with respect to cost recovery (187 EX/35 Part III). Due to overall resource constraints no follow-on action has been possible and changes in accounting and budgeting systems are now the subject of a more far-reaching review.

37.   A review is being undertaken of the standardization of elements of project costs, such as the cost of fixed-term Project Appointments. The work includes comparison to practices in other United Nations organizations.

38.   Further efforts are being made to harmonize donor agreements, particularly with respect to the work undertaken at the Financial Management Oversight Group (FMOG) at the United Nations level which is finalizing the process of reviewing standard legal agreements for joint programming activities under the United Nations umbrella (i.e. United Nations multi-donor trust fund agreements).

39.   Greater emphasis has been placed on training of staff in all aspects of the financial management of extrabudgetary projects during 2014 and 2015. Training sessions have been held at Headquarters with two Major Programme sectors (ED and SC), and three training sessions have been organized (in Amman, Beirut and Dakar) for programme specialists and administrative staff, bringing together personnel from different field offices. Additional field training sessions are planned and will be carried out subject to the availability of adequate funding.

40.   Taken together these efforts are intended to further streamline the administrative processing of project agreements, thereby decreasing the delays in the start-to-implementation process.

Trends in cost recovery

41.   This emphasis on training combined with simplified (but manual) processes and increased follow up has had an impact on amounts recuperated for Regular Programme staff time in the framework of full budgeting and cost recovery, as shown by the steady increase in the amounts recovered.

	2008	**2009**	**2010**	**2011**	**2012**	**2013**	**2014**
Revenue	42,624	43,770	184,317	631,996	779,930	1,415,289	1,910 814
movement %		3%	321%	243%	23%	81%	35%

42.   Budgets reviews also indicate a strengthening of budgeting for categories of direct costs (e.g. communications) which were not previously attributed. Development of reporting tools for tracking and consolidating actual charges against budget across projects will allow a better assessment of the impact.

43.   UNESCO recovers indirect variable costs by applying a programme support cost (PSC) rate (i.e. a percentage of the project's total expenditure). The following table shows the average PSC rate applied on extrabudgetary projects as well as its evolution from 2008 to 2014:

Average PSC Rates applied on extrabudgetary projects:							
	2008	**2009**	**2010**	**2011**	**2012**	**2013**	**2014**
Average PSC rate applied	9.0%	9.7%	8.6%	10.4%	9.3%	11.1%	10.0%
$ amount PSC generated *	9,328,422	12,018,090	13,146,789	14,157,468	14,772,764	14,246,255	14,442,410
* Excluding UBO business area.							

44.   A total of $12.1 million was charged in costs in 2014 against 2013 income, against a budget of $12.8 million.

45.   The costs to be covered by the PSC rate income in 2015 include $2.3 million for field office administrative costs, $10 million for 10 programme sectors and 53 central service administrative posts and $145,000 for mainly External Audit costs.

Harmonization of cost recovery rates with in United Nations system

46.   The issue of harmonization of cost recovery rates for United Nations agencies' pooled funds has been discussed by a Working Group of the Finance and Budget Network of the United Nations High-Level Committee on Management (HLCM). The survey of the working group confirmed a variety of practices among the 16 organizations[5] that participated when it comes to recovery of indirect costs, indicating that different models are being used to achieve a balance between the flat rate PSC/programme support costs applied and implementing the QCPR (quadrennial comprehensive policy review) decision on the principle of full cost recovery and proportionally from core and non-core-funding sources. All of the 16 organizations were committed to implementing a full cost recovery policy; however the responses to the survey on PSC rates showed that current practices are varied.

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[5]   UNICEF, FAO, UNOPS, UN Women, IAEA, UNDP, ITU, UNAIDS, IFAP, WFP, ILO, UNIDO, UNFPA, WHO, United Nations Secretariat, UNESCO.

Project Support Cost rates (flat rates for indirect administrative costs)	number of UN organisations				
	Single donor, programme or project specific contributions	Entity specific (thematic) trust funds	UN inter-agency pooled funds	Local 'government contributions'	Other type (EC, Private donor)
0%			1		
3 to 5%				4	2
7%	4	7	6	2	2
8%	4	2	4	1	1
10%			1		2
13%	5	3		5	
Variable	2	2	4		5
No answer or N/A	1	2	1	4	4
UNESCO	**13%**	**10%**	**7%**	**Variable**	**Variable**

47.   The Group's draft report was discussed at a meeting of the Finance and Budget Network in June 2015. Although the Group's work and recommendations concern only United Nations jointly-administered projects, it is anticipated that any conclusions concerning programme support costs (i.e. indirect administrative costs) will eventually lead to a more widespread application of the same rate. Based on the work carried out by the Working Group, the FBN reached the following conclusions and will make appropriate recommendations to the UNDG along these lines:

- The FBN acknowledged that the co-existence of different approaches to cost recovery rates poses administrative difficulties and generates confusion among stakeholders;

- While recognizing it support towards mechanisms and approaches that would ensure full cost recovery, there was no consensus to reduce the existing cost recovery rates and a transition period would be necessary before reaching harmonized rates;

- The outcome of the mid-term review of the cost recovery policy of UN Women, UNDP, UNICEF and UNFPA scheduled for 2016 will contribute to the harmonization process.

UNESCO cost recovery policy review

48.   The CRP Working Group in 2013/2014 put into place strengthened mechanisms for direct cost budgeting and discussed the potential reduction of PSC rates.

49.   Particular areas that UNESCO will need to address for a revised cost recovery policy will include:

(i)   Risk of budget deficit: Simulations of a number of scenarios of reduced PSC rates in 2014 showed that income generated could fall by between 14% and 25% and result in a shortfall of between $1.4 million and $3.3 million on the approved budgets. To guarantee the same level of FITOCA income and preserve the number of posts financed under FITOCA, a reduced PSC implies that the Organization would have to increase its annual expenditure rate by an average of 12.3% to 20.5%.

(ii)   The volume of individual projects: In the first quarter of 2015 more than 54% of new UNESCO projects had values below $250,000 and only 20% were more than $1 million. A quarter of all new projects had a value of less than $100,000. This is, however, an improvement over 2013 where individual donors contributing less than $100,000 represents 58% of the number of donors but only 4% of the funds received for the year. Such large number of smaller projects makes it difficult to reduce PSC as

there is insufficient income to cover the administrative process involved in managing and reporting on those projects. The financial impact of a reduced PSC would have to be further assessed. Mechanisms for setting PSC rates based on the project values are being considered such as applying reduced PSC rate for large-scale projects.

(iii) Common definition of variable project costs: the lack of a common definition of project direct costs within the United Nations system made it difficult to align the PSC rates. The policy review will require a revision of the categories of costs classified as direct and indirect, based on a comparison to practices in other United Nations organizations.

(iv) Interest distribution: UNESCO currently distributes two thirds of the interest while some United Nations agencies have policies which retain all interest generated from extrabudgetary funds as part of the income to support the administrative costs of the Organization.

50. The review of UNESCO's cost recovery policy will resume in 2016, taking into account the outcome of the mid-term review as noted in the decision of the FB Network.

Proposed decision

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

The Executive Board,

1. Having examined document 197 EX/5 Part IV (B) and 197 EX/5 Part IV Add.,

2. Welcomes the efforts by the Director-General to strengthen the strategic orientation, coherence and programmatic concentration of the Complementary Additional Programme with specific reference to the development of targets for each expected result of document 37 C/5;

3. Acknowledges that despite the decrease in voluntary contributions in 2014, the level of cash received by the Organization is consistent with the level of voluntary contributions in 2012 and 2011;

4. Reiterates the importance of the application of full budgeting principles and takes note of progress relating to the implementation of the cost recovery policy and of full budgeting;

5. Welcomes the draft resource mobilization strategy for 2016-2017;

6. Requests the Secretariat to engage in the first semester of 2016 in a structured dialogue on financing to stimulate an exchange of views on how to ensure a better match between the expected results of the C/5 document and the resources to finance them, and to continue to reinforce mechanisms for receiving flexible funding and lightly earmarked contributions;

7. Encourages the Secretariat to continue to improve the enabling environment for resource mobilization through further investment in training, timely information on funding opportunities, and information sharing, through the review of administrative procedures, agreement templates and modalities for managing funds, and the mobilization of complementary human resources through loans and secondments;

8. Invites the Director-General to report to it at its 200th session on further developments and challenges encountered with regard to the management of extrabudgetary

resources, to resource mobilization, and to the implementation of the cost recovery policy and the total costs recovered.

C. Participation Programme and Fellowships
(Follow-up to 37 C/Resolution 72 (A-II))

1.   This document reports on results regarding the requests approved by the Director-General as of 10 July 2015, coming from Member States, Associate Members and NGOs for the 2014-2015 biennium and on results expected from the implementation of the Participation Programme and emergency assistance. Out of the requests received during the biennium, only those relating to the priorities set by the Organization have been approved by the Director-General, following evaluation by the programme sectors and recommendation by the Intersectoral Committee on the Participation Programme.

2.   To date, 537 requests, which amount to a total of $11,908,468, have been approved by the Director-General, including for emergency assistance. This amount, which represents nearly 100% of the overall appropriation for the Progamme's direct costs under document 37 C/5 Approved, is broken down as follows: (a) Member States: $10,593,475 for 483 requests; (b) NGOs: $582,239 for 39 requests; (c) emergency assistance: $732,754 for 17 requests.

3.   The approval process ended three months earlier than in the previous biennium, in early April 2015, following the fifth meeting of the Intersectoral Committee. This is the result of improved Programme management following the introduction of new operational methods. The latest approved funds were thus transferred earlier, enabling beneficiaries to implement the projects in better conditions.

4.   At its meetings, the Intersectoral Committee paid special attention to the projects linked to the Organization's global priorities and strategic programmes, to ensure that they were of particular benefit to Africa, least developed countries (LDCs), small island developing states (SIDS) and developing countries. It should be noted that Africa received $4.5 million, which represents 38% of the approved funds. The Intersectoral Committee recommended to the Director-General only those requests from Member States that had fulfilled their reporting obligations. Some 26 requests were not approved as they did not comply with the criteria of 37 C/Resolution 72 on the Participation Programme.

5.   It should be noted that a very large number of States (more than 80%) complied with the gender equality criterion. The Intersectoral Committee requested those which had not complied with it to submit a new gender equality project in place of one of their seven requests. There has been a considerable increase in the number of gender equality projects: more than 100 projects were approved for this biennium, accounting for more than 21% of the funds, which was four times more than in previous biennia.

6.   In accordance with 37 C/Resolution 72 of the General Conference, no financing was provided for supplies and equipment that were not linked to operational works within the framework of these projects or for the recurrent costs of the beneficiary organizations.

7.   With regard to financial reporting on the projects financed in 2012-2013, there has been significant improvement in the quality and presentation of the reports. As it has not been decided at this stage that the field offices would validate these financial reports, the Bureau of Financial Management (BFM) selected a new series of requests for the period 2012-2013, for which all substantiating documents were requested. The selected sample comprises some 10% of the projects and 38% of the bodies that have received a contribution, and strictly complies with geographical distribution criteria. It consists of 61 requests totalling $1.2 million, which represents a very significant increase compared with the 20 requests selected for the 2010-2011 biennium.

8.   It should be noted, however, that there were some shortcomings in the presentation of the financial reports, such as discrepancies with the breakdown of expenses initially approved, absence of signature from the senior finance officer of the National Commission, the absence of a stamp or a presentation of expenses that does not correspond with the total amount stated in the

financial report. The Secretariat has enhanced the regular dialogue with the National Commissions by providing them with guidance in the proper presentation of their financial reports pursuant to 37 C/Resolution 72.

9.   The programme sectors have evaluated activity reports in greater detail so as to bring to light the concrete implementation of projects and highlight their actual impact. The 2014 annual report on the activities of National Commission showed that projects funded under the Participation Programme accounted for a very large share of their successes. The timeframes for the post facto evaluation of activity reports by sectors will be shortened so as to enable the rapid payment of funds approved for this biennium.

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

(a)   Breakdown of requests approved by programme sector

Sector	Number of requests	Amount approved
ED	219	4,762,929
SC	74	1,691,860
SHS	106	2,212,612
CLT	120	2,550,823
CI	78	1,718,354
ODG/GE	106	2,233,421
ERI	29	536,282

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

Region	Number of requests	Funds allocated $	Expenditure $	Rate of expenditure % au 18.06.2015
Africa	167	3,709,612	3,598,195	97%
Asia and the Pacific	106	2,264,294	1,974,766	87%
Latin America and the Caribbean	108	2,473,222	2,432,776	98%
Arab States	46	1,108,929	1,108,929	100%
Europe	54	1,037,418	1,007,418	97%
NGO	39	582,239	582,239	100%
Emergency assistance	17	732,754	732,754	100%
TOTAL	**537**	**11,908,468**	**11,437,077**	**96%**

(c)   Breakdown by priority group

Group	Number of requests	Amount approved US $
Africa	199	4,504,057
Women	106	2,233,421
Youth	113	2,411,713
Least developed countries (LDC)	181	4,117,003
Small island developing States (SIDS)	99	2,212,349

(d)   Requests approved under emergency assistance

State	Number of requests	Amount approved US $
Burundi	1	50,000
Guinea	1	50,000
Liberia	1	49,754
Malawi	1	50,000
Mali	1	30,000
Central African Republic	2	52,000
Democratic Republic of the Congo	2	75,000
United Republic of Tanzania	1	50,000
Palau	1	50,000
Saint Lucia	1	50,000
Palestine	1	50,000
Bosnia and Herzegovina	1	50,000
Croatia	1	50,000
Serbia	1	50,000
Ukraine	1	26 000
TOTAL	**17**	**732,754**

Proposed decision

11.   In view of the above, the Executive Board may wish to adopt the decision below:

The Executive Board,

1,   <u>Having examined</u> document 197 EX/5 Part IV (C),

2,   <u>Takes note</u> of the detailed analysis of the implementation of the Participation Programme and emergency assistance and of the results achieved;

3,   <u>Invites</u> the Secretariat and Member States to continue active cooperation so as to further strengthen the Programme for the benefit of the priority groups of Member States as defined in 37 C/Resolution 72 on the Participation Programme.

D. Invest for Efficient Delivery
  (Follow-up to 196 EX/Decision 15)

Introduction

"*A UN system that is 'fit for purpose' to deliver on the post-2015 agenda is one that is relevant, innovative, agile, inclusive, coordinated and results-orientated. It is guided by universal human rights and international norms, integrates the UN's normative frameworks with its operational activities, and is responsive to the differentiated needs of countries.*"[6]

1.   At its 196th session, the Executive Board decided (196 EX/Decision 15 (paragraph 16) that an "Invest for Efficient Delivery Fund" be created, and invited the Director-General to present at its 197th session, a prioritized investment plan with targets as well as the Financial Regulations of the fund. This document provides for discussion the initial outline of such a plan to be funded from the special account to be created for that purpose, as well as a limited set of high-priority areas for investment. It also presents the related Financial Regulations in the Annex.

2.   In line with the above-mentioned decision, the fund is proposed to be used exclusively to invest in the reform initiatives launched to support UNESCO to be effective and efficient and play a leadership role in the implementation of the post-2015 development agenda and the sustainable development goals (SDGs). Critically, it also covers areas which cannot be funded through regular programme funds as foreseen in the draft document 38 C/5.

3.   The post-2015 development context provides the opportunity to rethink the way UNESCO delivers on its mandate supporting its Member States to achieve the SDGs at the global, regional and national levels, aligned with the demands of a larger United Nations system-wide reform agenda.

4.   This ambitious and transformative agenda will require a well-coordinated, nimble and flexible United Nations system, able to support countries collaboratively to deliver on their sustainable development commitments. For UNESCO, both in its normative and operational roles, the new agenda will constitute an essential reference in future engagement with its Member States. To this end, it needs to take a comprehensive look at its objectives, priorities, operations and funding modalities in pursuance of the following two objectives:

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

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

5.   At the March 2015 United Nations High-Level Committee on Management (HLCM) meeting, UNESCO's Director-General as Chair of the HLCM highlighted the need to "align operational issues with programmatic needs, as effective programming requires efficient operational support" (CEB/2015/3). To this end, UNESCO has developed its reform strategy that encompasses ongoing, as well as new initiatives, aimed at improving programme delivery, efficiency and effectiveness and while doing so, working closely in tandem with other actors in the United Nations system so as to better identify synergies, complementarities and cost effectiveness at the county level (e.g. Delivering as One (DaO)).

Developing UNESCO's "Invest for Efficient Delivery" plan

6.   UNESCO's contribution to the implementation of the post-2015 development agenda and the achievement of the SDGs and targets entails therefore the strengthening of its capacity to deliver

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[6]   *The Road to Dignity by 2030: Ending Poverty, Transforming All Lives and Protecting the Planet.* United Nations, New York, December 2014.

high quality policy advice, support and related programmes to respond more effectively to Member States' needs and priorities.

7.   In preparation for this present document, UNESCO staff from all sectors and units, at and away from Headquarters, participated in brainstorming workshops to identify operational issues and challenges linked to programme and project delivery, and propose possible pathways for addressing hurdles and enhancing delivery. The process was facilitated by a reputable consultancy firm experienced in undertaking similar exercises with international agencies, including United Nations, and institutions based in France.[7]

8.   In a parallel exercise, members of UNESCO's Senior Management Team have continued its discussions related to UNESCO's strategic positioning, and identified core areas and challenges which the Organization needs to address in the near future.

9.   The following proposed lines of action of the "Invest for Efficient Delivery" plan are the present outcome of the collective thinking and commitment of the Organization's staff in identifying, at this time, broad areas where reform is needed to make UNESCO better equipped, flexible and agile, and able to respond to the increasing expectations of its stakeholders.

10.   Recognizing that reform is not static and must be evolving and adapting as challenges and opportunities arise, the "Invest for Efficient Delivery" plan remains a rolling strategy. Moreover, the plan capitalizes on existing reviews and studies conducted, namely: the Independent External Evaluation (IEE), IOS reports and evaluations, External Audit recommendations, task forces, Efficiency Working Group and TASCO recommendations, as well as the recent KM and ICT strategy, and relevant initiatives discussed and developed within the HLCM and its networks, UNDG and HLCP.

11.   To ensure that the "Invest for Efficient Delivery" plan is relevant and effective, a strong governance mechanism is foreseen, that brings together both the programme sectors and the support and corporate services of the Organization.

Main lines of action of the "Invest for Efficient Delivery" Plan

12.   The initial consultations have identified eight key areas necessary to strengthen UNESCO's leadership role in its areas of competence in the implementation of the post-2015 agenda:

- Streamlining and re-aligning overall structures to become more effective and accountable;

- Staff training and skills development;

- Improving and sharpening resource mobilization processes and strategies;

- Ensuring structured delivery especially in the field for country- and regional-level support;

- Sharpening delivery modalities and appropriate mechanisms/tools (capacity development; normative; partnerships; etc.);

- Reviewing and improving operational modalities; streamlining work processes so as to achieve cost effectiveness, efficiencies;

- Improving programme/project management, including monitoring, reporting and evaluation; and risk mitigation; as well as organizational learning;

- Re-design and development of appropriate technologies.

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7   The cost of the services was co-shared between UNESCO and the contractor.

13.   Based on the preparatory work, a number of action points were identified and are being currently developed.

14.   In the meantime, however, it is felt that two priority areas are in need of immediate support and have been costed:[8]

(a)   Training and skills development:

15.   Reorienting UNESCO's actions and increasing the Organization efficiency and effectiveness will require a new working culture that must be embraced by the Secretariat as a whole and will need time to take root. Innovative, agile and flexible working procedures and combined with an entrepreneurial management approach can only be effective when fully appropriated by staff. Thus entailing as a priority the development and implementation of a "learning and development plan" to address the learning needs of staff to build and enhance their capacity to deliver (see document 197 EX/5 Part V, C). The cost for this is estimated at €1.4 million.

(b)   Re-design and development of appropriate technologies

16.   At its 196th session, the Executive Board endorsed the Knowledge Management and Information and Communication Technology (KM & ICT) Strategy. The strategy aims at enabling programme planning, delivery and evaluation, focusing on three main objectives:

   (a)   Optimize ICT systems, networks and tools across the Organization based on latest technologies and best practices;

   (b)   Enhance organizational learning, evidence-based decision-making and performance through knowledge management and knowledge sharing supported by efficient and effective KM & ICT tools;

   (c)   Contribute to innovation and change through the KM & ICT-based optimization of business processes.

17.   The total estimated investment required in this area is €5,270,000.

The "Invest for Efficient Delivery" plan governance structure

18.   It is proposed that the development of the "Invest for Efficient Delivery" plan be entrusted to the Programme Management Committee (PMC), which is already entrusted with the oversight and guidance of the programme by DG/Note/15/13 dated 22 June 2015. The Deputy Director-General as Chair of the PMC directly supervises the programme and reports thereon regularly to the Director-General.

19.   It is envisaged that this plan be reviewed and adjusted at regular intervals and include ongoing assessments of the continued relevance and feasibility of approved initiatives with the changing environment and evolving needs of stakeholders.

20.   The Director-General will report to the Executive Board on an annual basis on the progress of the "Invest for Efficient Delivery" plan.

21.   The plan will be monitored on a periodic basis by the Programme Management Committee (PMC) and will be evaluated after a two-year period to assess its results, and reported upon accordingly.

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[8]   More details are provided in document 197 EX/5.INF.2.

The way forward

22.   It is intended that the rest of the investment plan will be developed in time for the spring 2016 session of the Executive Board and will include prioritized and costed activities in the areas listed above (para. 12), fully taking into account the discussions at the 197th session of the Board and the 38th session of the General Conference on UNESCO's role in the post-2015 development agenda.

Proposed decision

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

The Executive Board,

1.   <u>Recalling</u> 196 EX/Decision 15, and 196 EX/Decision 4 (II, E),

2.   <u>Having examined</u> document 197 EX/5 Part IV (D),

3.   <u>Takes note</u> of the "Invest for Efficient Delivery" plan as set out in document 197 EX/5 Part IV(D);

4.   <u>Recognizes</u> the need to establish a specific "Invest for Efficient Delivery" account;

5.   <u>Further recognizes</u> that the initiatives foreseen under the Invest for Efficient Delivery plan will be funded from the new special Account "Invest for Efficient Delivery" within the limits of funds available;

6.   <u>Takes note</u> of the Financial Regulations (annexed hereto) of the following Special Account: "Invest for Efficient Delivery";

7.   <u>Appeals</u> to Member States to consider providing voluntary contributions to complement the available budget resources;

8.   <u>Requests</u> the Director-General to ensure the implementation of the "Invest for Efficient Delivery" plan, and report on the progress achieved at its 200th session.

ANNEX

**FINANCIAL REGULATIONS OF SPECIAL ACCOUNT
FOR *INVEST FOR EFFICIENT DELIVERY***

(Deviations from the standard text model 161 EX/Decision 7.10 are shown in italics)

Article 1 – Creation of a Special Account

1.1   196 EX/Decision 15.16 establishes a Special Account called "invest for efficient delivery" fund. Given the multi-donor nature of the fund, it will be managed as a Special Account.

1.2   In accordance with Article 6, paragraph*s* 5 and 6 of the Financial Regulations of UNESCO, there is hereby created a Special Account for *Invest for Efficient Delivery,* hereafter referred to as the Special Account.

1.3   The following regulations shall govern the operation of the Special Account.

Article 2 – Financial period

The financial period shall correspond to that of UNESCO.

Article 3 – Purpose

The fund is to be used exclusively to invest in the ongoing "Reform" initiatives launched to position UNESCO to deliver on the Sustainable Development Goals (SDGs) linked to its mandate and to undertake a continuous improvement programme to produce greater efficiency gains and cost optimization so as to free up resources towards strengthening programme delivery as well as its delivery time; this will include leveraging opportunities within the post-2015 agenda and to participate in the United Nations wide reform.

Article 4 – Income

In light of 196 EX/Decision 15.18, the income of the Special Account shall consist of:

   (a)   funds transferred from the Special Emergency Multi-Donor Fund for UNESCO Priority Programmes and Reform Initiatives under the 35 C/5 and 36 C/5;

   (b)   voluntary contributions from States, international agencies and organizations, as well as other entities;

   (c)   such amounts provided from the regular budget of the Organization as might be determined by the General Conference;

   (d)   miscellaneous income, including any interest earned on the investments referred to in Article 7 below.

Article 5 – Expenditure

5.1   The use of the resources of the Special Account will exclusively finance ongoing investments in reform and improving UNESCO's programme delivery in order to produce ever greater efficiency gains and cost optimization in support of programme delivery.

5.2   The Special Account shall be debited with the expenditure relating to its purpose as described in Article 3 above, including administrative expenses specifically relating to it.

Article 6 – Accounts

6.1   The Chief Financial Officer shall maintain such accounting records as are necessary.

6.2   Any unused balance at the end of a financial period shall be carried forward to the following financial period.

6.3   The accounts of the Special Account shall be presented for audit to the External Auditor of UNESCO, together with the other accounts of the Organization.

6.4   Contributions in kind shall be recorded outside the Special Account.

Article 7 – Investments

7.1   The Director-General may make short-term investments of sums standing to the credit of the Special Account.

7.2   Interest earned on these investments shall be credited to the Special Account.

Article 8 – Reporting

The Director-General will report on this Special Account to the Executive Board at least once year.

Article 9 – Closure of the Special Account

The Director-General shall consult with the Executive Board prior to the closure of the Special Account at such time as she deems that its operation is no longer necessary.

Article 10 – General provision

Unless otherwise provided in these Regulations, the Special Account shall be administered in accordance with the Financial Regulations of UNESCO.

E.   Criteria for introducing new and maintaining existing programmes, for regular and extrabudgetary programmes
(Follow-up to 196 EX/Decision 15 (II))

1.   By decision 196 EX/Decision 15 (II), the Executive Board requested the Director-General "to propose to the Executive Board at its 197th session criteria for introducing new and maintaining existing programmes, for regular and extrabudgetary programmes".

2.   The present document aims at responding to this request.

Background

3.   It is worth recalling several elements of background:

(a)   *Relevance of criteria for programme focus:* in its follow-up to the IEE recommendations for Strategic Direction 1 regarding the increase of UNESCO's focus, and within the context of the Director-General related action plan, the Secretariat committed to work on identifying and recommending suitable criteria that should guide decisions on introducing new and maintaining existing programmes for regular and extrabudgetary programmes. Starting with the 37 C/5, Programme and Budget, priority-setting and decision-making were enabled by consultations throughout 2012-2013, guided by the following criteria: (i) programme alignment with the strategic programme objectives; (ii) capacity to deliver and the probability of real impact (through assessment of the budgetary and human resources available); (iii) delineation and comparative advantage as well as complementarity with the activities of United Nations partners; (iv) formulation of exit strategies and sunset provisions (as in the Resolution of each Major Programme in the Approved 37 C/5); and (v) periodic assessment of programme performance and their implementation rates (e.g. in the various statutory reports on programme execution (EX/4), EX/5 and other theme-specific reports, and related decisions by the Executive Board).

(b)   *Request for programme reviews:* in the 37 C/5, under all Major Programmes, the General Conference authorized the Director-General "to undertake, during the period 2014-2017, a review of the main lines of action and their expected results, including those of the intergovernmental and international programmes and category 1 institutes pertaining to Major Programme [x], and to propose their continuation, reorientation, including possible reinforcement, exit strategies or termination, based on clear evaluation criteria".

(c)   *Stakeholders feedback:* in pursuance of 195 EX/Decision 4 (V) in relation to the stakeholders' feedback survey, the Secretariat will draw from a number of surveys undertaken in the last biennium and, if resources and time constraints allow, will undertake a survey on information gaps detected during the scoping phase of the Strategic Results Reporting (SRR) exercise.

(d)   *Strategic Results Report (SRR, spring 2016):* one of the objectives of the recent discussions and consultations on the new reporting format (new format for EX/4 and C/3 documents) has been to make reporting more relevant for strategic decision-making and future programme orientations. The new approach to reporting (195 EX/Decision 4 (V)) envisages the preparation by the Secretariat, for the third spring session of each quadrennium, of a strategic and analytical report, the Strategic Results Report (SRR), which should inform and facilitate strategic decision-making and future planning, and enable the Executive Board to forward recommendations to the General Conference concerning the concrete and precise implementation of sunset clauses for UNESCO's programmes, and specifically whether programmes should be terminated or continued, as requested by the 37th session of the General Conference.

As indicated by the Preparatory Group in its report (195 EX/4 Part V – PG/Report), the SRR shall provide information on the following: "(i) whether UNESCO's activities have led to changes for all stakeholders or not? (ii) Whether UNESCO has an added value (niche) in its areas of intervention in regard to other organizations? and (iii) proposals and solutions on how to address identified challenges, as well as future areas of work and programme orientations".

Developing criteria for introducing new or maintaining existing programmes as part of the preparation of the Strategic Results Report (SRR, spring 2016)

4.   In light of the above, it is proposed that the Strategic Results Report (SRR) to be presented to the Executive Board's spring session of 2016 to inform and facilitate its strategic decision-making and future planning, should contain concrete recommendations on the future of the programme, including whether programmes should be terminated or continued. A broad range of inputs will be used in the preparation of the SRR, including relevant evaluations and audits, as well as stakeholder feedback and programme reviews.

5.   Key criteria to be used in this exercise will include:

(a)   *Relevance, a*ssessed in particular through:

- Alignment with the Major Programme's overall strategy and objectives;

- Contribution to the achievement of SDGs and/or national priorities;

- Focus on global priorities Africa and Gender Equality;

- Focus on target country/population groups (LDCs; PCPD; SIDS; Youth, and the marginalized).

(b)   *Capacity to deliver,* assessed in particular through:

- Staff capacities and expertise;

- Partnerships;

- Significant extrabudgetary resources;

(c)   *Comparative advantage/value-added,* assessed in particular through:

- Programme/project uniqueness/niche (UNESCO is the only United Nations player in the field);

- Programme/project targets emerging issues in UNESCO's fields of competence;

(d)   *Demonstrable contribution and tangible results,* assessed in particular through:

- Tangible and measurable results, directly attributable to the programme;

- Degree of visibility.

(e)   *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.

6.   It is proposed, in particular, that these criteria be used in the course of programme reviews to be undertaken in pursuance of the 37 C/Resolution 5 in each Major Programme.

7.   Finally, it is recalled that the Director-General's consultations on the future draft C/5 document will continue with the survey of Member States, relevant international organizations and NGOs, to be launched in spring 2016 in the form of an online questionnaire. The questionnaire will be designed in accordance with the overall framework set for the Draft Programme and Budget by the 38th session of the General Conference resolution, while drawing also on lessons learned from the previous exercise conducted in relation to the preparation of document 37 C/5. Respondents will be asked to express their views and national preferences; rank UNESCO's programmes by level of priority, including in terms of budget allocation; and identify those thematic areas in which UNESCO should strengthen, re-orient, or phase out its actions.

8.   Further consultations with Member States, including their National Commissions will be organized at the regional and sub-regional levels to inform the preparation of the future Programme and Budget for 2018-2021 (39 C/5). (See document 197 EX/5 Part IV (A) for further details).

9.   In accordance with the 38th session of the General Conference Resolution, and the Executive Board's guidance and decisions formulated at the spring 2016 session in the context of the SRR, and taking into consideration Member States' and stakeholders' views expressed in their replies to the questionnaires and the regional summary reports of the consultations, the Director-General will formulate the Preliminary Proposals concerning the draft document 39 C/5, including proposals for new programmes, and the continuation, reorientation or termination of programmes and/or areas of work.

F. **Proposal for presenting the performance indicators (PI) and targets related to the global priorities Africa and gender equality**
(Follow-up to 196 EX/Decision 15 (II))

1.   At its 196th session, the Executive Board requested the Director-General to present a proposal for presenting the Performance indicators and Targets related to the Global Priorities Africa and Gender Equality in a way that increases their mainstreaming and visibility and does not restrict them to a specific Global Priority Expected Results section.

2.   The Secretariat has examined this issue. It is recalled that the progress assessments for all C/5 expected results are available to Member Sates directly through SISTER prior to the Executive Board session in time for the Preparatory Group meeting. Additionally, the C/5 Expected results of Global Priorities Africa and Gender Equality under the five Major Programmes will be specifically reported upon in future Programme Implementation Reports (PIR) and Strategic Results Reports (SRR). This should allow full visibility concerning the implementation of the Programme related to the two Global Priorities.

3.   Considering that the 37 C/5 programme, including the expected results, performance indicators and targets for Africa and Gender Equality, has been adopted for 2014-2017, the next 39 C/5 exercise will be the opportunity to review and, as needed, revise the presentation of the Global Priorities and their associated results chain.

4.   In light of the above, the Director-General proposes to defer this document to the Executive Board at its 201st session at which time the Draft Programme and Budget (39 C/5) will be presented.

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

1.   At its last session, the Special Committee of the Executive Board considered document 196 EX/5 (IV, C) and reviewed the progress made on the implementation of 192 EX/Decision 16 (VII) of the Executive Board on the enhancement of efficiency and effectiveness of Board sessions in light of the move to a four-year programme cycle, and to an eight-year Medium-Term Strategy cycle. As presented in its report (document 196 EX/37), the Special Committee recalled the terms of reference of its Committee in 193 EX/Decision 7 (I), and in particular underlining the mandate of the Committee to consider items related to the methods of work of the General Conference and the Executive Board. The terms of reference of the Preparatory Group in 193 EX/Decision 7 (IV) and its important role in assisting the Executive Board to increase efficiency were also recalled. In this regard, the Committee expressed its appreciation for the presentations of the items submitted by Member States in the Preparatory Group as a means to facilitate discussions and decisions.

2.   Mindful of the high costs for printing documents, translation, interpretation and evening sessions of the Board, the Committee also expressed their appreciation concerning the distribution of pre- and post-session Executive Board documents including the possibility of opting out of receiving those documents in paper versions, if desired, following 195 EX/Decision 5 (IV, E). The last request in this regard was sent on 30 June 2015 to Members of the Board, and to all Member States, with a deadline to receive replies by 4 September 2015. This is an ongoing and standard practice in efforts to identify savings in the functioning of the Board. The same procedure is being followed for the General Conference.

3.   The Committee also acknowledged the need to consider the proposed new format for UNESCO statutory results reporting (EX/4) when scheduling the work of the Executive Board. In consideration of this request and pursuant to 196 EX/Decision 5 (IV, C), the Board invited the Director-General to publish online the draft decisions submitted by Member States to the extent possible as from the 197th session of the Executive Board. This request was examined by the informal Task Force of the Executive Board on Governance. The Group recommended that sufficient time should be allowed for consultations to be held among Member States and electoral groups, and also for the collection of sponsors. As regards to the publication online of draft decisions, this should be ensured at least 48 hours before they are discussed, in accordance with the established rules of procedure of the Executive Board on time-limits for the distribution of documents.

4.   Further to this decision, the Board also decided to pursue at this session, the examination of proposals for the schedule and workload of the Board sessions for the 2016-2017 biennium taking into consideration the following:

(a)   better match the workload with the number of sessions assigned to the Committees and Commissions of the Executive Board in order to save money and time;

(b)   improve the selection mechanism of items to the Preparatory Group reflecting its mandate, and ensure that its report and its recommendations better reflect its debates;

(c)   the follow-up of the external audit of the governance of UNESCO and dependent funds, programmes and entities should be examined by the Special Committee;

(d)   the possibility of having the items related to the organization of the General Conference considered by the Special Committee, in light of the move to a four-year programme cycle.

5.   With regards to the first proposal, and pursuant to 192 EX/Decision 16 (VII), efforts have been made to save time and money by shortening Board sessions (having shorter sessions at the first and fourth session in each biennium, and longer sessions for the second and third), by better matching the workload of the Executive Board with the number of sessions assigned to its Committees and Commissions, and by prioritizing and better rationalizing sessions, by grouping agenda items, thus avoiding their dispersal. This process is however largely dependent on a few determining factors, namely, the number of new items proposed by Member States, and on the evolving role of the Preparatory Group to better prepare the work of the Commissions, foreseeing for possible items requiring lengthy and more substantive debate. As an example, at its 195th session, the Board concluded its work one-day ahead of schedule, whereas for the 196th session, due to the number of new items requiring more in-depth substantive debate, one extra day of work for the Board was added as well as a number of extended and late evening sessions were required by the Committees and Commissions.

6.   With regards to the selection mechanism of items being dealt with by the Preparatory Group, further to 193 EX/Decision 7 (IV), the distribution of items was done in close consultation with the Chairpersons of the FA, PX, and PG Commissions as per the terms of reference of this Group: the examination of information provided by the Director-General on the execution of the programme and on related budget issues (EX/4) including intersectoral and extrabudgetary activities; evaluations and the related policy recommendations; preparations for and follow-up to major conferences and world reports; analysis of challenges and recommendations and how to address them through the ongoing programme implementation and in the planning of the future programme cycle; preparation of substantive input to the draft report of the Executive Board to the General Conference on the implementation of the C/5 document (C/9 document). The organization of the work of the Commissions will be facilitated when making full use of the Preparatory Group, in accordance with these terms of reference.

7.   Concerning the follow-up of the External Auditor's report on the governance of UNESCO and dependent funds, Programmes and entities, this item will be examined by the 38th session of the General Conference, after having been reviewed at the 196th and 197th sessions of the Board. The follow-up of the audit report will depend to a large extent on the decision of the General Conference on this matter. The Board will also need to examine how the recommendations of the informal task force of the Executive Board on Governance would fit in this process.

8.   Concerning the traceability of sub-elements contained in the Executive Board documents such as the EX/5 (196 Decision 5 (IV, C), paragraph 11), efforts will be made to improve it, in particular through technical solutions. In this respect, the Secretariat is examining the possibility of introducing Quick Response Codes (QR code) on the Executive Board documents for easier access.

9.   Concerning the request for "proposals for including in the Executive Board's timetable in-depth discussions on agreed subjects, together with estimates of additional costs, taking into account decisions taken at its 195th session concerning the format of the EX/4 document" (195 EX/Decision 5 (IV, E), it is observed that the Secretariat is presenting for discussion two related documents in 197 EX/5, Part (IV, A and D), presenting a roadmap for the consultations concerning the future C/5 document and criteria for introducing new and maintaining existing programmes, and include a schedule of the preparation of the next 39 C/5, with a reference to the EX/4 reports to be produced, and in particular the Strategic Results Report (SRR). This should facilitate the examination by the Member States of a possible timetable of in-depth discussions on agreed subjects.

Proposed decision

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

The Executive Board,

1.   <u>Recalling</u> 184 EX/Decision 17, 192 EX/Decision 16 (VII), 195 EX/Decision 5 (IV, E) and 196 EX/5 (IV, C),

2.   <u>Having examined</u> document 197 EX/5 Part IV (G),

3.   <u>Takes note</u> of document 197 EX/5 Part IV (G).

Item **5** of the provisional agenda

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

PART IV

MANAGEMENT ISSUES

CORRIGENDUM

1.   On page 8, Part B, paragraph 6, the second sentence should read as follows:

These remain an important source of funding, amounting to $10.1 million in 2014 compared to **$6.0** million in 2013.

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

PART IV

MANAGEMENT ISSUES

**B. IMPLEMENTATION OF THE ACTION PLAN FOR IMPROVED MANAGEMENT
OF EXTRABUDGETARY FUNDS**

ADDENDUM

DRAFT RESOURCE MOBILIZATION STRATEGY FOR 2016-2017

SUMMARY

The overall objective of the draft resource mobilization strategy for 2016-2017 is to mobilize resources efficiently and effectively to achieve the C/5 expected results set out for 2016-2017 at the global, regional and country levels. Based on an analysis of the evolving context for resource mobilization, the strategy sets targets for resource mobilisation by C/5 expected result, reaffirms the relevance of the "Sharpened Resource Mobilization Strategy" (37 C/INF.28) and explains how the approach will be adapted to different development contexts. It highlights proven approaches to resource mobilization based on specific examples of best practice and gives an overview of the expected results for engagement with different categories of donor. It also identifies a number of initiatives and improvements to processes and procedures that need to be undertaken to create a stronger enabling environment for resource mobilization.

1.   The decision on the "Implementation of the action plan for the improved management of extrabudgetary funds" (195 EX/Decision 5 (IV, C) requested the Director-General to provide an updated resource mobilization plan, including resource mobilization targets and potential donor groups, on a two yearly basis, in parallel with the finalization of each C/5 document. This request is echoed in the decision on the draft document 38 C/5 (195 EX/Decision 13) whereby the Executive Board requested the director-General to submit a "*draft Resource Mobilization Strategy for the period 2016-2017, including for private sector partnerships*".

(1)   Background – an evolving context

2.   Resource mobilization by UNESCO is characterized by a number of complex internal and external factors.

3.   The international community is gearing up to address the challenges linked to financing for sustainable development in the context of the post-2015 development agenda. Several aspects of the decisions which will arise from the Third International Conference on Financing for Development in Addis Ababa in July 2015 and the High-Level Summit on the Sustainable Development Goals (SDGs) in September 2015 will have major implications for the resource mobilization environment of UNESCO as with all other United Nations entities. In the first instance, there is a call to focus ODA increasingly on extreme poverty and fragile states and to channel it more extensively through pooled funding mechanisms, including global funds. UNESCO's role therein has yet to be defined, but there are other UNESCO priority areas which are unlikely to be championed through global funds. Furthermore, there is a need to fill the financing gap and to provide enhanced support for least developed countries (LDCs), landlocked developing countries and small island developing States (SIDS) in meeting the SDGs.

4.   At the same time, in the build up to the SDG Summit there is a call for increasing mobilization of domestic and international sources of financing, including public and private sector funding, as well as from philanthropic institutions. Emerging donors are encouraged to increase their role as providers of ODA and as catalysts for South-South cooperation and triangular cooperation.

5.   The achievement of the future universal sustainable development goals will require a global vision and a holistic approach, as well as the adequate means, whether they are financial or non-financial which are made available for achieving the SDGs. Thus, the mobilization of all stakeholders, public and private, domestic and international as well as the smart combination of all financial instruments and means of implementation will be crucial. In this context, UNESCO's resource mobilization efforts will have to be adapted to the outcomes and principles adopted by the Third International Financing for Development Conference, which aims to set a renewed global financing architecture to support the future SDGs.

6.   A universal post-2015 sustainable development agenda also requires a United Nations that is "fit for purpose" to support Member States to deliver the SDGs. This requires the United Nations system to accelerate efforts to work more coherently and cohesively so as to help Member States respond effectively to increasingly interlinked and complex development challenges. This will require the United Nations system to address the skills gap and responsive structures which are needed to achieve this transformation. For UNESCO, in addition to tackling the challenge of resourcing its normative work and other global and regional programmes, a specific effort is required to mobilize resources to strengthen the design and delivery programmes at country level.

7.   In the wider United Nations context, as recommended in the United Nations General Assembly resolution on the quadrennial comprehensive policy review (QCPR) (67/226, para. 46) a number of United Nations bodies have initiated structured dialogues on financing. The Executive Board has invited the Director-General to explore the possibility of introducing structured dialogues as a means of improving the predictability of financing and more flexible funding.

8.   Table 1, below, gives an overview of the recent pattern of funding from different categories of donors and partners and the relative importance of their voluntary contributions.

Table 1

Total Receipt of Funds

in '000 USD	31 Dec. 2011	31 Dec. 2012	31 Dec. 2013	31 Dec. 2014
	$289M	$321M	$357M	$315M
Other Sources	50,393	33,662	50,723	41,312
Multilateral institutions (Non UN)	15,999	12,994	53,686	25,252
UN Sources	32,010	30,245	17,780	31,415
Govt. Sources	190,488	244,522	235,229	217,470
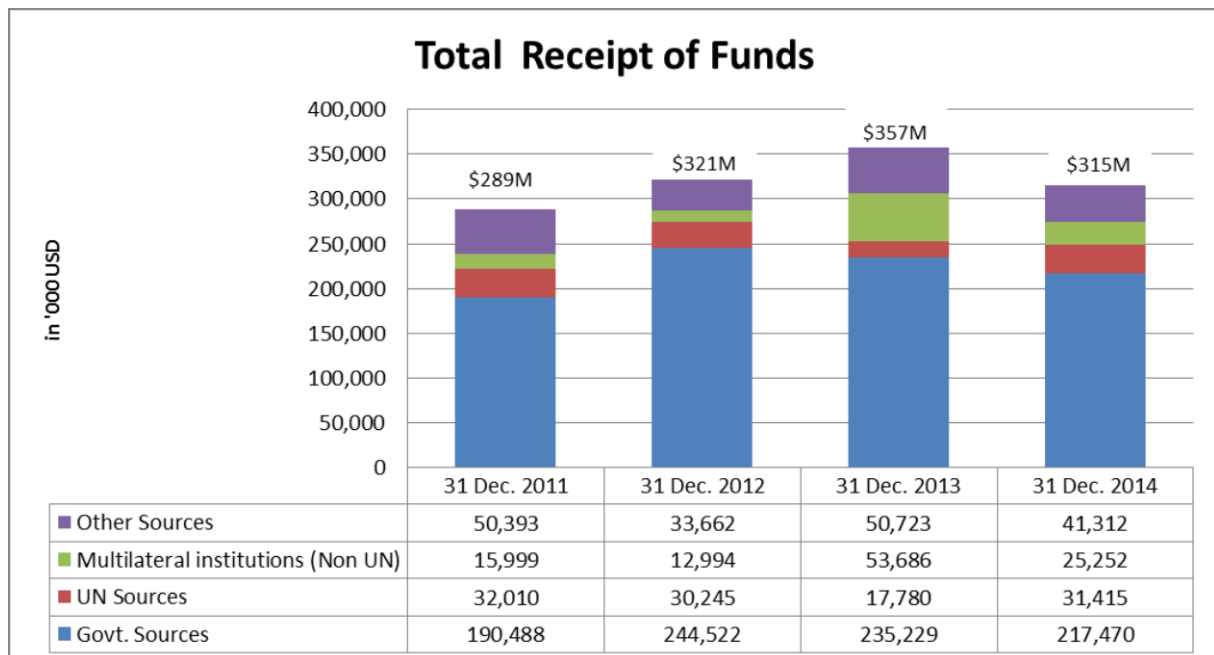
Source: BFM 2014 Voluntary Contributions Report

(2) Objective

9. The overarching objective of the draft Resource Mobilization Strategy is to mobilize resources efficiently and effectively to achieve the C/5 expected results set out for 2016-2017 at the global, regional and country levels.

10. In light of the sustained budget cuts faced by the Organization, and the resulting reduction in the staff, it is critically important that the Resource Mobilization Strategy is designed for efficiency and effectiveness. Extrabudgetary resources must continue to be fully aligned with the performance indicators and associated targets established for each C/5 expected result to achieve the intended impact. Optimal use must be made of the human and financial resources at UNESCO's disposal to achieve synergies and a multiplier effect. At the same time, the strategy flags the investments and approaches that would be desirable should additional resources become available.

(3) Complementary Additional Programme (CAP) and resource mobilization (RM) targets

11. The starting point for the Resource Mobilization Strategy are the C/5 expected results, which must be achieved with a combination of regular programme and extrabudgetary resources. Given the reduced funding available under the regular programme, programme delivery in particular, including an increasingly high proportion of UNESCO's normative work, will increasingly depend on resources from extrabudgetary funding.

12. Hence the backbone of the strategy, and its differentiation by Major Programme, is the setting of resource mobilization targets for each expected result of the C/5, clarifying what is to be achieved with extrabudgetary resources and how much funding is needed. This step is the most important principle underlying the concept of "Complementary Additional Programme", according to which there should be upfront programming of extrabudgetary resources in complete alignment with the C/5.

13. Targets for resource mobilization for each C/5 Expected Result have been defined in parallel to the finalization of the draft document 38 C/5. The preliminary assessment was based (1) on the exercise for RBB workplans, which also included references to opportunities for fund mobilization,

and (2) on trends in the previous years. These resource mobilization targets together with the quantitative and/or qualitative target/benchmarks to be attained with funds mobilized in 2016-2017 will be further refined after the 38th session of the General Conference and entered into SISTER where they will be visible to Member States.

14.   A breakdown by C/5 Expected Result is given in Annex I of the Addendum.

15.   The setting of resource mobilization targets can only be meaningful if (1) those responsible for achieving the RM targets are closely involved in the RM target setting exercise; (2) the RM target is set at a level that is relevant for the actors engaged in resource mobilization; (3) accountability is established through monitoring of resource mobilization; (4) senior management use the data on resource mobilization performance for decision making as well as monitoring purposes.

16.   In this respect, the responsible officer of a given C/5 Expected Result, is responsible for collating the information on resource mobilization targets, but must consult with UNESCO field offices and category 1 institutes to ensure their contribution is accurately captured. The RM target setting exercise takes into account past performance and trends, the identification of needs and opportunities and delivery capacity. In addition to RM target setting at the level of C/5 ER, Directors and Heads of Office should develop RM targets at country level for the C/5 ER that are relevant to UNESCO's cooperation with a given Member State. This RM target setting exercise should build where available on the analytical work achieved through the Common Country Assessment (CCA) and be aligned with the United Nations Development Assistance Framework (UNDAF) and existing UNESCO Country Programming Documents (UCPDs) or be integrated into new UCPDs. Where no UCPDs are in process because of issues relating to domestic planning cycles, country-level RM targets can be presented on stand-alone basis.

17.   Reporting on resource mobilization performance by C/5 Expected Result and by implementing unit will be prepared and submitted by BSP on a quarterly basis to the Senior Management Team for monitoring and planning purposes. To further enhance accountability, guidelines will be developed to ensure that tentative targets are established during discussion of the performance appraisal period.

(4)   Building on the "Sharpened Resource Mobilization Strategy"

18.   The Resource Mobilization Strategy for 2016-2017 builds on the "Sharpened Resource Mobilization Strategy"[1] presented to the 37th session of the General Conference with its focus on reinforcing priority programme areas. For ease of reference the "Sectoral Priority Themes for a Sharpened Resource Mobilization Strategy" are recalled in Annex II.

19.   The Resource Mobilization Strategy reiterates the need to adhere to key principles set out in the "Sharpened Resource Mobilization Strategy", including to preserve UNESCO's leadership in areas where it has a global coordination role and a recognized expertise and comparative advantage. This includes leading the coordination of the post-2015 education agenda and monitoring global education development, intergovernmental and global programmes such as IOC, IHP, MAB and the Culture Conventions.

20.   Allowing the Organization to deliver effectively in the Africa region in support of the six flagship programmes set out in the operational strategy for Priority Africa and the pursuit of the C/5 expected results of the Global Priority Gender Equality also remain central elements of this strategy.

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[1]   37 C/INF.28.

(5) Adapting resource mobilization approaches to different development contexts of donors and beneficiary countries

21. The approach to resource mobilization for the SDG's needs to be tailored to the development context and needs of the countries concerned.

22. Least developed countries (LDCs) through to upper-middle-income countries (MICs) are actively seeking development solutions tailored to their specific needs and capabilities. Against a backdrop of stagnating ODA from traditional DAC donors and via the multilateral system, the debate on the post-2015 development agenda has thrown the spotlight on the limitations of ODA for achieving the future world development agenda and the need for countries to increase and better focus their domestic financial flows and promote public/private partnerships for development, including innovative financing mechanisms.

23. It is in this context that, a growing number of countries, mainly **middle-income countries** (MICs), have turned to UNESCO (1) to enlist UNESCO's support to assist them advising, designing and/or implementing their national policies and programmes in UNESCO's areas of competence and/or (2) to share their development experience with other countries facing similar challenges at regional and/or subregional level. Yet their specific requirements from UNESCO are different.

24. **Developing countries** may have limited domestic resources but benefit, albeit at different degrees, from support from donors. The latter can place a burden on institutions and raise challenges linked to coordination, management and absorption of funds. In such countries, the strengthening of national capacity to address this challenge is a top priority and the mobilization of international expertise to increase the effectiveness of aid is highly desirable.

25. With these countries, and in its specialised areas of expertise, UNESCO can help strengthen the institutional coordination with international financial institutions (IFIs), the United Nations system and other donors. Through promoting participatory processes and *inter alia* through the UNDAF, it can support the government in the formulation of national strategies, plans and policies. It can act as a service provider to the government in the implementation of projects and provide capacity for the sound implementation of project funds. It can also support the participation of partner countries in South-South and triangular cooperation programmes with middle-income countries.

26. **Middle-income countries** have access to local financial resources but may still receive limited volumes of international financial support from international financial institutions (IFIs) and bilateral donors. They also have access to local expertise in specific sectors of activity, often complemented with high level international expertise. The institutional capacity may not be evenly developed across all sectors and may require targeted support. In these countries, and based on national policies and plans, the specificity of UNESCO's support to the government is to design and implement projects aiming at structural transformations including the modernization and improvement of public policies.

27. **Upper-middle-income countries** have reached a high level of economic and social development and thus have access to considerable volumes of national financial resources as well as national expertise. They are not reliant on international donors or international experts to support their national development process except and in very advanced sectors. Most of them have developed their own "niche" of excellence and their "best practices" that could be replicated in other countries, taking into account country specificities and that "one size does not fit all". Nevertheless, inequalities and uneven benefits for population groups are common characteristics of these emerging economies. Some have already developed South-South policies and implemented initiatives in a number of countries.

28.   In these countries, UNESCO can contribute to improving the efficiency of national policies and programmes, in particular by contributing to reach the most vulnerable and marginalized segments of the population. In sectors that still require transformation, UNESCO can design high-quality programmes of technical support, design and develop programmes at the local level (municipalities, States, provinces, etc.) and/or help the government forge new partnerships with civil society and the private sector around national priorities. Disseminating and sharing information and knowledge, through high-level technical publications for example, UNESCO can advocate the implementation of international commitments. UNESCO can also provide support to the upper MICs in the sharing of its own know-how and expertise through the development and implementation of South-South and triangular cooperation programmes.

29.   During, and in the aftermath of a crisis, **countries in crisis and transition** seek technical support that can lay the foundations for stable and sustainable recovery towards long-term development. Working in close coordination within the overall United Nations system-wide response, UNESCO places its emphasis on the human and institutional dimensions of recovery and reconstruction, with a focus on supporting access to quality education, protecting culture, including world heritage at risk, and promoting freedom of expression and information.

30.   UNESCO contributes to the wider humanitarian response, by providing direct support to help communities in coping with the immediate impact of crisis on their daily lives. Through technical assistance and advisory services to local and national authorities and civil society, support is provided for damage and needs assessment, as well as capacity development of affected institutions and professionals. Beyond the immediate crisis, UNESCO promotes and undertakes mitigating measures to prevent and address damage and destruction as well as to strengthen the resilience of the affected community. From a resource mobilization perspective, timely and active participation by UNESCO in needs assessments and in the early phase of planning for recovery and reconstruction is of critical importance as well as strong coordination between Headquarters and the field on outreach to potential donors.

(6)   Implement proven approaches to resource mobilisation based on best practice

Encourage lightly earmarked [2] resources for multi-donor programmes and core resources for Category 1 Institutes closely built on the results framework of the C/5

Best practice: Programme Cooperation Agreements (PCA) with Sweden and Norway in support inter alia of Cap EFA, GMR, IIEP, UIL, UIS and CI, and review meetings open to both donors.

Participate actively in needs assessments and the upstream definition of sectoral strategies

Best practice: The lead role played by UNESCO in defining the Education Response to the Syria Crisis (2015-2016) contributes extensively to the sustained mobilization of resources in Iraq, Jordan, Lebanon, and Syria itself in partnership with Kuwait, Saudi Arabia, Japan, Finland and Switzerland

Encourage multi-dimensional partnerships with donors which combine funding with joint advocacy, knowledge exchange and the loan of experts and foster multi-stakeholder partnerships

Best practice: Partnership with Japan on ESD including joint organization of the World Conference on ESD, joint analytical work and monitoring, secondments and the organization of a Prize on ESD, to foster the active participation of a wide range of public and private stakeholders in a global framework for ESD led by UNESCO

Federate public and private partners around shared priority themes combining funding, scientific expertise, and solid expertise in communication and outreach

Best practice: cooperation between Jaeger Lecoultre and the Government of Flanders to support UNESCO's marine World Heritage Programme

Develop large-scale intersectoral programmes involving close cooperation between UNESCO field offices and Headquarters in programme design, and delivery. Intersectorality is a driver for resource mobilization and vice versa

Best practice: US $10 million Networks of Mediterranean Youth Programme (Net Med Youth) financed by the European Union drawing on the expertise of the UNESCO field offices in the ten Mediterranean countries, with support from SHS, CI and ED and resource mobilization support from BSP/CFS

Make optimal use of the outreach and communication capacity of a private-sector partner to advocate for UNESCO and engage the partner in mobilizing additional resources

Best practice: UNESCO, together with the Korean private sector partner CJ Corporation and CJ Welfare Foundation mobilized additional resources to support Girls' Education through the leverage of CJ platforms including events such as the MNet Asian Music Award ("MAMA"), CJ's access to broadcasting channels, corporate affiliate fundraising and promotional efforts as well as the mobilisation through CJ of in-kind contributions (non-monetary contribution of goods, services, licenses of intellectual property, etc.), and donations from the general public

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[2]   The notion of "lightly earmarked resource" refers to funding which is not tightly earmarked and, in that sense, is closer to the concept of "core resource". In UNESCO context, this could refer, for example, to resources attributed to Major Programmes or Expected Results.

> *Identify strategic niche areas with partners and donors and use existing extrabudgetary funding catalytically to develop major national, regional and inter-regional programmes involving different partnership models*
>
> *Best practice: Experience of UNESCO Jakarta in building a portfolio of self-benefitting programmes with Indonesia, a major South-South Cooperation with Malaysia, regional pilot projects in the Sciences with Japan and decentralized cooperation with KOICA in Timor-Leste and Indonesia*

> *Accompanying the government in key policy reforms in areas where UNESCO has leadership, creates a space for UNESCO to support the government in associated capacity-building activities linked to the roll-out of the reform*
>
> *Best practice: Building on the best practice developed by UNESCO Brasilia, UNESCO Lima's close support of the government in the development of its education sector reform, and the high profile of UNESCO's work relating to teachers in LAC, lead to a change in national law to allow for the transfer of resources to UNESCO for technical assistance and the assignment to UNESCO of the lead role in a US $11 million component for teacher development. A further phase is under negotiation*

> *Use visibility as a strategy for communicating and replicating results and for resource mobilization.*
>
> *Best practice: Get the story from the beneficiaries. Joint platform organized by UNESCO and Italy in Florence to profile cooperation on cultural heritage at risk involving beneficiaries, UNESCO field offices and donor focal points, which lead to increased investment by Italy with UNESCO in Jordan, Afghanistan and Myanmar*

> *UNESCO field offices engage closely with embassies and decentralized delegations of other donors at country level to jointly design large-scale projects in the priority areas of beneficiary governments.*
>
> *Best practice: Close consultation by UNESCO field offices with the Embassies of Japan in Africa and Arab States to identify large-scale projects for emergency funding in areas such as education for internally displaced persons (IDP's) and Syrian refugees, mitigation of risks linked to flooding and preservation of cultural heritage at risk*

31.   To guide UNESCO professionals, further examples of best practice will be uploaded on the Extrabudgetary Workspace on UNESCO's Intranet site and will be used in training contexts.

(7)   Overview of Expected results for engagement with different categories of donor

32.   UNESCO's main categories of partner comprise government donors, the European Union, the multilateral development banks, the United Nations and the private sector. Expected results, performance indicators and associated targets by category of partner are set out below.

Bilateral government funding partners[3]

Expected Results	Performance indicator (PI) (a max of three)	Baseline (B)	Means of verification (M) (data source)	Quantitative and/or qualitative Target/Benchmark (T)
Expected Result No. 1 Level of overall contributions from bilateral government donors stabilized	PI: Annual voluntary contributions	$245 million at December 2012	Figures on annual contributions received at 31 December each year	Annual voluntary contributions from bilateral Government donors between $240 million and $250 million
Expected Result No. 2 Cooperation maintained with emerging donors including through self-benefiting modality (bilateral government donors)	PI: Number of project agreements with emerging donors, including through the self-benefiting modality, signed	(b1): 33 project agreements signed as at December 2012	Data on extrabudgetary projects in SISTER	10% increase over the 4-year period in signed project agreements with emerging donors including through the self-benefiting modality
Expected Result No. 3: Strong, multiannual partnerships maintained with bilateral government donors	PI: Number of review meetings organized on an annual basis for joint planning and review	(b1): 14 review meetings in 2012	Outlook calendar of the Division for Cooperation with extrabudgetary funding sources. Reports of project officers for decentralized projects	On an annual basis between 12 and 18 review meetings organized with bilateral government donors

Multilateral development banks

Expected Results	Performance indicator (PI) (a maximum of three):	Baseline (B)	Means of verification (M) (data source):	Quantitative and/or qualitative Target/Benchmark (T) (on the basis of baseline data (b)):
Expected Result No.°1 Stabilization of overall contributions in particular from the Global Partnership for Education (GPE) and the World Bank	PI: Annual contributions	$9.8 million at December 2014	Figures on annual contributions received at 31 December each year	Annual voluntary contributions for MDBs including GPE of between $15 million and $20 million

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3   Within the context of UNESCO's Comprehensive Partnership Strategy, strategies for engagement accompanied by specific expected results have been developed for engagement with bilateral government donors as well as the private sector. The expected results, performance indicators and associated targets for these partners are also set out in Addendum 3 of the draft 38 C/5. For ease of reference, the relevant tables are reproduced here.

UN funding sources

Expected Results	Performance indicator (PI) (a maximum of three):	Baseline (B)	Means of verification (M) (data source):	Quantitative and/or qualitative Target/Benchmark (T) (on the basis of baseline data (b)):
Expected Result No. 1 Stabilization of overall contributions from the United Nations agencies including United Nations Joint Funding Mechanisms (Joint Programmes and Multi-Donor Trust Funds)	Annual contributions	$31.4 million at December 2014	Figures on annual contributions received at 31 December each year	Overall United Nations contributions to grow by 3%.

European Union

Expected Results	Performance indicator (PI) (a maximum of three):	Baseline (B)	Means of verification (M) (data source):	Quantitative and/or qualitative Target/Benchmark (T) (on the basis of baseline data (b)):
Expected Result No. 1 Partnership with the EU streamlined and level of overall contributions increased	PI1: Number of high-level meetings PI2: Annual voluntary contributions (funds received)	(B1): 1 high-level meeting in 2012 (B2): $7,362,652 received at December 2012	M1: High-level meetings M2: Figures on annual contributions received at 31 December each year	2 high-level meetings organized T2 and (b2): Annual voluntary contributions from the European Union increased by 3%
Expected Result No.°2 Strategic dialogue and cooperation developed with Directorate-Generals other than DEVCO (Development and Cooperation) and ECHO (Disaster preparedness and Civil Protection)	PI: Number of agreements signed with other DGs	(B1): 2 Project agreements signed as at December 2012	M1: Data on extrabudgetary projects in SISTER	New project agreements signed with European Commission Directorate-Generals other than DEVCO and ECHO

Private Sector

Expected Results	Performance indicator (PI) (a maximum of three):	Baseline (B)	Means of verification (M) (data source):	Quantitative and/or qualitative Target/Benchmark (T) :
Expected Result No 1 Number of agreements with private sector increased by 20% over 4 years	PI1: number of agreements signed per calendar year	36 agreements in 2012 (companies, foundations, individuals, etc.)	Number of projects created in SISTER M2: corresponding financial information in FABS	The target is to sign 40 agreements, the baseline being 36

Expected Result No. 2 Private sector donor base expanded by 20% over 4 years, including new partners from BRICS and emerging markets	PI1: number of new partners from the BRICS per calendar year PI2: number of new partners from emerging market per calendar year	18 partners from the BRICS in 2012	Number of new agreements signed based on BSP/CFS reporting to the Executive Board M2: BSP/CFS database updated	The target is to sign 20 agreements with private sector partners from the BRICS, the baseline being 18.

33. Several decisions of the Executive Board highlight the need to develop a more pro-active engagement with the private sector and yet it is important to acknowledge that engagement in private-sector partnerships involves a high level of investment in terms of human and sometimes financial resources and takes time before generating substantial returns.

34. The strategy for engagement with the private sector as set out in the "Comprehensive Partnership Strategy"' (P. 9 – 15 of 192 EX/5.INF) remains valid. To establish a clearer focus for cooperation with the private sector, a differentiated approach will be developed towards different types of private-sector entities (large multinational groups, national companies, high net-worth individuals, foundations etc.). UNESCO will also strengthen its ties with the United Nations Global Compact.

35. The recent analysis by the Joint Inspection Unit of the resource mobilization function within the United Nations system[4] recalls that fund raising requires prior investment and that significantly more work is required to raise funds from the private sector which consumes more time and resources than dealings with State actors.

36. The JIU also stresses that the skills needed for enhancing cooperation with the private sector are different from those required for cooperation with governments. In addition to the need to have in place due diligence arrangements within each United Nations agency, on the side of the private-sector partners, there is often a higher demand for customized reporting as well as long-term, sustained engagement.

37. For UNESCO, increased financial returns from the private sector will only be possible if significant investments are made upfront. The building blocks to create such an enabling environment are reinforced human resources including resource mobilization specialists with a proven track record, risk management and due diligence, and resources for specific communication, operations or campaigns. At present, UNESCO does not have enough staff resources to fully tap into the potentials of the private sector. Opportunities need to be explored for setting up a legal framework governing self-financed resource mobilization specialists having knowledge of specific markets and able to reach out to potential new private sector partners in these markets.

38. Another lesson learned and highlighted in the aforementioned JIU report is that the more technical language and communication products developed for government partners needs to be adjusted to ensure that messages are intelligible and meaningful to private sector audiences. More efforts need to be made to market the Organization to demonstrate that partnership with UNESCO is a good investment and provides value for money. This point is closely linked to the need to develop closer synergies between UNESCO's resource mobilisation strategy and its communication strategy as set out in section 8 below.

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4   "An Analysis of the resource mobilization function within the United Nations System", JIU, Geneva, 2014

(8)   Creating a stronger enabling environment for resource mobilization

(a)   Facilitating a more structured dialogue with donors on financing

39.   United Nations General Assembly resolution on the quadrennial comprehensive policy review (QCPR) (67/226, para. 46) requested the Executive Boards of the funds and programmes and encourage the governing bodies of the specialized agencies, to organize structured dialogues on how to finance the development results agreed to 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.

40.   Following the invitation of the Executive Board (195 EX/Decision 5 Part IV.12 (d)) to explore the possibility of introducing a structured dialogue on financing, the Secretariat welcomes the organization of a structured dialogue on financing with Member States and other interested partners to stimulate an exchange of views on how to ensure better alignment between expected results of the C/5 document and the resources to finance them. The purpose is to find ways to rely on more predictable funding, broaden the donor base, mobilize flexible, lightly earmarked funding and generate more transparency. Such exchanges could also help define a concept of a critical mass of core resources adapted to UNESCO's business model. Dialogues will be organized from Headquarters, and will include UNESCO's field offices network in decentralized exchanges, especially with regional political and economic entities. Grouped donor consultations will be organized on themes of particular interest.

41.   In terms of timing, the dialogues need to take into account and build on the outcomes of the Third International Conference on Financing for Development in Addis Ababa and the High-Level Summit on the Sustainable Development Goals (SDG's), and to take place before the start of the budget and planning cycle of document 39 C/5 in 2017. It is therefore proposed that they take place in 2016 up to spring 2017. Key inputs for the first financing dialogue would be the identification of best practices for the mobilization of lightly earmarked resources, a mapping of resource mobilization against the expected results of the C/5 document and the resource mobilization targets, and the quantitative and/or qualitative targets and benchmarks for document 38 C/5.

(b)   Reinforcing mechanisms for receiving lightly earmarked resources

42.   UNESCO's main instrument for mobilizing core resources, or lightly earmarked resources for multi-donor programmes is the "special account". A review of the framework for special accounts is underway to render this modality more results focused, more transparent and more attractive to donors.

43.   Key issues that will be addressed in this review include the following:

- Special accounts need to be more directly linked to the C/5 Expected Results with a sharpened result framework to improve planning, monitoring and reporting.

- Review the appropriateness of the current categorization of special accounts in the context of emerging programme and donor requirements.

- Development of clearer internal guidelines on different kinds of special accounts including clarification of accountabilities and governance mechanisms.

- The need to embed a forecast and target setting for resource mobilization in the planning of resources in special accounts drawing on the best practice developed under Cap-EFA, GMR and intangible heritage.

- The opportunity for using special accounts more extensively to support country-level programming and resource mobilization.

44. The opportunity for improving the attractiveness of the special account mechanism is closely linked to the urgent need to reduce the administrative challenges resulting from smaller contributions. Where ever possible, recourse to the fund-in-trust mechanism which provides for individual narrative and financial reporting on the contribution of a given donor, should be limited to activities with a total budget above $250,000.

45. Special accounts and the additional appropriation modality can be used for any amount, but these modalities should be promoted for contributions under $250,000 for the reason detailed in the paragraph above.

46. Despite its usual limited share, UNESCO will reinforce its presence in United Nations joint and pooled funding mechanisms in order to enhance its participation in the integrated mechanisms to deliver SDGs.

(c) Strengthening the mobilization of complementary human resources

47. Secondments and loaned personnel have proven a highly valuable resource to UNESCO both at Headquarters and in the field to strengthen the Organization's capacity, to foster knowledge exchange and to facilitate networking.

48. UNESCO implementing units should actively engage with specialized partners in UNESCO's field of competence to mobilize such expertise. When framework or partnership agreements are negotiated, secondments should systematically be proposed as one of the modalities of cooperation. To facilitate discussions between UNESCO units and potential releasing institutes, an information sheet for donors is being developed to explain the different categories of costs linked to secondments. The relevant item of the Human Resources Manual on secondments and loans is also in the process of revision to streamline procedures based on lessons learned since the Manual item was introduced in 2011.

(d) Improving support to category 1 institutes and field offices

49. A new approach to assist and oversee category 1 institutes and field offices in their resource mobilization efforts will be put in place during the first year of the biennium.

50. To facilitate knowledge management and sharing of best practices, Regional/Cluster Offices and category 1 institutes will have a staff member who will receive an advanced training enabling him/her to be a resource person on extrabudgetary issues at regional level. To facilitate negotiations between UNESCO field offices and potential releasing institutes, a succinct information pack will be developed to explain to potential donors, the various UNESCO modalities for the management of funds.

51. For the institutes, a dedicated, consistent set of agreement templates based on standard templates will be adapted for the receipt into their special accounts of contributions to core functions, specific programmes and projects and additional appropriations.

52. To foster networking and knowledge exchange on resource mobilization among UNESCO field offices, efforts will be made to systematically document best practice in resource mobilization at country and regional level and integrate it within training and intelligence, and to mobilize the directors and heads of high-performing UNESCO field offices in resource mobilization as resource persons in major training activities and as advisers on the update of the house-wide resource mobilization strategy.

(e) More efficient procedures for the review of proposals and agreements

53. Templates for funding agreements and arrangements for formalizing beneficiary approval will be reviewed with a view to streamlining and alignment with practice in the wider United Nations system, including implementation of recommendations/decisions on harmonization of cost recovery policies and to develop a common set of clauses that are acceptable to a broad range of donors.

54. Particular attention will be given to sustained enhancement from an RBM perspective of tools for design, monitoring and reporting and alignment with internal UNESCO reporting to avoid duplications and inefficiencies.

55. Procedures for screening proposals and agreements will be reviewed to assess their relevance for improving quality and mitigating risk. As a starting point, an evidenced based mapping will be undertaken to improve understanding of the nature and scope of the risks that need to be addressed prior to the conclusion of a funding agreement.

(f) Better synergies with UNESCO's communication strategy

56. Synergies will also be sought between BSP and ERI, particularly the Department for Public Information to ensure that UNESCO's communication strategy also supports resource mobilization through clear messaging on UNESCO's goals, added value and prior achievements, and targeted communication addressing specific constituencies. Such broad-based communication should help build awareness about the merits of working with UNESCO. BSP and ERI will also collaborate on the development of guidelines on the integration of communication into programme design, not only as a tool for promoting the visibility of the partnership, but as an integral part of the programme implementation strategy.

(g) Further investment in training, timely business intelligence, information sharing

57. To achieve greater efficiencies and impact, a more structured approach to training on resource mobilization will be developed in close consultation with HRM as part of a more holistic training package to support the skills development of professionals at headquarters and in the field in the area of programme design and delivery. Efforts will be made to integrate examples of best practice developed at Headquarters and the field that are relevant to trainees, and to involve UNESCO managers with an established track record on resource mobilization as resource persons on the further refinement of the Resource Mobilization Strategy and in training and coaching for resource mobilization.

58. BSP/CFS has established a knowledge hub on the Intranet pooling various resources, tools and information relating resource mobilization. This shared resource will be further enriched with updated donor mappings linked to specific themes and/or time-bound appeals and examples of best practice.

59. In the spirit of knowledge management, Customer Relationship Management (CRM) tools have started to greatly change the ways INGOs and United Nations agencies store partnership information. Discounts and tailored products from the large CRM providers have enabled the non-profit/development sector to catch up with the private sector in this area. Several United Nations agencies have begun the transition into the CRM world too, and with great impact on their ways of working. UNESCO will pursue its analysis to identify how such a tool could be deployed in support of the resource mobilization strategy, as well as other functions such as event management and make all efforts to identify the needed extrabudgetary resources.

60. Since most of the above-mentioned actions are process oriented and aiming at the creation of an enabling environment, there is no specific implementation schedule. All actions will be launched in parallel from the beginning of the biennium and the status of their implementation will

be reported as part of the Action Plan for Improved Management of Extrabudgetary Funds presented to the Executive Board.

ANNEX I

RESOURCE MOBILIZATION TARGETS 2016-2017

Education

38 C/5 Expected Result	US$ M
ER 1 – National capacities strengthened to develop and implement policies and plans within a lifelong learning framework	50
ER 2 – National capacities strengthened to scale up inclusive and gender responsive quality literacy programmes	8
ER 3 – Capacities of Member States strengthened to design and implement policies aiming at transforming TVET	5
ER 4 – National capacities strengthened to develop evidence-based higher education policies to address the challenges of equity, quality, inclusion, expansion, mobility and accountability	4
ER 5 – 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	8
ER 6 – Capacities of Member States strengthened to promote, monitor and assess the processes and outcomes of competency based learning	5
ER 7 – National capacities strengthened to develop and implement technology policies in education, particularly in teacher training and professional development	8
ER 8 – Member States integrate peace and human rights education components in education policies and practices	8
ER 9 – Capacities of Member States strengthened to integrate ESD into education and learning, and ESD strengthened in the international policy agenda	7
ER10 – Member States deliver good quality health education, HIV and comprehensive sexuality education that contribute to healthy lifestyles and gender equality	30
ER11 – Future education agenda and global education policies shaped, drawing on relevant research and foresight studies conducted by UNESCO and other institutions[1]*	
ER12 – The implementation of the right to education and progress towards international education goals promoted and monitored, and policy dialogue informed by the evidence generated	
ER13 – Political commitment for education reinforced in the global, regional and national development agendas, and cooperation modalities promoted Natural Sciences	3
TOTAL Education	**136**

Natural Sciences

38 C/5 Expected Result	US$ M
ER 1 – Strengthening STI policies, the science-policy interface, and engagement with society, including vulnerable groups such as SIDS and indigenous peoples	4.1
ER 2 – Capacity-building in research and education in the natural sciences enhanced, including through the use of ICTs	10.6
ER 3 – Interdisciplinary engineering research and education for sustainable development advanced and applied	1
ER 4 – Scientific understanding of ocean and coastal processes bolstered and used by Member States to improve the management of the human relationship with the ocean	1.5

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[1]   Will be merged with ER 13 in next biennium.

ER 5 – Risks and impacts of ocean related hazard reduced, climate change adaptation and mitigation measures taken, and policies for healthy ocean ecosystems developed and implemented by Member States	3.5
ER 6 – Member States' institutional capacities reinforced to protect and sustainably manage ocean and coastal resources	7
ER 7 – Global cooperation in the geological sciences expanded	1.9
ER 8 – Risk reduction improved, early warning of natural hazards strengthened and disaster preparedness and resilience enhanced	1.3
ER 9 – Use of biosphere reserves as learning places for equitable and sustainable development and for climate change mitigation and adaptation strengthened	6
ER 10 – Responses to local, regional and global water security challenges strengthened	15
ER 11 – Knowledge, innovation, policies and human and institutional capacities for water security strengthened through improved international cooperation	5.2
ICTP	50
UNESCO-IHE	85
TOTAL for MP II	**192.10**

Social and Human Sciences

38 C/5 Expected Result	US$ M
ER1 – Future-oriented social science and humanities research on social transformations and intercultural dialogue enhanced through the uses of sustainability science as well as fully inclusive Human rights-based and gender sensitive initiatives to strengthen national social science policy and international scientific cooperation	2.5
ER2 – Initiatives based on Human rights approach in education, culture, the sciences, communication and information developed that support social transformations for the emergence of more inclusive societies and greater intercultural dialogue	2.3[2]
ER3 – Capacities of decision-makers, civil society organizations and other key stakeholders strengthened, to design and implement innovative proposals for the development of public policies in favour of social inclusion and intercultural dialogue, particularly targeting disadvantaged populations	6.387[3]
ER4 – Capacities of Member States strengthened to manage bioethical challenges and engage fully in debates on bioethics and on identification of the ethical, legal and social implications of cutting-edge science, emerging technologies and their application for sustainable development	2.35[4]
ER5 – Capacities of Member States strengthened to design and implement multi-stakeholder and inclusive public youth policies and young women and engaged in community building and democratic processes	10.761[5]
ER6 – Multi-stakeholder and inclusive public policies designed and implemented by Member States in the field of physical education sports and anti-doping	10.3[6]
TOTAL	**34.598**

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[2]   Of which 0.3 UNESCO Brasilia (UBO)
[3]   UNESCO Brasilia
[4]   Of which 0.35 UBO
[5]   UBO
[6]   Of which 7.8 UBO

Culture

38 C/5 Expected Result	US$ M
ER 1 – Tangible heritage identified, protected, monitored and sustainably managed by Member States, in particular through the effective implementation of the 1972 Convention	42 (of which 12 for Emergency Preparedness and Response)
ER 2 – Policy dialogue promoted to combat illicit import, export and transfer of ownership of cultural property through enhanced, strengthened and more efficient international cooperation, including the implementation of the 1970 Convention and enhanced capacities of museums	15 (of which 7 for Emergency Preparedness and Response)
ER 3 – Global, strategic and forward-looking directions developed and applied through the effective implementation of the 1954 Convention and its two Protocols and multiplier effect achieved	1.5 (of which 1 for Emergency Preparedness and Response)
ER 4 – Global, strategic and forward-looking directions developed and applied through the effective implementation of the 2001 Convention and multiplier effect achieved	2
ER 5 – Access to knowledge enhanced through the promotion of shared history and memory for reconciliation and dialogue	8.25
ER 6 – National capacities strengthened and utilized to safeguard the intangible cultural heritage, including indigenous and endangered languages, through the effective implementation of the 2003 Convention	7.4
ER 7 – National capacities strengthened and utilized for the development of policies and measures to promote the diversity of cultural expressions, in particular through the effective implementation of the 2005 Convention	5.2
TOTAL	**81.35** (of which 20 for Emergency preparedness and Response)

Communication and Information

38 C/5 Expected Result	US$ M
ER 1 – Member States have adopted and/or applied relevant policies & normative frameworks to strengthen the environment for freedom of expression, press freedom and safety of journalists.	4
ER 2 – Enhancing pluralistic media, including promotion of youth and gender media policies as well as media and information literacy	3
ER 3 – Grassroots actors have fostered media development through IPDC	2
ER 4 – Member States have advanced Universal access to information through Open Solutions	2
ER 5 – Member States have preserved documentary heritage through the Memory of the World Programme	1
ER 6 – Member States have achieved sustainable, knowledge-based development through the implementation of the IFAP priorities and the WSIS outcomes	2
TOTAL	**14**

UIS

38 C/5 Expected Result	RM Target 2016-2017 (US$ M)
ER 1 – More relevant and timely education statistics and indicators produced	1.14
ER 2 – Appropriate methodologies and standards in the field of education statistics developed, maintained and refined	0.9
ER 3 – Capacities of national statisticians strengthened in the production and use of national and comparative education data	0.32
ER 4 – Use and analysis of education statistics promoted	0.71
ER 5 – International education community uses a common framework to produce comparative analysis and international monitoring of progress in learning outcomes	0.78
ER 6 – Timely statistical information and analysis on research and development and innovation statistics are available to Member States	0.77
ER 7 – Timely and policy-relevant statistical information and analysis of cultural statistics are available to Member States	0.46
ER 8 – Timely and policy-relevant statistical information and analysis on communication statistics are available to Member States	0.22
ER 9 – The quality of data produced by UIS is improved and constantly monitored	3.2
ER 10 – Access to and use of UIS data are made easier, more efficient and better adapted to users' requirements.	1.5
TOTAL	**10**

ANNEX II

**SECTORAL PRIORITY THEMES
FOR A SHARPENED RESOURCE MOBILIZATION STRATEGY**

Education

- Coordination and advocacy for the Education 2030 Agenda
- Education for sustainable development
- Monitoring global education development

Natural Sciences

- Supporting water security
- Strengthening capacity-building and science, technology and innovation
- Sustainable development and biosphere conservation Read more

Oceans

- Ocean monitoring and preparedness to reduce the risks of tsunamis and ocean-related hazards
- Systematic observations of chemical and biological properties of the ocean
- Strengthening national and regional capacities in marine sciences for sustainable ocean management

Social and Human Sciences

- Social transformations and intercultural dialogue
- Youth
- Bioethics
- Sport and anti-doping

Culture

- Building capacities to protect, promote and transmit heritage
- Fostering creativity and the diversity of cultural expressions
- Protecting heritage at risk
- Promoting shared history and memory for reconciliation and dialogue

Communication and Information

- Media pluralism including the International Programme for the Development of Communication
- United Nations Plan of Action on the Safety of Journalists
- Memory of the World Programme
- Open Solutions via ICTs for building knowledge societies
- ICTs for persons living with disabilities

Gender Equality

All major programmes are required to mobilize for gender mainstreaming and for gender specific activities, as specified in GEAP II.

Priority Africa

- Promoting a culture of peace and non-violence
- Strengthening education systems for sustainable development
- STI and knowledge for the sustainable socio-economic development of Africa
- Sustainable management of Africa's natural resources
- Harnessing the power of culture for sustainable development and peace in a context of regional integration
- Promoting an environment conducive to freedom of expression and media development

See details and related concept notes at: http://en.unesco.org/partnerships/partnering

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

PART IV

MANAGEMENT ISSUES

E.   **CRITERIA FOR INTRODUCING NEW AND MAINTAINING EXISTING PROGRAMMES,
FOR REGULAR AND EXTRABUDGETARY PROGRAMMES**

ADDENDUM 2

SUMMARY

This Addendum has been prepared by the Secretariat in response to the recommendation of the Preparatory Group on Item 5 (Part IV, E), at its meeting held on 22 September 2015.

In light of the discussions held by the Preparatory Group on 22 September 2015 on Item 5, (Part IV, E), the Secretariat proposes to add in document 197 EX/5 Part IV, E under paragraph 9, the following new paragraph:

Proposed decision

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

The Executive Board

1.   <u>Having examined</u> document 197 EX/5 Part IV, E,

2.   <u>Requests</u> the Director-General to include in the Strategic Results Report (SRR) a review, for each Major Programme, of the Main Lines of Action and their respective Expected Results, and use, *inter alia*, this review to present proposals for the continuation, reorientation, including possible reinforcement, exit strategies or termination of the related programmes;

3.   <u>Further requests</u> the Director-General to base this exercise on the criteria as defined in the document in paragraph 5 of the document, namely relevance, capacity to deliver, comparative advantage, tangible results and sustainability.

Executive Board
Hundred and ninety-seventh session

**197 EX/5
Part IV Add.3**

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PART IV

MANAGEMENT ISSUES

**F.   PROPOSAL FOR PRESENTING THE PERFORMANCE INDICATORS (PI) AND
TARGETS RELATED TO THE GLOBAL PRIORITIES AFRICA AND GENDER EQUALITY**

ADDENDUM 3

SUMMARY

This Addendum has been prepared by the Secretariat in response to the recommendation of the Preparatory Group on Item 5 (Part IV, F), at its meeting held on 22 September 2015.

In light of the discussions held by the Preparatory Group on 22 September 2015 on Item 5, (Part IV, F), the Secretariat proposes to add in document 197 EX/5 Part IV, F, under paragraph 4, the following new paragraph:

Proposed decision

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

The Executive Board

1.   <u>Recalling</u> 36 C/Resolution 92, 33 C/Resolution 78 and 196 EX/Decision 15 (II),

2.   <u>Having examined</u> document 197 EX/5 Part IV.F,

3.   <u>Requests</u> the Director-General to present to the 199th session of the Executive Board a proposal for mainstreaming the performance indicators and associated baselines and targets for UNESCO's Global Priorities Africa and Gender Equality in a way that ensures that these two Global Priorities are appropriately reflected in all relevant expected results.

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

PART IV

MANAGEMENT ISSUES

ADDENDUM 4

SUMMARY

This addendum is intended to give further information to the Members of the Executive Board details on the Funds-In-Trust Overhead Account (FITOCA), including the External Auditor's recommendation (187 EX/35 Part III).

Details on the Funds-In-Trust-Overhead Account (FITOCA)

1.   In response to the issue of cost recovery, the High-Level Committee on Management (HLCM) established a working group in 2003 with the aim to draw up common principles for cost recovery, which would compensate agencies for their backstopping costs. In 2008, UNESCO issued its guidelines on Cost Recovery Policy. According to these guidelines, costs are classified under the following categories:

-   Direct Costs: Costs incurred by the Organization which can be traced in full to a specific project;

-   Indirect Variable Costs: Indirect variable costs, which are usually referred to as support costs, are incurred by the Organization as a function and in support of projects. They cannot be easily traced directly to a specific project.

-   Indirect Fixed Costs: Costs incurred by the Organization regardless of the scope, level, or funding source of activities, and which typically include the top management of an organization, its corporate costs and statutory bodies not related to service provision.

2.   With regard to the indirect variable cost, the study of United Nations system organizations in 2007, suggested that majority of the organizations covered various services under this category namely, support to procurement, preparation and management of budgets, maintenance of project accounts, non-technical supervision, identification of personnel, procurement services, receipt and disbursement of funds, preparation of proposals to donors, donor negotiations, recruitment and HR services, etc.

3.   For UNESCO, these programme support cost includes, but not limited to, support provided by central services and support provided by the administrative unit of the field office. As agreed by the HLCM, UNESCO recovers part of the indirect variable costs by applying a Programme Support Cost (PSC) rate, as a percentage of the extrabudgetary project's total direct costs. Funds recovered from charging the PSC rate as well as one third of the interest generated from investing temporary surplus funds are placed in a Special Account called Funds-in-Trust Overhead Account (FITOCA). It operates as follows: Revenue is consolidated at Headquarters at the end of year N, then apportioned for year N+1 between Headquarters and offices away from Headquarters, after taking into account FITOCA-funded posts. Headquarters staff assigned to administrative posts in support of extrabudgetary projects are funded from the FITOCA revenue.

4.   Staff costs in the 2015 FITOCA budget of $12.5M comprise $10.08M with a further $2.3M to field offices and $145k to mainly External Audit fees. In particular, there are 63 posts comprised of five in Directorate including Internal Oversight Service (IOS) ($1.05M); 12 in the Major Programmes ($2.08M); Part II B Programme Support $3.79M with one Gender Equality (GE) post, 21 Bureau of Strategic Planning (BSP) posts, one External Relations and Public Information (ERI) post; Part III Corporate Services $3.16M with two Human Resources Management (HRM) posts; 13 Bureau of Financial Management (BFM) posts and eight Knowledge Management and Information (KMI) posts. The FITOCA-funded posts and related costs are shown in the following table:

2015 FITOCA Posts Establishment (in million USD)

Sector/Bureau	Number of Posts	Estimated Costs
Part I – General Policy and Direction	5	1,05
Total Part I	5	1,05

Part II – A Programmes

Sector/Bureau	Number of Posts	Estimated Costs
Education	2	0,36
Natural Sciences	2	0,34
Social and Human Sciences	1	0,17
Culture (incl. WHC)	4	0,77
Communication	1	0,21
Management of Field Offices	2	0,23
Total Part II – A	12	2,08

Part II – B Programme-Related Services

Sector/Bureau	Number of Posts	Estimated Costs
Gender Equality	1	0,18
BSP	21	3,37
ERI	1	0,24
Total Part II – B	23	3,79

Part III – Corporate Services

Sector/Bureau	Number of Posts	Estimated Costs
HRM	2	0,25
BFM	13	1,62
KMI	8	1,29
Total Part III	23	3,16

Sector/Bureau	Number of Posts	Estimated Costs
Total Parts I, II, III	63	10,08

5.   The External Auditor recommended (187 EX/35 Part III) that UNESCO restore the financial balance of the FITOCA in such a way as to ensure that its balance amounts to at least the equivalent of 18 months of the salaries that it pays.

6.   As at 30 June 2015, the FITOCA account had a reserve of US $25.5 M. It should, however, be noted that the balance as at 30 June 2015 includes allocations of 2014 recovery made in 2015 but not spent in full, and part of US $6.8 M of 2015 recovery that will be apportioned in 2016. Given the increase in extrabudgetary projects, a review of FITOCA will be carried out in 2016 to understand the extent to which the administrative support for extrabudgetary projects is reflected in the FITOCA-funded costs, and its corresponding impact on the amount of reserves to be generated.

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PART V

HUMAN RESOURCES ISSUES

SUMMARY

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

This document contains information on the following human resources issues:

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

   Source: 195 EX/Decision 5 (V, A), 37 C/Resolution 74, 192 EX/Decision 5 (IV, A).

   Background: In accordance with 195 EX/Decision 5 (V, A) and 192 EX/Decision 5 (IV, A), the Director-General submits to the Executive Board at its 197th session a full report on the situation and the results achieved in geographical distribution and gender balance of the staff of the Secretariat as of 1 June 2015.

   Purpose: To inform the Executive Board on trends in the geographical distribution and the gender balance of the staff of the Secretariat as of 1 June 2015. Detailed information is presented in document 38 C/INF.4.

B. **Report by the Director-General on the use of consultant contracts in 2014 and the implementation of the revised policy on individual consultants and other specialists**

   Pursuant to 171 EX/Decision 35 and 195 EX/Decision 5 (V, B), the Director-General submits her report on the use of consultant contracts by the Secretariat in 2014.

   In 195 EX/Decision 5 (V, B), the Executive Board encouraged the Secretariat to continue its efforts to improve the quality of information provided on the content of contracts and the services delivered. It also recalled the need to ensure a wider geographical distribution and a better gender balance in the hiring of consultants where qualifications are equal.

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

C. **Report by the Director-General on the human resources management strategy for 2011-2016: Priority issues and related action plan**

   Pursuant to 196 EX/Decision 23 (III), the Director-General submits her report on the priority issues of the Human resource management strategy and related action plan.

   Action expected of the Executive Board: Proposed decision in paragraph 73.

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A.   Geographical distribution and gender balance of the staff of the Secretariat
(Follow-up to 192 EX/Decision 5 (IV, A), 37 C/Resolution 74, 195 EX/Decision 5 (V, A))

INTRODUCTION

1.   This document is submitted pursuant to <u>192 EX/Decision 5 (IV, A)</u> and <u>195 EX/Decision 5 (V, A)</u>, requesting the Director-General to submit, at the <u>197th session</u> of the Executive Board and at the 38th session of the General Conference, a full report on the situation of the geographical distribution of the staff in the Secretariat, on the results achieved and on the achievement of gender balance at senior levels.

2.   In order to rationalize the documents to the Governing Bodies, this report (197 EX/5) will be submitted to the General Conference as an INF document (38 C/INF.4). The report covers the **geographical distribution (Part I) and gender balance of staff (Part II)** and presents an update on progress, including trends and statistical data as of 1 June 2015. Detailed tables and Action Plans previously included in the main document will be included in **38 C/INF.4** available on line.

PART I – GEOGRAPHICAL DISTRIBUTION OF THE STAFF

Methodology for the calculation of geographical quotas

3.   Geographical distribution applies to international professional staff occupying geographical posts, i.e. established posts financed from UNESCO's Regular Programme. The methodology for the calculation of the geographical quotas, adopted by the General Conference in 2003[1] is set out in 38 C/INF.4.

Overall situation

4.   As of 1 June 2015, UNESCO counts **195 Member States**, of which **153 (78%)** are represented within the Secretariat.

5. Table 1 shows that **70 (36%) Member States are normally represented**, 17 (8%) are over-represented, 66 (34%) are under-represented, and 42 (22%) are non-represented. Annexes III, IV and V in 38 C/INF.4 provide detailed information by country and a complete list of Member States by representation status.

Table 1: Representation of Member States

	Number of Member States	
Status of representation	**1 June 2013**	**1 June 2015**
Normally represented	64 (33%)	70 (36%)
Over-represented	27 (14%)	17 (8%)
Under-represented	66 (34%)	66 (34%)
Total number of Member States represented	**157 (81%)**	**153 (78%)**
Non-represented	38 (19%)	42 (22%)
Total number of Member States	**195**	**195**

Evolution of the representation of Member States between 1 June 2013 and 1 June 2015

6.   The global representation level of Member States has decreased since 1 June 2013, from 157 Member States represented to 153. This corresponds to a decrease of 3 percentage points from 81% in June 2013 to 78% in June 2015. At the same time, the number of normally represented Member States has increased from 64 in June 2013 to 70 in June 2015.

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

7.   Over the same period, the number of over-represented countries decreased sharply, from 27 to 17; the number of under-represented countries did not change (66); while the number of non-represented countries increased by four (from 38 in June 2013 to 42 in June 2015).

Table 2: Evolution of the Geographical distribution (1 June 2013 to June 2015)
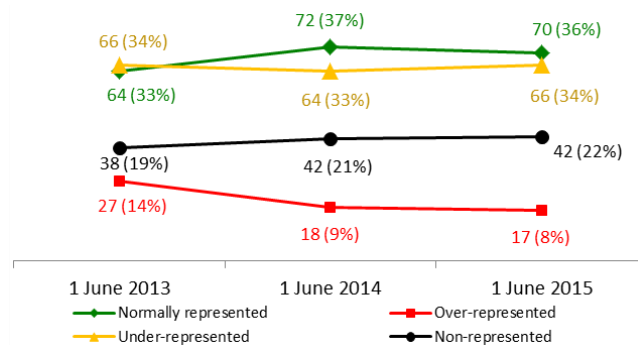
8.   These trends may be explained by the limited number of recruitments during this biennium due to the financial constraints. From the 56 geographical posts advertised and filled between June 2013 and June 2015, 17 (30%) were hired externally and 39 (70%) internally. In addition, between June 2013 and June 2015, 110 staff on geographical posts left the Organization (including 53 retirements, 21 agreed separations and 15 resignations).

Progress against the 85% target of represented Member States

9.   Overall, the target of 85% Member States represented in the Secretariat by 2016, as defined in the Human Resource Management Strategy in 2011, could not be attained. Progress had been made up to January 2012, with 83% representation. However, every percentage point requires substantial external intake from non- and under-represented countries. Given the slowdown in recruitment and the suspension of the Young Professional Programme (YPP) since 2012, this level could not be sustained. The relaunch of the Young Professional Programme in 2015, as outlined in paragraph 12 below, is expected to increase the level of Member States represented. However, the targeted rate of 85% would be difficult to achieve by 2016 given the current circumstances.

10.   The number of normally represented countries showed an initial decrease between January 2012 and June 2013 (from 80 to 64), but since June 2013, progress has been made with an increase to 70 normally represented countries.

Measures to improve the geographical distribution

11.   At its 195th session, the Executive Board requested that the Secretariat develops and enhances mechanisms and strategies to improve the geographical distribution at all levels, in particular of non- and under-represented countries.

12.   The Young Professional Programme, is one of the most effective mechanisms. It has been in operation for many years in UNESCO, but was put on hold in 2013/14, due to the budgetary situation and the lack of available posts. It has been re-launched in 2015, with 10 geographical posts (P-1/P-2) reserved for candidates from non- and under-represented Member States. The Bureau of Human Resources Management participated in April 2015 in a National Commissions for UNESCO meeting organized by the Sector for External Relations and Public Information (ERI) to announce the call for applications for the Young Professional Programme 2015 and to establish direct contacts with Secretaries-General of the National Commissions concerned. Selection will take place in the fall of 2015 and the Young Professionals will join the Organization in early 2016. Heads of field offices were also requested to help disseminate information on the YPP 2015 and to support National Commissions in their efforts to identify qualified candidates.

13.   Some other initiatives have been undertaken to enlarge the pool of potential applicants from non- and under-represented countries for external recruitments, such as outreach missions

undertaken in the People's Republic of China and in Qatar; and sponsored trainee schemes in the People's Republic of China and Singapore. The Bureau of Human Resources Management participated twice in Job Fair missions to Lausanne (Switzerland) in March 2014 and 2015, and in presentations at the *Ecole Nationale d'Administration* (ENA) (Programme for international students) in 2014 and 2015. Ad hoc briefings are also being held with targeted National Commissions and Permanent Delegations on the best modalities to gather and submit qualified applications. UNESCO vacancies are also advertised in the United Nations common system.

14. The Action Plan for the improvement of geographical distribution will end in 2016. In the course of 2016, the Secretariat will review the Plan and propose concrete strategies for the improvement of the geographical distribution in the Secretariat.

Geographical distribution by regional group

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

Evolution since June 2013

16. As shown in Table 3, Groups II, III, IV and V (a) are below the minimum index. Group V (a) was above the minimum index in June 2013, and is now below with a decrease of 19 units since June 2013. Groups I and V(b) decreased by 23 and 10 units respectively, remaining within the index.

Table 3
Evolution of the geographical distribution by regional group (June 2013-June 2015)

Regional groups*	Index June 2015		1 June 2013	1 June 2015	Variation since June 2013	Status
	Mini	Maxi				
Group I	176	300	253 (37%)	230 (38%)	-23	Within index
Group II	61	112	60 (9%)	59 (10%)	-1	Below minimum index
Group III	81	153	64 (9%)	59 (10%)	-5	Below minimum index
Group IV	151	270	125 (19%)	114 (19%)	-11	Below minimum index
Group V(a)	97	190	112 (17%)	93 (15%)	-19	Below minimum index
Group V(b)	45	82	60 (9%)	50 (8%)	-10	Within index

* Electoral groups: Group I: Europe/North America; Group II: Eastern Europe; Group III: GRULAC; Group IV: ASPAC; Group V(a): Africa; Group V(b): Arab States

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

Regional groups*	Total Member States	Number and % of under and non-represented Member States
Group I	27	11 (41%)
Group II	25	11 (44%)
Group III	33	21 (64%)
Group IV	44	31 (70%)
Group V(a)	47	24 (51%)
Group V(b)	19	10 (53%)
Total	**195**	**108 (55%)**

17. Table 4 shows that non- and under-represented countries are found in all regional groups, including those that are within index. While Group IV has the highest number of non- and under-represented Member States (31), Group V (a) and Group III follow closely (with 24 and 21 respectively). Groups I, II and V(b) count 11 to 10 non- or under-represented Member States.

Representation at Director level and above by regional group

18.   The number of Directors on geographical posts has decreased from 72 to 57 (-15) between June 2013 and June 2015, due to the reduction in the number of Director posts, combined with the high number of retirements.

19.   The highest decrease was in Group V(a) and Group I (less nine Directors on geographical posts in Group V (a) and 7 in Group I). Group IV decreased by one Director staff. Group V (b) increased by two Director staff, whilst the number of Directors on geographical posts from Groups II and III remained unchanged.

Table 5. Geographical distribution by regional group of staff at Director Level and above – Variation June 2013 against June 2015

Regional groups	1 June 2013		1 June 2015		Variation since 1 June 2013
	Directors and above level	%	Directors and above level	%	
Group I	32	44%	25	44%	-7
Group II	4	6%	4	7%	0
Group III	6	8%	6	11%	0
Group IV	10	14%	9	16%	-1
Group V(a)	16	22%	7	12%	-9
Group V(b)	4	6%	6	10%	+2
Total	72	100%	**57**	100%	**-15**

Geographical distribution using a post-weighing approach

20.   In 32 C/Resolution 71, the General Conference requested the Director-General to report on the geographical distribution of the staff in the Secretariat by grade for each Member State, using a post-weighing approach. Detailed information is available in 38 C/INF.4.

PART II – GENDER BALANCE OF STAFF

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

22.   The population covered by this report is larger than in the geographical distribution report, since the gender data cover all staff on fixed-term contracts irrespective of the source of funding, while geographical distribution data is restricted to staff on geographical posts which are regular programme posts (RP). Therefore, the Director gender data also include Director posts financed by extrabudgetary funds, such as those in the category 1 institutes.

Progress report: Gender balance at Director level and above

23.   Since June 2013, progress in the representation of female staff at the senior management level has continued, with an increase of 4 percentage points of female Directors, from 32% in June 2013 to 36% in June 2015 (See Table 6).

24.   This trend is due mostly to the reduction in the number of male Directors (46 in June 2015, as compared to 59 in June 2013), while the number of women Directors remained almost the same (from 28 in June 2013 to 26 as of 1 June 2015). Due to financial constraints in 2014/2015, a number of initiatives of the Action Plan were slowed down or suspended, in particular those related

to training. Detailed information on the status of the Action Plan for Gender Parity is contained in Annex VIII in 38 C/INF.4.

**Table 6. Situation of the gender balance at the Director level by grade
between 1 June 2013 and 1 June 2015 (Regular programme and extrabudgetary funds)**

	1 June 2013					1 June 2015					Difference of %F
	F	*%F*	M	*%M*	Total	F	*%F*	M	*%M*	Total	
DDG	-	-	1	*100%*	**1**	-	-	1	*100%*	**1**	**-**
ADG	5	*45%*	6	*55%*	**11**	3	*37%*	5	*63%*	**8**	**- 8**
D-2	9	*39%*	14	*61%*	**23**	10	*56%*	8	*44%*	**18**	**+ 17**
D-1	14	*27%*	38	*73%*	**52**	13	*29%*	32	*71%*	**45**	**+ 2**
Total	**28**	***32%***	**59**	***68%***	**87**	**26**	***36%***	**46**	***64%***	**72**	**+ 4**

Gender balance at Professional level and above

25. As of 1 June 2015, gender parity has been achieved at the Professional and above level (P/D) (i.e. 50%/50%). UNESCO is among the highest ranking agencies in this respect.[2] Overall, women represent a slight majority (51%) in the Professional category (P). At the junior levels, with 61% at P-1/P-2 level and 52% at P-3 level, women are the majority. At P-4 and P-5 levels, women represent 47% and 35%, respectively.

**Table 7. Situation of the gender balance at Professional and above level by grade
Regular programme and extrabudgetary funds (between 1 June 2013 and 1 June 2015)**

	1 June 2013					1 June 2015					Difference of %F
	F	*%F*	M	*%M*	Total	F	%F	M	%M	Total	
DDG	-	-	1	*100%*	**1**	-	-	1	100%	**1**	**-**
ADG	5	*45%*	6	*55%*	**11**	3	37%	5	63%	**8**	**- 8**
D-2	9	*39%*	14	*61%*	**23**	10	56%	8	44%	**18**	**+ 17**
D-1	14	*27%*	38	*73%*	**52**	13	29%	32	71%	**45**	**+ 2**
Total	**28**	***32%***	**59**	***68%***	**87**	**26**	**36%**	**46**	**64%**	**72**	**+ 4**
P-5	54	*38%*	87	*62%*	**141**	46	35%	85	65%	**131**	**- 3**
P-4	103	*47%*	115	*53%*	**218**	109	47%	122	53%	**231**	**-**
P-3	150	*55%*	123	*45%*	**273**	167	52%	154	48%	**321**	**- 3**
P-1/P-2	105	*64%*	60	*36%*	**165**	137	61%	86	39%	**223**	**- 3**
Total P	**412**	***52%***	**385**	***48%***	**797**	**459**	**51%**	**447**	**49%**	**906**	**- 1**
Total D/P	**440**	***50%***	**444**	***50%***	**884**	**485**	**50%**	**493**	**50%**	**978**	**-**

PART III – CONCLUSION

26. A total of 153 Member States are represented within the Secretariat (78% of the Member States). While this remains a high level of representation, a downward trend has been noted since June 2013, mainly as a result of the high number of separations (retirements, agreed separations) and a low number of external hires. A sustained effort of recruitment of candidates from non- and under-represented countries is required to progress towards the target of 85%. In this regard, the re-launch of the Young Professionals Programme in April 2015 should contribute to improving the

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2   CEB statistics as of 31 December 2013, 12 largest agencies in P/D population: United Nations, UNICEF, UNDP, WHO, UNHCR, WFP, FAO, IAEA, UNESCO, ILO, UNFPA and WIPO.

geographical distribution of the staff, as 10 Young Professionals from non- and under-represented countries will join the Organization in 2016. A new Action Plan for the improvement of the geographical distribution will be also developed in 2016.

27.   As of 1 June 2015, gender parity has been achieved at the Professional and above level (P/D) (i.e. 50%/50%). At the senior management levels, significant progress has been made, with 36% women Directors in June 2015, compared to 22% in 2009. The retirement of nine men Directors by end-2015 will provide an opportunity to continue to enhance the gender balance, while the parity goal will continue to be pursued. A new Action Plan will be developed, in close cooperation with the Division for Gender Equality, to follow up on the current Action Plan (2008-2015).

B.   Report by the Director-General on the use of <u>consultant</u> contracts in 2014 and the implementation of the revised policy on individual consultants and other specialists
(Follow-up to 195 EX/Decision 5 (V, B))

Introduction

28.   There are three types of standard contract for service used within UNESCO: those with-profit organizations, with non-profit organizations; and with individual consultants and other specialists.

29.   This report covers contracts awarded to individual consultants hired by UNESCO in advisory or consultative capacities or to provide the skills, knowledge and expertise necessary for a specific service or product.

Update on policy implementation

30.   The current policy for individual consultants and other specialists was introduced in February 2012, which *inter alia* addressed various External Auditor recommendations[3] relating, in particular, to strengthened competitive selection processes and greater clarity on the use of waivers. This policy also introduced new contractual modalities for individual authors, photographers and film and video production specialists. In the same year, an IT tool (BI) was implemented to facilitate the tracking of staff on temporary assistance contracts, again responding to External Auditor recommendations, which has enabled the Bureau of Human Resources Management to identify individuals hired by UNESCO on successive temporary contracts. Sectors and Bureaux have since been requested to identify more appropriate arrangements when hiring temporary assistance.

Special measures

31.   The special measure approved by the Director-General in March 2013, under which Sectors, Bureaux and field offices were instructed to reduce by 20% the fee element of all new consultant contracts, continues to apply. This has contributed to the decrease in the average amount spent on contracts since 2012 (see <u>Table 6, Annex I</u>). The rates are still expressed in "up to" terms, providing managers with the flexibility to establish appropriate remuneration levels to secure the experience, expertise and service quality required through negotiation, taking account of the particular situation and any other relevant factors.

Data and trends on consultant contracts

32.   This section presents data on consultant contracts issued between 2008 and 2014 at Headquarters and the field. Key statistics and tables are set out below while further detailed tables and charts are shown in <u>Annex I</u>. As in previous years, data on contracts awarded by <u>Brasilia Office</u> are presented separately (<u>Annex II</u>), to allow a clearer picture of the contracts awarded by field offices as a whole.

Number of individual consultant contracts

33.   The overall number of consultant contracts in 2014 was 5% higher than 2013, 23% higher in Headquarters/5% lower in the field (<u>Table 1</u>). The field accounted for 59% of contracts issued in 2014 (65% in 2013). Table 1b shows the overall number of consultant contracts issued in the previous three biennia.

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

Table 1: Numbers of individual consultant contracts: 2008-2014

	2008	2009	2010	2011	2012	2013	2014	Evolution 2013-2014
HQ	1267	1523	1248	1084	840	1111	1368	23%
%HQ	*41%*	*46%*	*37%*	*31%*	*33%*	*35%*	*41%*	
Field*	1808	1807	2107	2417	1741	2109	2005	-5%
%Field	*59%*	*54%*	*63%*	*69%*	*67%*	*65%*	*59%*	
Total	**3075**	**3330**	**3355**	**3501**	**2581**	**3220**	**3373**	**5%**

Table 1b: Numbers of individual consultant contracts: by biennium

	2008/09	2010/11	2012/13	Evolution 2010/11 to 2012/13
HQ	2790	2332	1951	-16%
%HQ	*44%*	*34%*	*34%*	
Field*	3615	4524	3850	-15%
%Field	*56%*	*66%*	*66%*	
Total	**6405**	**6856**	**5801**	**-15%**

* Excluding contracts awarded by Brasilia office.

Number of individual consultants

34. The overall number of consultants hired by UNESCO in 2014 was 3% lower than 2013 (1% higher in Headquarters; 5% lower in the field (Table 2)). The field offices accounted for 67% of the individual consultants hired in 2014. Table 2b shows the overall number of individual consultants hired during the previous three biennia.

Table 2: Numbers of individual consultants: 2008-2014

	2008	2009	2010	2011	2012	2013	2014	Evolution 2013- 2014
HQ	825	1001	800	699	549	750	755	1%
% HQ	*35%*	*40%*	*32%*	*26%*	*29%*	*32%*	*33%*	
Field	1509	1512	1689	1981	1349	1626	1549	-5%
% Field	*65%*	*60%*	*68%*	*74%*	*71%*	*68%*	*67%*	
Total	**2334**	**2513**	**2489**	**2680**	**1898**	**2376**	**2304**	**-3%**

Table 2b: Numbers of individual consultants: by biennium

	2008/9	2010/11	2012/13	Evolution 2010/11-2012/13
HQ	1826	1499	1294	-14%
%HQ	*38%*	*29%*	*29%*	
Field*	3021	3670	2960	-19%
%Field	*62%*	*71%*	*71%*	
Total	**4847**	**5169**	**4254**	**-18%**

* Excluding contracts awarded by Brasilia office.

Spending on individual consultant contracts

35.   Total spending on consultant contracts in 2014 was 22% higher than in 2013 (32% higher in Headquarters; 17% higher in the field (Table 3)); the field accounted for 60% of total spending on consultant contracts in 2014. Table 3b shows overall spending on individual consultant contracts during the previous three biennia.

Table 3: Spending on Consultant Contracts ($mill): 2008-2014

	2008	2009	2010	2011	2012	2013	2014	Evolution 2013- 2014
HQ	9.550	11.192	10.150	8.743	6.765	8.011	8.900	32%
%HQ	*53%*	*51%*	*42%*	*36%*	*37%*	*39%*	*40%*	
Field*	8.437	10.752	14.210	15.747	11.575	12.486	13.499	17%
%Field	*47%*	*49%*	*58%*	*64%*	*63%*	*61%*	*60%*	
Total	**17.987**	**21.944**	**24.360**	**24.490**	**18.340**	**20.497**	**22.399**	**22%**

Table 3b: Spending on Consultant Contracts ($mill): by biennium

	2008/09	2010/11	2012/13	Evolution 2010/11-2012/13
HQ	20.742	18.893	14.776	-22%
%HQ	*52%*	*39%*	*38%*	
Field*	19.189	29.957	24.061	-20%
%Field	*48%*	*61%*	*62%*	
Total	**39.931**	**48.850**	**38.838**	**-20%**

* Excluding contracts awarded by Brasilia office.

Source of funding of contracts

36.   Total spending on consultant contracts financed by the regular programme (RP) rose by 73% between 2013 and 2014 (73% Headquarters; 33% in the field), from US $3.7m to $5.5m. Spending on contracts financed from extrabudgetary sources (EXB) was broadly unchanged in 2014 (3% lower in Headquarters than in 2013; 3% higher in the field); and accounted for 76% of total spending on consultant contracts in 2014 (82% in 2013; 88% in 2012 and 46% in 2011). (Table 4).

Table 4: Spending on consultant contracts by source of funding: 2013 and 2014 ($mill)

.	2013					2014					Evolution 2013-2014	
	RP	%RP	EXB	%EXB	**Total**	RP	%RP	EXB	%EXB	**Total**	**RP**	**EXB**
HQ	1.522	19%	6.490	81%	**8.011**	2.633	30%	6.267	70%	**8.900**	73%	-3%
Field*	2.130	17%	10.356	83%	**12.486**	2.842	21%	10.657	79%	**13.499**	33%	3%
Total	**3.651**	**18%**	**16.846**	**82%**	**20.497**	**5.475**	**24%**	**16.924**	**76%**	**22.399**	**50%**	**0%**

* Excluding contracts awarded by Brasilia office.

Contracts by amount

37. Most consultants contracts at Headquarters and the field continue to be under $10,000: 77% and 82% respectively in 2014 compared to 75% and 84% respectively in 2013. Nineteen contracts over $50,000 were issued in 2014 (less than 1% of the total), compared to 23 in 2013; 2 of these were at Headquarters and 17 in the field (see Table 5, Annex I).

38. The average amount spent per individual consultant contract issued at Headquarters fell by 10% (to $6,506) between 2013 and 2014, and increased by 14% (to $6,733) in the field (excluding Brasilia Office) during the same period (see Table 6, Annex I).

Duration of contracts

39. Most consultant contracts are for short periods, typically under three months. Table 7, Annex I shows that 74% of contracts issued at Headquarters and 73% in the field in 2014 were for less than three months compared with 73% and 77% respectively in 2013. Eight percent (8%) of contracts at Headquarters and 8% in the field in 2014 were for over six months.

Contracts by Sector/Bureau at Headquarters and the field

40. Most spending on consultants at Headquarters continues to support UNESCO's programme directly (see Table 8, Annex I). Education, Science, Communication and Information, Culture and Social and Human Sciences accounted for about 80% of overall spending in Headquarters in 2014, compared to 83% in 2013, with three sectors – Culture, Education and Science – being responsible for 68% of the contracts issued in 2014, and for 67% of the total spending.

41. In the field offices in 2014, 54% of overall spending on consultant contracts in the field was related to activities in the Education Sector compared to 49% in 2013, while three sectors – Culture, Education and Science – were responsible for 86% of the overall spending comparing to 87% in 2013.

42. The data on spending on consultant contracts by the thematic area of the activity will be made available at the 197th session of the Executive Board in an INF document.

Gender, nationality and retired staff

43. The consultant's policy requires managers to give consideration to gender and geographical balance where there is equal competence among candidates. Managers are encouraged to seek local expertise for local projects, wherever possible. Moreover, the approval of the ADG, Director of Bureau/Field Office is required if the contract is to be awarded to a former UNESCO staff member.

44. At Headquarters and field combined, 32% of consultants granted contracts in 2014 were from Group I countries (33% in 2013); 15% Group V (Afr), 17% Group IV, 11% Group V (Arab), 19% Group III and 6% Group II (see Table 9, Annex I).

45.	At Headquarters, 59% of consultants awarded contracts in 2014 were from Group I countries (same as in 2013) accounting for 62% of total spending (58% in 2013). In the field, 19% of consultants granted contracts in 2014 were from Group I (21% 2013); they accounted for 33% of total spending (36% in 2013). Nineteen percent (19%) of consultants in 2014 were from Group V (Afr), 19% Group IV, 13% Group V (Arab), 24% Group III and 6% Group II.

46.	Table 10, Annex I shows the nationality of consultants hired in 2014 by the Group in which the awarding office is located; and confirms the practice of local recruiting for local projects. Sixty-five percent (65%) of the consultants hired by offices in Group 1 countries were nationals of Group I countries. In other regions, the percentages range from 64% to 95%: for example, 64% of consultants hired by Group V (Arab) offices were nationals of Group V (Arab) countries, while 95% of the consultants hired by Group II offices were nationals of Group II countries.

47.	Forty-six percent (46%) of consultants hired in Headquarters in 2014 were women (45% in 2013). In field offices the corresponding figures were 41% (34% in 2013). Overall, 43% of consultants hired in 2014 were women (37% in 2013). (Table 11, Annex I).

Retired staff

48.	The number of retired staff members awarded a consultant contract fell significantly in 2014, from 40 in 2013 to 22 in 2014, 13 at Headquarters (total cost of $0.105m) and nine in the field ($0.045m). Overall, at Headquarters and the field, retired staff represented 1% of all consultants hired and 1% of overall spending in 2014, compared to 2% and 2% respectively in 2013. (See Table 12, Annex I)

One-dollar consultant contracts

49.	One-dollar contracts are granted to individuals hired for special representational duties or to former staff to ensure a smooth transition of expertise and institutional memory. All such one-dollar contracts must have the prior approval of the Office of the Director-General.

50.	Five individuals were granted one-dollar consultant contracts in Headquarters during 2014 (one in CLT, one in SC, and three in ODG), compared to six in 2013.

Financial and administrative implications

51.	There are no financial or administrative implications arising from the information presented in this report.

C.   Report by the Director-General on the human resources management strategy for 2011-2016 – Priority issues and related action plan
(Follow-up to 196 EX/Decision 23)

Introduction

52.   At its 195th session in April 2015, in the context of the audit report on forward-looking management of jobs, staffing and skills, the Executive Board invited the Director-General to present to the 197th session a revised, time-bound and costed Action Plan for addressing priority issues in the Human Resources Management Strategy for 2011-2016, taking into account all recommendations made by the External Auditor.

53.   The Executive Board also requested the Director-General to submit at its 199th session, in spring 2016, preliminary proposals for forward-looking management of jobs, staffing and skills for 2017-2022, taking into account the External Auditor's recommendations and the findings of the review of staffing and support services.

Update on progress in the implementation of the Action Plan

54.   An update on the progress in the implementation of the Action Plan of the Human Resource Management Strategy is provided in 38 C/INF.13. While a number of process improvements were achieved, and new or updated policies put in place, a number of activities had to be postponed or slowed down due to the budgetary situation. The areas mostly impacted related to outreach, learning and development and HR planning.

Priority issues in the human resource management strategy

55.   For 2015-2016, the priority areas to address are in learning and development and HR planning.

Learning and development

56.   One of the key objectives of the HR strategy is to enhance the quality and quantity of the learning opportunities to ensure that UNESCO has a capable and skilled workforce. The areas of focus as identified in the HR strategy were the key generic skills needed for programme delivery, e.g. managerial skills, project management and partnering skills.

57.   Since 2012, UNESCO has had no corporate learning budget (the learning budget was $4.7 million in 2010-11), and a reduced capacity of the learning team. As a result, corporate learning activities have come to a halt. At the initiative of the Bureau of Financial Management, some essential financial management training programmes have been developed and delivered in field offices, to enhance and build finance and administrative capacity in the field.

58.   A recent needs assessment conducted with key stakeholders (in programme sectors, corporate services and in field offices) confirmed the pressing need for enhancing the capacity of programme staff, in particular in the field, and developing and delivering learning programmes in the following areas: Resource Mobilization, Communicating for results and Advocacy and Project Management. A structured, updated, induction programme is also urgently required.

59.   It is therefore suggested to address, as a priority, learning needs for programme staff, with the objective of building and enhancing the capacity to deliver. Therefore, and subject to funding, HRM proposes to develop blended modules, combining e-learning and workshops, in close cooperation with the process owners (DPI, BSP). In the case of Project Management, HRM will work with KMI, which is delivering a Prince 2 workshop. Induction would be a blended programme (mix of e-learning and face to face), and structured in what needs to be completed before and within a few months of on boarding. A draft framework has been developed. Maximum use will be

made of the learning resources (in particular e-learning) made available by other United Nations agencies with whom close contacts are maintained through the United Nations learning networks.

60.   Ethics training, which is mandatory, must also continue to be delivered. A total of six workshops have been conducted at Headquarters; and workshops have been conducted in three field offices. Four more workshops are planned until end-2015 (two at Headquarters and two in field offices), and further in 2016. Ethical training, in particular Ethical Leadership, is a key activity of the HR Strategy in support of the promotion of core values and standards of conduct.

61.   The proposed activities, including cost and timeframes, are set out in Annex III.

HR planning

62.   The objective of HR planning is to project future workforce trends, considering internal and external factors, anticipate staffing needs, identify critical knowledge and skill gaps and prepare strategies to address these gaps (such as hiring, mobility, learning and development, partnerships).

63.   The priority focus until end of 2016, will be to develop and start implementing HR planning mechanisms, focusing on some key positions, but also to pave the way for a more comprehensive and global HR planning exercise, aiming at getting UNESCO's workforce ready and equipped with the required skills for the post 2015 agenda. This latter objective is ambitious, and will require investment in time and resources.

Projects for 2015-2016

64.   In the next 2.5 years (until end-2017), 10% of UNESCO staff will retire, which corresponds to an average turnover rate of 3%. The number of retirements will be particularly high at the Director level (28%), while 7% of the Professional staff will retire. While it is difficult to predict unanticipated departures, it will be important to factor in a certain percentage in the projections, based on past trends. Planning further ahead until 2020, the change in the retirement age (to 65) will need to be factored in, once the effective date is decided by the General Assembly, as it could affect projections should staff due to retire at 60 or 62 decide to retire at 65.

65.   In 2015/16, HRM will focus on the critical and hard-to-fill positions, and formalize and implement the following HR planning mechanisms:

- Identify the critical functions and profiles in programme sectors and corporate services, where turnover is expected to be high in the next five years; initiate advance planning for these critical functions to avoid staffing gaps, and to ensure continued capacity. Each sector/service will be provided with the forecasted retirement reports, as already initiated by HRM;

- The identification of hard-to-fill positions, for which advance planning and targeted outreach will be required.

- Integration of the mobility policy fully into HR planning.

66.   HRM will also initiate a study on the development and implementation of a "competency assessment" in line with industry standards, for staff who have remained in the same functions for many years; this would include staff referred by their supervisors in the context of the performance exercises, but could also extend to other on demand. Such "bilans de compétence" could be implemented in 2016, upon completion of the study, once the full costing is available.

67.   Knowledge transfer mechanisms will be developed and put in place, to ensure that key information is being passed on and preserved, in particular in critical functions/positions.

Beyond 2016

68.   A more comprehensive skills assessment exercise will be planned and initiated in 2016, for implementation in 2017 and beyond. The purpose of this exercise will be to critically assess the required skills to successfully deliver the post-2015 agenda, and compare these to the existing skills set with the aim of building the capacity to deliver through hiring strategies, learning and development programmes and partnerships.

69.   Such skills assessment exercise should look at UNESCO's total workforce and not be limited to staff on fixed-term contracts. One of the outcomes will be a quantitative and qualitative skills gap analysis by professional category and functional area, and proposals of strategies to bridge the gap.

70.   A project plan, with resource requirements will be developed in 2015. It is proposed to pilot the skills assessment with a segment of a key population in a programme sector, which will be instrumental in the post-2015 agenda.

71.   As part of the strategies to efficiently address staffing gaps, outreach modalities will be reviewed to ensure that these are adapted to the challenges, as well as recruitment and selection processes, to increase efficiency and speed. Learning strategies will target in priority key generic skills needed for programme delivery (paragraphs 58 and 59 above).

72.   As requested by the Executive Board, the Director-General will submit at its 199th session, preliminary proposals for forward-looking management of jobs, staffing and skills for 2017-2022, as a new Human Resource Management Strategy, taking into account the External Auditor's recommendations and the findings of the review of staffing and support services.

Proposed decision

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

A

The Executive Board,

1.   Recalling 192 EX/Decision 5 (IV, A) and 195 EX/Decision 5 (V, A),

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

3.   Takes note of the information provided by the Director-General regarding the situation of the geographical distribution and the gender balance of the staff as of 1 June 2015;

4.   Invites the Director General to provide to the Executive Board at its 199th session an information note on the situation of the geographical distribution of the staff in the Secretariat and a progress report on the achievement of gender balance at the senior level, and to submit to the Executive Board a full report at its 201st session;

5.   Invites the Director-General to submit to the General Conference at its 39th session a full report on the situation of the geographical distribution and gender balance of the staff of the Secretariat.

B

The Executive Board,

1.   Recalling 195 EX/Decision 5 (V, B),

2.   <u>Having examined</u> document 197 EX/5 Part V,

3.   <u>Takes note</u> of the data, analyses and qualitative information presented in document 197 EX/5 Part V;

4.   <u>Encourages</u> the Secretariat to continue its efforts to improve wider geographical distribution and a better gender balance in the hiring of consultants where qualifications are equal;

5.   <u>Invites</u> the Director-General to report to it at its 200th session on the use of consultants and the implementation of the revised policy on individual consultants and other specialists.

C

The Executive Board,

1.   <u>Recalling</u> 196 EX/Decision 23,

2.   <u>Takes note</u> of the information provided in document 197 EX/5 Part V, and of the priority issues of the Human Resource Management Strategy;

3.   <u>Invites</u> the Director-General to implement the proposed Action Plan and to identify the necessary resources to this effect;

4.   <u>Invites</u> the Director-General to submit to the Executive Board, at its 200th session, a full report on the implementation of the Human Resources Management Strategy, including a report on the implementation of the priority issues as set out in the Action Plan.

ANNEX I

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

1.   Table 1 and chart show the number of individual consultant contracts issued at Headquarters (Headquarters) and in the field (excluding Brasilia Office) for each year between 2008 and 2014.

Table1: Numbers of individual consultant contracts: 2008-2014

	2008	2009	2010	2011	2012	2013	2014	Evolution 2013-2014
HQ	1267	1523	1248	1084	840	1111	1368	23%
% HQ	*41%*	*46%*	*37%*	*31%*	*33%*	*35%*	*41%*	
Field*	1808	1807	2107	2417	1741	2109	2005	-5%
% Field	*59%*	*54%*	*63%*	*69%*	*67%*	*65%*	*59%*	
Total	**3075**	**3330**	**3355**	**3501**	**2581**	**3220**	**3373**	**5%**

Number of Consultant Contracts, by year
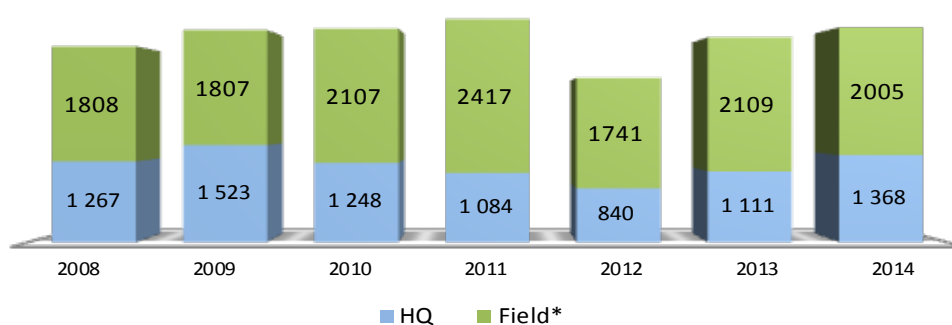
2.   Table 2 and chart show the number of individual consultants awarded contracts at Headquarters and in the field (excluding Brasilia Office) for each year between 2008 and 2014.

Table 2: Numbers of individual consultants: 2008-2014

	2008	2009	2010	2011	2012	2013	2014	Evolution 2013- 2014
HQ	825	1001	800	699	549	750	755	1%
% HQ	*35%*	*40%*	*32%*	*26%*	*29%*	*32%*	*33%*	
Field	1509	1512	1689	1981	1349	1626	1549	-5%
% Field	*65%*	*60%*	*68%*	*74%*	*71%*	*68%*	*67%*	
Total	**2334**	**2513**	**2489**	**2680**	**1898**	**2376**	**2304**	**-3%**

* Excluding contracts awarded by Brasilia office.

Number of Individual Consultant, by year
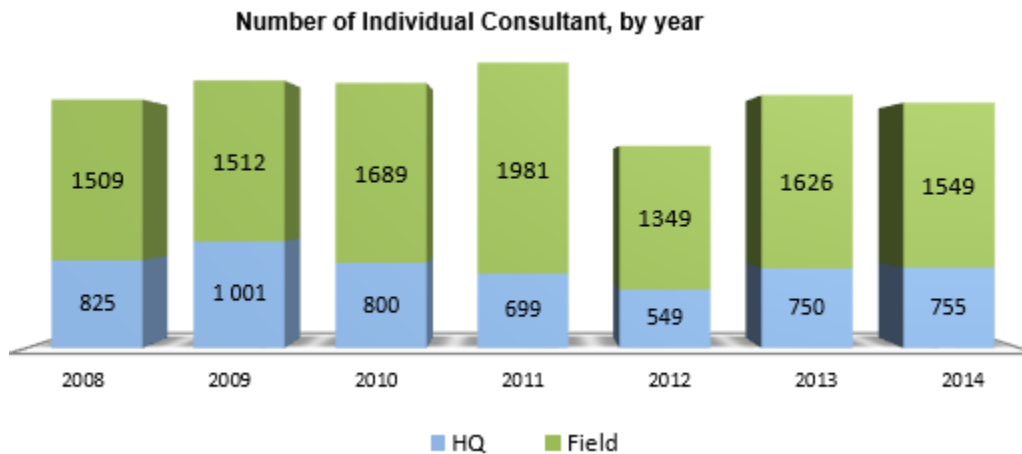
3.   Table 3 and chart shows overall spending on individual consultant contracts awarded at Headquarters and in the field (excluding Brasilia Office) for each year between 2008 and 2014.

Table 3: Spending on consultant contracts: 2008-2014 ($mill)

	2008	2009	2010	2011	2012	2013	2014	Evolution 2013- 2014
HQ	9.550	11.192	10.150	8.743	6.765	8.011	8.900	32%
%HQ	*53%*	*51%*	*42%*	*36%*	*37%*	*39%*	*40%*	
Field*	8.437	10.752	14.210	15.747	11.575	12.486	13.499	17%
%Field	*47%*	*49%*	*58%*	*64%*	*63%*	*61%*	*60%*	
Total	**17.987**	**21.944**	**24.360**	**24.490**	**18.340**	**20.497**	**22.399**	**22%**

Spending on Consultant Contracts ($mill), by year

4.   Table 4 shows the overall spending on individual consultant contracts awarded at Headquarters and in the field (excluding Brasilia Office) in 2013 and 2014 by source of funding.

Table 4: Spending on consultant contracts by source of funding: 2013 and 2014 ($mill)

.	2013					2014					Evolution 2013-2014	
	RP	%RP	EXB	%EXB	**Total**	RP	%RP	EXB	%EXB	**Total**	**RP**	**EXB**
HQ	1.522	19%	6.490	81%	**8.011**	2.633	30%	6.267	70%	**8.900**	73%	-3%
Field*	2.130	17%	10.356	83%	**12.486**	2.842	21%	10.657	79%	**13.499**	33%	3%
Total	**3.651**	**18%**	**16.846**	**82%**	**20.497**	**5.475**	**24%**	**16.924**	**76%**	**22.399**	**50%**	**0%**

5.   Table 5 and the pie-charts show total spending on consultant contracts awarded at Headquarters and the field (excluding Brasilia Office) in 2013 and 2014, by size of contract.

Table 5: Number of consultant contracts by size of contract: 2013 and 2014 (US dollar)

	HQ				Field			
	2013	%	2014	%	2013	%	2014	%
Less than 5000	590	53%	768	56%	1322	63%	1214	61%
5000 to 9999	244	22%	283	21%	436	21%	412	21%
10000 to 24999	231	21%	272	20%	287	14%	295	15%
25000 to 49999	40	4%	43	3%	47	2%	67	3%
50000 and over	6	1%	2	0%	17	1%	17	1%
Total	**1111**	**100%**	**1368**	**100%**	**2109**	**100%**	**2005**	**100%**

% Contracts by size (US$) HQ 2014

% Contracts by size (US$) Field 2014
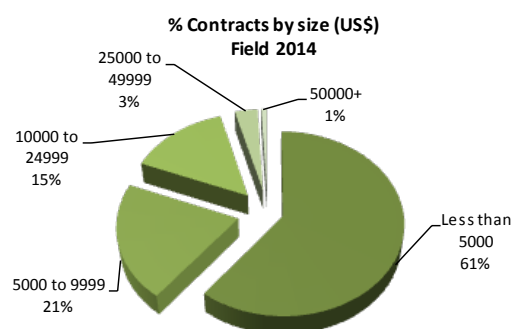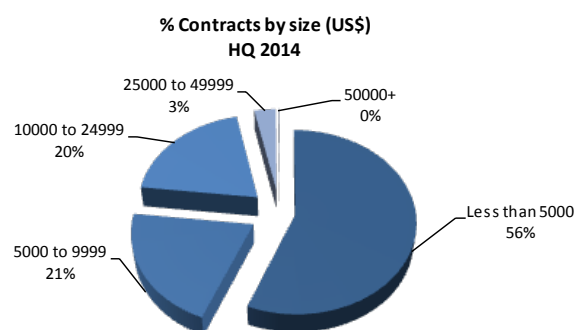
6.   Table 6 shows the average amount spent on individual consultant contracts awarded at Headquarters and in field offices (excluding Brasilia Office) for each year between 2008 and 2014.

Table 6: Average amount of consultant contracts: 2008-2014

	2008	2009	2010	2011	2012	2013	2014	Evolution 2013-2014
HQ	7 537	7 349	8 133	8 066	8 054	7 211	6 506	-10%
Field	4 666	5 950	6 744	6 515	6 649	5 920	6 733	14%
Total	**5 849**	**6 590**	**7 261**	**6 995**	**7 106**	**6 366**	**6 641**	**4%**

7.   Table 7 and the pie-charts show total spending on consultant contracts awarded at Headquarters and in the field (excluding Brasilia Office) in 2013 and 2014, by duration of contract.

Table 7: Number of consultant contracts by duration of contract: 2013 and 2014

	HQ					Field				
	2013	%	2014	%		2013	%	2014	%
Under 1 month	400	36%	615	45%		727	34%	629	31%
1 to 3 months	415	37%	399	29%		909	43%	839	42%
3 to 6 months	220	20%	249	18%		345	16%	368	18%
Over 6 months	76	7%	105	8%		128	6%	169	8%
Total	**1111**	**100%**	**1368**	**100%**		**2109**	**100%**	**2005**	**100%**

% Contracts by duration HQ 2014

% Contracts by duration Field 2014
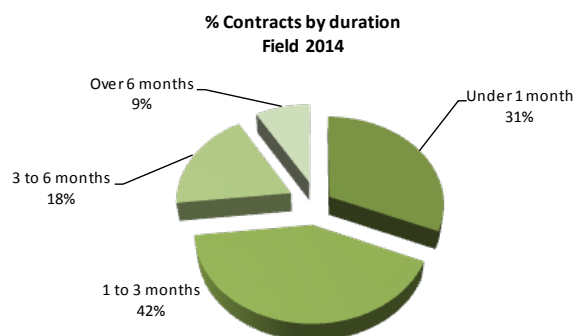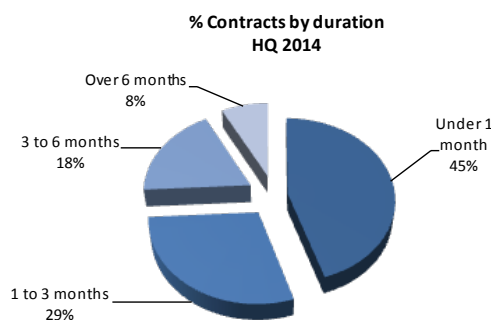
8.   Table 8 shows the number and spending on consultant contracts in 2013 and 2014 in Headquarters, by sector/bureau. Table 8b shows similar data for field offices, by sector/bureau.

Table 8: Number and spending on consultant contracts by sector/bureau: 2013-2014 (HQ)

	2013				2014			
	Number	%	Amount ($mill)	%	Number	%	Amount ($mill)	%
ED	194	17%	1.366	17%	227	17%	1.813	20%
SC	227	20%	2.419	30%	257	19%	2.248	25%
SHS	21	2%	0.173	2%	60	4%	0.577	6%
CLT	294	26%	2.130	27%	226	17%	1.974	22%
CI	85	8%	0.602	8%	57	4%	0.597	7%
ERI	132	12%	0.336	4%	136	10%	0.410	5%
AFR	13	1%	0.086	1%	10	1%	0.143	2%
MSS	26	2%	0.070	1%	279	20%	0.194	2%
CENT[(1)]	119	11%	0.830	10%	116	8%	0.942	11%
Total	**1111**	**100%**	**8.011**	**100%**	**1368**	**100%**	**8.900**	**100%**

(1) ODG, HRM, BFM, BSP, CRP, ETH and IOS

**Table 8b: Number and spending on consultant contracts by sector/bureau: 2013-2014
(Field*)**

	2013 Number	%	Amount ($mill)	%		2014 Number	%	Amount ($mill)	%
ED	956	45%	6.176	49%		965	48%	7.23	54%
SC	322	15%	1.946	16%		293	15%	2.119	16%
SHS	88	4%	0.364	3%		124	6%	0.523	4%
CLT	465	22%	2.795	22%		363	18%	2.166	16%
CI	222	11%	0.959	8%		187	9%	0.95	7%
MSS	56	3%	0.246	2%		73	4%	0.511	4%
Total	2109	100%	12.486	100%		2005	100%	13.499	100%

* Excluding data for Brasilia Office

9.   Table 9 shows the number and spending on consultant contracts awarded at Headquarters and the field for 2013 and 2014, by regional group of the individual consultant.

**Table 9: Number of consultants and spending on contracts,
by consultant region: 2013 and 2014**

	Number of consultants at HQ 2013	%	2014	%	Amounts ($ mill) 2013	%	2014	%
Group I	444	59%	442	59%	4.652	58%	5.513	62%
Group II	40	5%	40	5%	0.531	7%	0.43	5%
Group III	62	8%	72	10%	0.785	10%	0.999	11%
Group IV	79	11%	87	12%	0.834	10%	0.87	10%
Group V(afr)	69	9%	49	6%	0.644	8%	0.673	8%
Group V(arab)	56	7%	65	9%	0.566	7%	0.414	5%
Total	750	100%	755	100%	8.011	100%	8.900	100%

10.   Table 10 shows the percentage of consultant contracts (based on number) issued in 2014 by the regional group of the individual consultant and awarding office (Headquarters and field combined).

Table 10: Nationality of consultants hired in 2014 by regional group of awarding office

Regional group of Consultant	Regional group in which office is located						
	I	II	III	IV	V(afr)	V(arab)	Total
I	65%	5%	12%	24%	19%	22%	39%
II	6%	95%	0%	9%	1%	0%	5%
III	7%	0%	88%	0%	1%	0%	16%
IV	10%	0%	0%	65%	2%	10%	16%
V(afr)	4%	0%	0%	1%	72%	3%	13%
V(arab)	7%	0%	0%	0%	5%	64%	10%
Total	100%	100%	100%	100%	100%	100%	100%

11. Table 11 shows the number of individual consultants hired in 2013 and 2014 at HQ and field, by gender.

Table 11: Number of consultants hired in 2013 and 2014: by gender

HQ			Field			HQ and Field		
	2013	2014		2013	2014		2013	2014
M	414	409		1 075	911		1489	1320
%M	55%	54%		66%	59%		63%	57%
F	336	346		551	638		887	984
%F	45%	46%		34%	41%		37%	43%
Total	750	755		1626	1549		2376	2304

Excluding data for Brasilia office

12. Table 12 shows the number and spending on consultant contracts issued at Headquarters and the field in 2012 and 2013 to former UNESCO staff members.

Table 12: Number and spending on contracts awarded to former staff: 2013 and 2014

		Number of individual consultants	Retired Staff	%	Spending reired staff ($mill)	%
2013	HQ	750	18	2%	0.261	3%
	Field	1626	22	1%	0.181	1%
	Total	2376	40	2%	0.422	2%
2014	HQ	755	13	2%	0.105	1,2%
	Field	1549	9	1%	0.045	0,3%
	Total	2304	22	1%	0.150	1,0%

* Excluding data for Brasilia office

ANNEX II

CONSULTANT CONTRACTS IN UNESCO BRASILIA OFFICE

Number and amount

1.   Table A shows that 879 consultant contracts were awarded by Brasilia Office in 2014, 14% less than in 2013. Overall spending in 2014 was 34% less than in 2013, at $21,680 million (using December 2014 exchange rate).

Table A
Number and Amount of Consultant Contracts
Brasilia Office 2008-2014

	Individual Contracts			
	Number		$ mill	
2008	1545	2614	19.193	39.619
2009	1069		20.426	
2010	1165	1954	28.306	50.003
2011	789		21.697	
2012	803	1804	22.984	51.929
2013	1001		28.945	
2014	879		21.680	

2.   Eight hundred and thirty-eight individual consultants were hired during 2014. Eight hundred and thirty-three (99.4%) were nationals of countries in Group III, while 57% were female.

Source of funds

3.   Table B shows that 99.98% of overall spending on consultant contracts in 2014 was financed from extrabudgetary sources, compared with 99.8% in 2013.

Table B
Spending on Consultant Contracts by source of funding
Brasilia Office 2008-2014

	Amount ($ mill)					
	RP		ExB		Total	
2008	0.508	0.919	18.685	38.700	19.193	39.619
2009	0.411		20.015		20.426	
2010	2.526	2.591	25.780	47.412	28.306	50.003
2011	0.065		21.632		21.697	
2012	0,000	0.055	22.984	51.874	22.984	51.929
2013	0.055		28.890		28.945	
2014	0.004		21.676		21.680	

Contracts by amount

4.   Table C shows that 61% of consultant contracts awarded in 2014 were less than $25,000 compared to 46% in 2013; 5% of the contracts were for over $50,000 (7% in 2013).

Table C
Number of Consultant Contracts by amount
Brasilia Office 2013 and 2014

Amount ($ mill)	Individual Contracts			
	2013	%	2014	%
Less Than 5000	25	2%	16	2%
5000 to 9999	64	6%	77	9%
10000 to 24999	374	37%	443	50%
25000 to 49999	471	47%	303	34%
50000 and over	67	7%	40	5%
Total	1001	100%	879	100%

Duration of contracts

5.   Table D shows that 9% of consultant contracts awarded in 2014 were for less than three months, compared with 10% in 2013; 60% were for over six months (67% in 2013).

Table D
Number of Consultant Contracts by duration
Brasilia Office 2013 and 2014

	Individual Contracts			
	2013	%	2014	%
Less than 1 month	9	1%	3	0,5%
1 to 3 months	92	9%	75	8,5%
3 to 6 months	234	23%	277	31%
Over 6 months	666	67%	524	60%
Total	1001	100%	879	100,0%

ANNEX III
ACTION PLAN – UNESCO HR STRATEGY FOR 2011-2016
(REVISED ACTION PLAN WITH PRIORITY ISSUES)

OBJECTIVE 1 **ENHANCED QUANTITY AND QUALITY OF TRAINING OFFER** **TO ENSURE UNESCO HAS A CAPABLE AND SKILLED WORKFORCE.**								
TRAINING/CAREER SUPPORT DELIVERABLES ACTIONS	**KPI** **Key Performance Indicators**	**TIMEFRAME**	**RESPONSIBLE**			**ESTIMATED COST** **(in thousands US$)**		
			HRM	**Managers**	**Staff**	**2015**	**2016**	**Total**
1. Focus on Programme Specialists to enhance programme delivery by developing key skills in the areas of:	All actions are subject to quantitative and qualitative formative evaluation, in addition to specific KPIs:							
1.1. Project Management	1.1. Curriculum developed and tested with key stakeholders. Plan established for roll-out to target learners.	Q4 2016	X				78	78
1.2. Communication for Results	1.2. Modules identified. Minimum of 2 modules designed and piloted.	Q3 2016	X			10	40	50
1.3. Resource Mobilization	1.3. Online learning strategy identified with BSP/CFS. Targeted materials re-created in digital format. Digital materials piloted and rolled-out	Q4 2016	X			10	20	30
2. Develop Induction Programme for efficient integration of new recruits.	2. No. of staff attending face-to-face /virtual Induction Programme.	Q4 2015	X	X		15	40	55
3. Implement Mentoring Scheme	3. Pilot scheme completed. % of staff reporting satisfactory mentoring relationships.	Q2 2016	X			0	0	0

OBJECTIVE 2 A MOTIVATED WORKFORCE, WITH OPPORTUNITIES FOR CAREER DEVELOPMENT/GROWTH.								

TRAINING/CAREER SUPPORT DELIVERABLES ACTIONS	KPI Key Performance Indicators	TIMEFRAME	RESPONSIBLE			ESTIMATED COST (in thousands US$)		
			HRM	Managers	Staff	2015	2016	Total
1. Reinforce career support role of learning team. Provide career advice and briefings, including one-to-one support.	Reported satisfaction of staff consulting learning team for career development advice.	Q4 2015	X			0	0	0

OBJECTIVE 3 IMPLEMENT AN EFFECTIVE HR PLANNING.								

TRAINING/CAREER SUPPORT DELIVERABLES ACTIONS	KPI Key Performance Indicators	TIMEFRAME	RESPONSIBLE			ESTIMATED COST (in thousands US$)		
			HRM	Managers	Staff	2015	2016	Total
1. Reinforce HR planning process for key posts held by staff approaching retirement (~10% by Q4 2017).	Handover efficiency. Reduction in number of posts vacant after retirement. Posts advertised 12 months before vacancy.	Q2 2016	X	X		0	0	0

2. Carry out targeted skills assessment ("bilan de compétence") for staff in situ for 10+ years.
 	
  a. Feasibility study to identify methodology & approach for Headquarters and field.
 	
  b. Pilot targeted skills assessment.
	Feasibility study competed. Skills assessment completed. Action plan for staff established.	a. Q3 2016
		
		b. Q4 2016
			X	X		0	2a. 6
							
							2b. TBC
								6

3. Pilot Organization-wide skills assessment with a Programme Sector, to identify current and projected skills gaps.	Pilot skills assessment completed.	Q4 2016	X	X	X	0	25	25

ACTION PLAN
UNESCO HR Strategy for 2011-2016
(Progress Report)

OBJECTIVE 1 **IMPROVE THE DELIVERY CAPACITY OF UNESCO.**							

EXPECTED RESULTS	ACTIONS	KPI Key Performance Indicators	TIMEFRAME (Revised)	RESPONSIBLE			PROGRESS STATUS (30 June 2015)
				HRM	Managers	Staff	
1. More qualified candidates attracted and recruited in UNESCO	1. Enhance outreach for qualified candidates (through job fairs, universities, United Nations networks)	Candidates pools set up	Q2 2012 ***Partially postponed***	X			This activity - suspended until mid-2014 - resumed with some outreach missions, notably in China, Qatar. HRM also participated in 2014 and 2015 in international organizations job fairs organized by the Swiss Government in Lausanne and took part in a workshop for the International Students Programme at the *Ecole Nationale d'administration* (France). The set-up of candidates' pools was suspended; this is being reconsidered
	2. Set up candidates pools of external candidates shortlisted but not selected, to notify of future vacancies in the Organization			X			
	3. Identify critical skills and competencies needed (such as management; partnerships), develop protocols for competency-based interviews and provide training/briefing to hiring managers on a systematic basis	Competency-based interviews applied to all interviewed candidates	Q1 2012	X	X		A competency project has been initiated in HRM with a view to building a competency framework for UNESCO by end of 2015. Competency-based interviews will be piloted and rolled out towards end of 2015, with systematic training and briefings of hiring managers.
	4. Check references systematically and ensure traceability		Q1 2011	X	X		**Implemented.**

EXPECTED RESULTS	ACTIONS	KPI Key Performance Indicators	TIMEFRAME (Revised)	RESPONSIBLE			PROGRESS STATUS (30 June 2015)
				HRM	Managers	Staff	
2. Efficient, rapid, cost-effective and transparent recruitment process	5. Develop new vacancy notices format with attractive and informative content	Average % of candidates screened in/out	Q3 2011	X			**Implemented.**
	6. Set up more attractive, informative and user-friendly website (Intranet/Internet)		Q4 2011	X			**Implemented.** Website launched in October 2012. The website requires updating, which will be undertaken in 2015/16.
	7. Implement e-recruitment for pre-selection and rosters		Q4 2011 Q1 2012	X			**Implemented.**
	8. Revise job descriptions (JD), implement generic JDs where appropriate and provide training/advice on JD writing		Q2 2012 End 2013	X	X		- Within the past 4 years, generic JDs have been developed for Headquarters-based Programme Specialists posts in 2 Programme Sectors (ED and SHS), Desk Officer posts in ERI, Functional Specialist posts in KMI, support posts based in the field (i.e. drivers, administrative assistants) and programme assistant posts (both field and Headquarters). These JDs are applicable to around 460 posts. - Training on JD writing was conducted in 2011 for HR/AO staff at Headquarters. Guidance, assistance and advice are provided on a case-by-case basis to managers and AOs.

EXPECTED RESULTS	ACTIONS	KPI Key Performance Indicators	TIMEFRAME (Revised)	RESPONSIBLE HRM	RESPONSIBLE Managers	RESPONSIBLE Staff	PROGRESS STATUS (30 June 2015)
3. Enhanced quantity and quality of training offer to ensure UNESCO has a capable and skilled workforce	9. Develop and implement new learning strategy	% of staff trained;	**2014-2015**	X	X		On hold (training budget suspended since 2012)
	10. Conduct needs assessment an re-focus training offer on key generic skills needed for programme delivery (managerial skills, project management, partnering skills)	Number of days training per staff; % of staff satisfied with quality/quantity/relevance of training (through global staff survey); number of new training initiatives implemented Feedback through end training survey	**2014-2015**	X			On hold until 2015; in May 2015, learning needs consultations were done and future training offers will be more focused on needs identified.
	11. Implement new modalities of training: Internal development and assessment of external offer for specific skills; short-term assignments piloted; use of e-learning maximized						New platform with e-learning modules was launched in 2nd Q. 2013. Staff is regularly advised and informed on the use of innovative e-learning, e.g. MOOCs.
	12. Review role of Learning and Development Commission						This review is ongoing.
	13. Review allocation mechanisms of training budget to Sectors/Bureaux and FOs		**2013-2014**	X			On hold Training budget for 2012-2013 and 2014-2015 was not received
	14. Evaluate induction training for new recruits and improve as required		**2013-2014**		X		Under development. Target date for launching 4th Q 2015-1st Q 2016
	15. Implement mentoring scheme		**2013-2014**		X		Under development

EXPECTED RESULTS	ACTIONS	KPI Key Performance Indicators	TIMEFRAME (Revised)	RESPONSIBLE			PROGRESS STATUS (30 June 2015)
				HRM	Managers	Staff	
4. A motivated workforce, with opportunities for career development/ growth and recognition	16. Implement staff development reviews with staff who have performed the same functions for an extensive number of years (5 years or more); explore and enhance mobility opportunities	% of staff performing the same functions for an extensive number of years who have been assigned new functions;	**2014-2015**	X	X	X	Working sessions with Programme Sectors have taken place throughout the 2nd Q. 2015.
	17. Develop skills assessment tool	% of staff who have consulted Learning Unit for career development advise; feedback through global staff survey	**2013-2014**	X	X		Not implemented
	18. Reinforce counseling role of career service; provide career advise/briefings to staff			X	X		Since 2nd Q 2015, coaching/briefings (face to face or virtual) are being implemented.
5. Enhanced mobility (geographical, functional, and intersectoral)	19. Update and implement geographical mobility policy	% of staff in hardship duty stations re-assigned on time (SDA)	2012-2013	X	X	X	The geographical mobility policy was updated and issued in October 2013. Since January 2012,152 geographical moves took place, e.g. an average of 80-90 per biennium. Since January 2014, 74 moves took place. The majority of the staff in hardship duty stations have been reassigned on time.
	20. Recognize mobility as an asset for promotion to P-4/5		2012	X	X		**Implemented.**
	21. Implement pilot programme of intersectoral exchanges and functional mobility	% of staff remaining in same duty station/position for more than 5 years	**2015-2016**	X	X	X	Not implemented – to be considered in 2016/17
	22. Enhance inter-agency mobility	Nr of inter-agency moves per biennium	2012	X	X	X	**Implemented.** The number of interagency moves is on the increase: A total of 31 moves took place since 2012 (13 in 2012-13 and 18 in 2014- mid 15). The majority were UNESCO staff moving to other United Nations agencies (18) while 13 United Nations/other agency staff moved to UNESCO.

EXPECTED RESULTS	ACTIONS	KPI Key Performance Indicators	TIMEFRAME (Revised)	RESPONSIBLE			PROGRESS STATUS (30 June 2015)
				HRM	Managers	Staff	
6. Stimulating work environment	23. Develop a programme that recognize Team performance	Motivation and commitment of staff measured through global staff survey; Number of teams recognized	**2014**	X	X	X	The Team awards programme (on hold since 2011) will be resumed in 2016.
	24. Develop a programme that recognizes for outstanding performance for individuals		**2013** **2014-2015**	X	X	X	– The updated performance management system was issued in July 2014. – A recognition programme for outstanding performance is not yet implemented.
7. Improved quality of management and enhanced performance at managerial level	25. Provide management training for P-4 staff and above	% P-4 and above trained for management skills;	2012-2013 *postponed*	X			Suspended for 2013-2015 given the suspension of the training budget.
	26. P-4 and above supervisors identify, implement their staff development objectives and report on progress.	% of P-4 staff and above who actually report; % of staff satisfied by development objectives (through global staff survey	2013-2014			X (P-4)	Not yet implemented- will be considered in the implementation of the performance assessment.
	27. Implement 180° feedback and appropriate coaching/follow up	% of D staff who undertook a 180° feedback; % of staff satisfaction with managerial practices (global staff survey)	**2014-2015**	X	X	X	Not implemented- To be reconsidered
	28. Performance of senior managers assessed against key expectations	% of D staff assessed by the end of 2012	2012		Directors and above		An updated Performance Agreement for senior managers has been developed and internal consultations/validation are ongoing for implementation in 4th Q 2015.

EXPECTED RESULTS	ACTIONS	KPI Key Performance Indicators	TIMEFRAME (Revised)	RESPONSIBLE			PROGRESS STATUS (30 June 2015)
				HRM	Managers	Staff	
8. Enhanced accountability, compliance and trust	29. Develop a clear accountability framework for all staff in the Organization	Accountability framework developed. Reduction on the number of appeals/contestations	2011	X	X		A high-level accountability framework was appended to the HR Strategy.
9. Core values and standards of conduct promoted	30. Include ethics and promote core values in induction and management training	Number of staff trained; % decrease of number of harassment complaints; % of cases submitted Ethics Office; feedback through global staff survey	2011-2016	X and Ethics Office	X	X	**Implemented.** Ethics training resumed since 2nd Q 2015.
	31. Develop and implement policies on conflicts of interest, gifts, financial disclosure.		2012	X and Ethics Office	X	X	**Implemented.** Declaration of interest and Financial Disclosure Programme implemented by the Ethics Office since 2013. Gifts policy under preparation.
10. Gender parity at senior level	32. Implement UNESCO's Action plan for gender parity	50% of women Directors by 2016	2012-2016	X	X		A number of actions in the Action Plan were suspended due to the recruitment freeze. Gender parity is achieved among Professional staff, at Director level, the % is 36% (an improvement compared to January 2012 (28%). A full progress report is available in 38 C/INF.4

EXPECTED RESULTS	ACTIONS	KPI Key Performance Indicators	TIMEFRAME (Revised)	RESPONSIBLE			PROGRESS STATUS (30 June 2015)
				HRM	Managers	Staff	
11. A geographically balanced workforce	33. Implement the Action plan for the improvement of geographical distribution in the Secretariat	85% of Member States represented in 2016; Increased number of normally represented countries	2012-2016	X	X		A number of actions in the Action Plan were suspended due to the recruitment freeze. In June 2015, 153 (78%) Member States are represented within the Secretariat and 70 are normally represented countries (80 in January 2012) Actions to improve the geographical distribution have resumed with the launch of the Young Professionals Programme in May 2015. A full report on progress is available in 38 C/INF.4
	34. Non- and under-represented countries: assess situation, identify issues and develop targeted approach for outreach though advertisement in local press; job fairs; NatComs, Delegations, Professional networks.	% of staff recruited from non- and under -represented countries					
	35. Continue and support the YPP programme.	% of staff recruited from non- and under-represented countries					**Implemented.** The Young Professionals Programme, which was suspended since 2012, was re-launched in April 2015. The deadline for submission of applications was 10 July 2015; 10 young professionals from non- and under-represented countries will join the Organization in 2016.
12. Effective partnerships established to obtain external expertise	36. Facilitate and support the conclusion of new partnerships in support of UNESCO's programme, within the parameters of the Loans and Secondments framework, in key areas where expertise not readily available, with governments, intergovernmental Institutions, universities, private sector	Number and distribution of loans/secondments by Sector/Bureau/Office; positive feedback from the hiring manager	Ongoing	X with CFS	X		**Implemented.** Loan and secondments framework introduced in 2012, and new partnerships implemented: 28 loans and 22 secondments from public and private sectors in 2014-15 2 MOUs signed in 2014 with the Swedish Council for Higher Education and the Korean International Cooperation Agency (KOICA). **New JPO agreements signed with** Azerbaijan, Qatar and China. **A sponsored internship agreement** signed with the Government of China.

EXPECTED RESULTS	ACTIONS	KPI Key Performance Indicators	TIMEFRAME (Revised)	RESPONSIBLE			PROGRESS STATUS (30 June 2015)
				HRM	Managers	Staff	
13. HRM to become a proactive support/adviser to Organization and staff	37. Align HRM structure to effectively support the HR strategy and improve service delivery	Ivory Note issued; % service standards respected; random measures of "client" satisfaction; global staff survey	2011-2012	X			**Implemented.** Ivory Notes issued on 25 June 2012 and on 19 May 2014.
	38. Update service standards		2012	X			Not yet implemented, under development
	39. Monitor quality (and time) of service delivery by Section		2012	X			
	40. Develop and implement HR communication plan (including launch of the website, information sessions, town hall meetings at Headquarters and field)	Enhanced compliance with the rules (audit reports); feedback though global staff survey	2011-2012	X			**In progress.** HRM website launched in October 2012. The website requires updating, which will be undertaken in 2015/16.
	41. De-bureaucratize HR processes/procedures: conduct a systematic review of processes, in particular when implementing workflows;	Time for service delivery decreased; % of staff satisfaction (global staff survey)	2012-2013	X			**Implemented.** 3 workflows developed and operational at Headquarters and field. Further review of processes to take place.
	42. Increase delegation of authority within HRM and to Sectors						**In progress.**
	43. Develop a regular training programme of Administrative Officers and Human Resources staff in Sectors/Bureaux and in field offices	Enhanced compliance with the rules (audit reports)	2011 onwards	X			A second round of training on Job description drafting will be delivered once the AO reform is completed.
	44. Conduct global staff surveys every 2 years	Staff surveys conducted in 2012, 2014, 2016	2012 onwards	X			Not implemented in 2012 nor in 2014 (budgetary situation).

OBJECTIVE 2 STRENGTHEN THE FIELD PRESENCE AND THE INTER-SECTORALITY.							
EXPECTED RESULTS	**ACTIONS**	**KPI Key Performance Indicators**	**TIMEFRAME (Revised)**	**RESPONSIBLE**			**PROGRESS STATUS (30 June 2015)**
				HRM	**Managers**	**Staff**	
1. A strengthened field presence and the inter-sectorality	1. Assess staffing needs in the field; fill posts on time, provide quality induction and ensure knowledge transfer	% of vacancy rate in field; % of field offices in the Africa Region (Phase I) adequately staffed (90% posts filled)	2011 onwards	X	X		Many posts were kept vacant due to the recruitment freeze, hence a high vacancy rate in the field in August 2014 (26%). Recruitment efforts were focused on field posts since August 2014, with 108 posts filled. This contributed to a decrease of the vacancy rate to 15 in June 2015. Since January 2015, 32 posts have been filled in Africa, of which 3 Director and Heads of field office posts, 11 Professional posts (including National Professional Officers) and 17 local General Service posts. As of June 2015, two thirds of the field offices in Africa are adequately staffed (e.g. 90% of the posts filled). Recruitment efforts will continue to ensure adequate staffing of all FOs in Africa.
	2. Develop policies and guidelines to support the redeployment of staff, the separation and hiring of local staff.		2011 onwards	X with BFC			**Implemented.** Guidelines developed. The Administrative Circular on Redeployment Group was issued on 31 January 2013. The redeployment exercise was carried out through 2014 and 95 staff were redeployed.
	3. Ensure that there are clear lines of accountability/reporting within field offices, between field offices and between field and Headquarters		2011 onwards	X with BFC			**Implemented.** See document 37 C/INF 4 Add. on the field network; Ivory Note on the UNESCO Field Network in Africa and Ivory Note on the Enhanced Delegation of Authority to UNESCO Field Offices and Revised Reporting Lines (January 2014); and document 196 EX/5 part IV
	4. Provide advise/support to managers re org design, job profiles, staffing.		2011 onwards	X with BFC			**Implemented** on an ongoing basis.
	5. Ensure that Performance Assessment of head of field offices is measured and reported on.	% of HFOs with performance assessed	2011 onwards	X with BFC			**Implemented.** Performance Agreements developed and validated by Directors/Heads of Field Offices from October 2014 (95% implementation rate as of April 2015).

EXPECTED RESULTS	ACTIONS	KPI Key Performance Indicators	TIMEFRAME (Revised)	RESPONSIBLE			PROGRESS STATUS (30 June 2015)
				HRM	Managers	Staff	
	6. See action 21 (Obj.1(5)) Implement pilot programme of intersectoral exchanges and functional mobility		**2015-2016**	X	X	X	
2. Enhanced integration into the United Nations common system	7. Harmonize HR practices (to the extent possible) at the field level in the context of Delivery as One by implementing a harmonized approach to the recruitment of local staff.	Implementation progress of the Plan of Action	2011 onwards	X			The harmonization proposals were developed and approved by HLCM in 2014. An update of the recruitment policy of local posts (G and NPO) is ongoing.
	8. Sustain/strengthen UNESCO's participation and input in inter-agency networks	Chair of committees /participation in Working Groups	2011 onwards	X			**Implemented** on an ongoing basis.

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Educational, Scientific and
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Item **5** of the provisional agenda

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

PART V

HUMAN RESOURCES ISSUES

B.   **Report by the Director-General on the use of consultant contracts in 2014 and the implementation of the revised policy on individual consultants and other specialists**

CORRIGENDUM

Paragraph 35 and Table 3 should read as follows:

Spending on individual consultant contracts

35.   Total spending on consultant contracts in 2014 was 9% higher than in 2013 (11% higher in HQ; 8% higher in the field (Table 3)); the field accounted for 60% of total spending on consultant contracts in 2014. Table 3b shows overall spending on individual consultant contracts during the previous three biennia.

Table 3: Spending on Consultant Contracts ($mill): 2008-2014

Table 3								
Spending on Consultant Contracts ($mill), by year								
	2008	2009	2010	2011	2012	2013	2014	**Evolution 2013-2014**
HQ	9,550	11,192	10,150	8,743	6,765	8,011	8,900	11%
% HQ	*53%*	*51%*	*42%*	*36%*	*37%*	*39%*	*40%*	
Field*	8,437	10,752	14,210	15,747	11,575	12,486	13,499	8%
% Field	*47%*	*49%*	*58%*	*64%*	*63%*	*61%*	*60%*	
Total	17,987	21,944	24,360	24,490	18,340	20,497	22,399	9%

Paragraph 46 should read as follows:

46. Table 10, Annex I shows the nationality of consultants hired in 2014 by the Group in which the awarding office is located; and confirms the practice of local recruiting for local projects. Fifty eight percent (58%) of the consultants hired by offices in Group 1 countries were nationals of Group I countries. In other regions, the percentages range from 64% to 95%: for example, 64% of consultants hired by Group V (Arab) offices were nationals of Group V (Arab) countries, while 95% of the consultants hired by Group II offices were nationals of Group II countries.

In Annex I, Table 9, tables on the number of consultants in the field and in the field and Headquarters are to be added:

	Number of consultants in the Field				**Amounts ($ mill)**			
	2013	**%**	**2014**	**%**	**2013**	**%**	**2014**	**%**
Group I	335	21%	298	19%	4.515	36%	4.415	33%
Group II	112	7%	95	6%	0.435	4%	0.347	3%
Group III	272	17%	368	24%	1.38	11%	2.477	18%
Group IV	317	19%	300	19%	2.563	21%	2.55	19%
Group V(afr)	355	22%	294	19%	1.681	13%	1.899	14%
Group V(arab)	235	14%	194	13%	1.911	15%	1.812	13%
Total	**1,626**	**100%**	**1,549**	100%	**12.486**	**100%**	**13.499**	**100%**

	Number of consultants at HQ and Field				**Amounts ($ mill)**			
	2013	**%**	**2014**	**%**	**2013**	**%**	**2014**	**%**
Group I	779	33%	740	32%	9.167	45%	9.928	44%
Group II	152	6%	135	6%	0.966	5%	0.777	4%
Group III	334	14%	440	19%	2.165	10%	3.477	16%
Group IV	396	17%	387	17%	3.397	17%	3.420	15%
Group V(afr)	424	18%	343	15%	2.325	11%	2.312	10%
Group V(arab)	291	12%	259	11%	2.477	12%	2.485	11%
Total	**2,376**	**100%**	**2,304**	**100%**	**20.497**	**100%**	**22.399**	**100%**

In Annex I, Table 10 should read as follows:

Nationality of consultants hired in 2014 by regional group of awarding office (HQ/FIED)

Regional group of Consultant	Regional group in which office is located						
	I	**II**	**III**	**IV**	**V(afr)**	**V(arab)**	**Total**
I	58%	5%	12%	22%	16%	22%	32%
II	8%	95%	-	12%	1%	-	6%
III	9%	-	88%	-	1%	-	19%
IV	11%	-	-	65%	3%	11%	17%
V(afr)	6%	-	-	1%	75%	3%	15%
V(arab)	8%	-	-	-	4%	64%	11%
Total	100%	100%	100%	100%	100%	100%	100%

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**FOLLOW-UP TO DECISIONS AND RESOLUTIONS ADOPTED BY
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AT THEIR PREVIOUS SESSIONS**

PART V

HUMAN RESOURCES ISSUES

ADDENDUM

COMMENTS BY THE UNESCO STAFF UNION (STU)

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

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

Part I – Geographical distribution of the staff

The STU notes with regret that there is an increase of non-represented Member States and urges the Director-General to increase the global geographical representation within the Organization. The relaunch of the Young Professionals Programme in 2015 is a good step in this direction. However, the STU believes that the calls for applications for the Young Professionals Programme should be disseminated beyond National Commissions and diplomacy circles, in order to reach specialized communities and the best experts in every field.

Part II – Gender balance of staff

The STU is satisfied with the overall increase of gender balance but notes with regret that the percentage of female directors (36%) and professionals at the highest grade (P/5 = 35%) is still low.

Following the high rate of retirement (28%) at the Director level in the next two and a half years, the STU hopes that the Administration will seize the opportunity to remedy this imbalance at the Director level. The STU also hopes that during the recruitment of the current and future vacancies women will be given due priority at equal competence.

B. **Report by the Director-General on the use of consultant contracts in 2014 and the implementation of the revised policy on individual consultants and other specialists**

The STU regrets that the use of external consultants continues to grow, most particularly in Headquarters.

A 22% increase in the overall spending on consultant contracts is not coherent with the past and ongoing exercises of cuts in programme and staff and those of downgrading. It clearly indicates that the Organization does not have sufficient resources to implement its core mandate with its permanent resources and raises concerns about sufficient in-house expertise.

The total spending on consultant contracts financed by the Regular Programme between 2013 and 2014 rose by 73%!

The STU notes the decreasing figure provided by the Administration on the number of retired staff members awarded a consultant contract. However, in order to have a holistic view on this issue, the STU believes that the report should also include statistics on other non-staff contracts (e.g. service contracts, short term contracts, etc.), where there is also a significant proportion of retired staff.

The STU can only repeat that the abuse of non-staff contracts over a long term configures a violation of the international character and, consequently, of the independence of the international civil service.

Therefore, the STU requests the adoption of measures aimed at rectifying this alarming *status quo* and take back the international civil service to its core nature, to better serve our mandate and the principles enshrined in the United Nations Charter.

The STU also requests that an audit be conducted by HRM without any further delay on the current use of non-staff contracts, in the Headquarters and the field, with the objective to identify those contracted assignments that cover the core functions of the Organization and take immediate measures to find a permanent long-term solution.

C. **Report by the Director-General on the human resources management strategy for 2011-2016 – Priority issues and related action plan**

Learning and development

The STU agrees that there is an urgent need to allocate funding for training programmes.

Although a request to finance a set of training programmes has been submitted to the preparatory group of the Executive Board in document 197 EX/5.INF.2 "Invest for Efficient Delivery", it cannot replace a stable corporate training budget financed by the regular programme.

Therefore the STU regrets that zero US $ is allocated for training in the $518 million expenditure plan scenario for the next biennium.

The STU further deplores that promises made during the redeployment exercise in 2014, according to which redeployed staff would be duly trained on their newly-assigned functions, have not been kept.

Human resources planning

The STU remains deeply concerned about the lack of human resource planning in the Organization, which is crystallized by the fact that the Human Resource Management strategy is still at the development stage. The STU urges the Director-General to develop a real human resources management policy for UNESCO, with clear goals and mechanisms, in which all levels

of hierarchy become accountable for their responsibilities in human resources management, including knowledge and skills development, career development planning and transparent mobility and recruitment processes.

The recent Voluntary Mutual Separation Package has only confirmed this total lack of vision for human resources management in the Organization. In addition to the lack of any reasonable criteria for the motivation of departures, the exercise has been launched ahead of the foreseen HR planning exercise in 2016.

Most of the posts left vacant have already been advertised at the same level without any further strategic planning.

From a pure financial perspective, recruiting staff at step 1 of the same post grade will only generate insignificant savings after several biennia and may not generate any savings at all if the post is filled by internal recruitment.

From an intellectual perspective, the Organization is witnessing a loss of institutional memory as well as suffering from a severe "brain drain".

If the objective of the Administration was to rejuvenate staff, this might have been achieved more efficiently through other means: e.g. a higher intake of Young Professionals in the current ongoing exercise would have contributed both to rejuvenating staff and improving the geographical distribution.

In addition to the above, the posts left vacant through the exercise are not likely to be filled by professionals any younger than those, most of them in their 40s, who left the Organization.

Annex III – Action Plan – UNESCO HR Strategy for 2011-2016 (Progress Report)

Recruitment process

The STU is surprised to see in "Annex III – Progress Report on UNESCO HR Strategy for 2011-2016" that "an efficient, rapid, cost-effective and transparent recruitment process" has already been implemented. The key performance indicator for this is the "average % of candidates screened in/out". STU believes that this indicator cannot measure in any way the efficiency, rapidity, cost-effectiveness and transparency of UNESCO's recruitment process.

Furthermore, the recruitment procedures should be revised in order to ensure equity, fairness and transparency at every step of the recruitment process. HRM should have dedicated and competent staff involved at all stages of recruitment (composition of the selection panels, etc.,) in order to avoid biased procedures which leads systematically to staff demoralization/demotivation.

Mobility policy

According to Item 5 of Annex III, an "Enhanced mobility (geographical, functional, and intersectoral)" has also been implemented and this since 2012! STU would like to recall that to this date no mobility mechanism whatsoever has been set up and that the majority of dispositions of the October 2013 Mobility Policy have remained unapplied. Transfers at equal grade between field offices or from Headquarters to field offices and vice versa are left to the discretion of sectors and field directors, and are decided on a case-by-case basis with completely opaque criteria.

Based on the above, the STU proposes that the following could be added to the decision to be adopted:

The proposed decision B.5 might then read as follows:

The Executive Board:

5.   *Invites* the Director-General to report to it at its 200th session on the use of consultants and other non-staff contracts and the implementation of the revised policy on individual consultants and other specialists

And

       Invites the Director-General to develop a human resources management policy for UNESCO including knowledge and skills development, career development planning and transparent mobility and recruitment processes.

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

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PART V

HUMAN RESOURCES ISSUES

ADDENDUM 2

SUMMARY

This item presents the IOS internal audit report IOS/AUD/2015/07 of UNESCO's Recruitment Process for International Staff as per the request of the Executive Board at its 196th session.

The audit is intended for dissemination to the Executive Board as an information document under this item. The summary report of this audit can also be found, as is standard practice, on the IOS webpage.

Internal Oversight Service
Audit Section

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Audit of UNESCO's
Recruitment Process for International Staff

September 2015

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EXECUTIVE SUMMARY

Key results of the Audit

UNESCO's recruitment procedures are derived from the Staff Rules and Regulations and are set forth in detail in the Human Resources Manual. The process is designed to identify and appoint high quality staff while also achieving wide geographical representation and gender balance in the Secretariat. Competition is an important aspect of the recruitment process, and current staff are to be given priority when making appointments.

For purposes of this audit, IOS examined all recruitments completed in 2014 and 2015. From a compliance perspective, these generally conformed to the established procedures. However, the procedures are characterized by sequential steps – often involving a pre-selection committee, an evaluation panel and an advisory board – resulting in a lengthy process with considerable investment of staff time. While certain efficiencies have been successfully introduced, the Organization has had little success in accelerating time lapsed from initiation to entry on duty which currently averages one year.

The report contains 14 recommendations to improve recruitment for international Professional posts and higher grades. These include improvements to the workflow, clarification of certain procedures, and emphasize the importance of improved planning, with timely advertisement and clear service standards, to reduce prolonged staffing gaps.

Background

1. UNESCO's recruitment procedures are designed to ensure that staff appointments are made in accordance with the staff regulations approved by the General Conference. The overarching objective of the staff regulations in this regard is to secure the highest standards of integrity, efficiency and technical competence when appointing the staff of the Secretariat. Within this objective, the appointments are to be made on a competitive basis to achieve a wide geographical representation with due consideration to the improvement of gender balance at all levels of the Organization.

2. The Director-General is responsible for appointing the staff of the Secretariat in accordance with staff regulations. The Bureau of Human Resources Management (HRM) maintains UNESCO's Human Resources Manual, which sets forth the administrative procedures to be followed in implementing the staff regulations and rules.

3. HRM is responsible for providing guidance to hiring units on recruitment planning, job descriptions, vacancy notices, advertising and performing electronic pre-screening of candidates. HRM also informs candidates of the outcome of the recruitment process, issues the appointment letters and provides oversight of the process. For the recruitment of international Professional staff, HRM is to ensure that hiring units apply the Human Resources (HR) recruitment procedures and provides an interface between the hiring unit, the advisory bodies on personnel matters (PAB) and the Director-General. For P-5 posts, the posts of Heads of Field Office, Directors and above, HRM staff participate more directly in the recruitment process, for example by attending interviews, undertaking logistical and technical support, providing advice and note-taking support for some posts. For posts of the Senior Management Team, HRM also co-develops the vacancy notices together with the Office of the Director-General.

4.   HRM's current organizational chart is as follows:

Figure 1. Organizational Chart of HRM as of August 2015
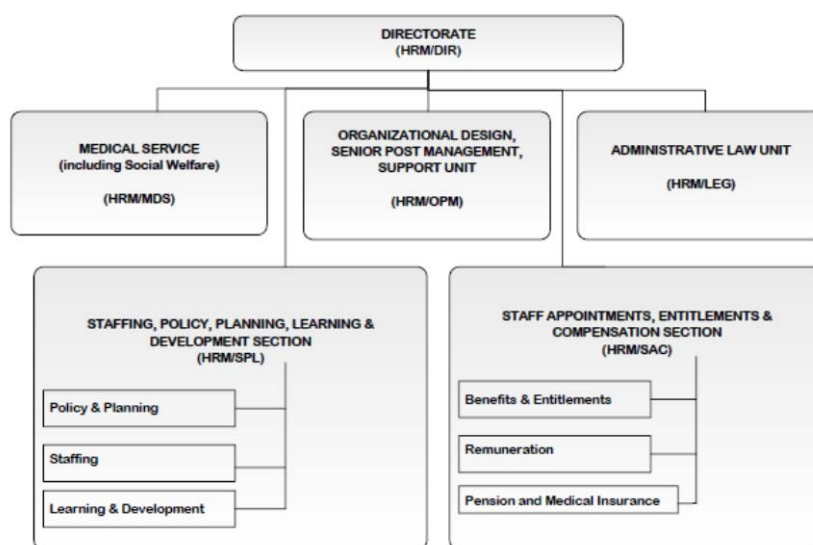
5.   Recruitment of professional posts is decentralized to sectors and services, with the Staffing unit of the Staffing, Policy, Planning, Learning and Development (HRM/SPL) section in an advisory and oversight role. The HR management capacity varies among the programme sectors, with Education sector having dedicated HR staff while other sectors assign administrative staff as HR focal points. The Organizational Design Senior Post Management, Support unit (HRM/OPM) is the focal point for recruiting P-5 Heads of Field offices, Directors (D) and Assistant Director-General (ADG) posts.

6.   UNESCO's recruitment process is largely administered through Taleo, a specialized off-the-shelf software for recruitment acquired by HRM in December 2011.

7.   Table 1 below provides an overview of the number of recruitments completed by year between January 2012 and June 2015 for posts of international Professionals and above.

Table 1. Number of recruitments completed from January 2012 to June 2015

Type of post	Total	2012	2013	2014	2015
Professional	90	14	24	21	31
Heads of Field Offices	26	1	14	11	-
Directors	13	2	2	7	2
ADG	5	-	-	5	-
Total	**134**	**17**	**40**	**44**	**33**

Scope, Objective and Methodology

8.   This audit was undertaken to assess the effectiveness of UNESCO's recruitment process for international Professional staff, Directors and Assistant Directors-General. This included assessment of (i) the workflows, controls and accountabilities in place to ensure compliance with the staff regulations, (ii) the procedures, guidance and tools used to manage the process and (iii) consideration of the handling of sensitive information associated with recruitment of staff.

9.   The audit considered the key phases of the recruitment process including:

- Recruitment Planning
- Recruitment Preparation
- Advertisement of Post
- Receipt and Evaluation of Applications
- Selection and Appointment
- Entry on Duty

10.   UNESCO's recruitment process has been impacted by financial shortfalls in recent years. This was particularly notable in late 2011 and 2012, when many vacancies were frozen in order to stabilize the budget, and in 2013 and 2014 as a redeployment exercise was undertaken following staffing reviews of Sectors and Services. Accordingly, our sampling methodology covered recruitments completed between January 2014 and June 2015. In order to reflect the current recruitment process, we excluded outliers, such as suspended recruitments due to the funding shortfall, that distorted overall conclusions.

11.   The audit was performed in accordance with the International Standards for the Professional Practice of Internal Auditing. This included a risk assessment during the planning phase of the audit, detailed analyses of each of the 72 sampled recruitments, interviews with hiring managers, HRM and BFM personnel, consideration of the use and effectiveness of automated tools used to initiate and manage the recruitment workflows, benchmarking with other United Nations organizations and consideration of past audits and evaluations.

Achievements

12.   When compared to previous assessments of UNESCO's recruitment process, progress has been made in a number of areas.

13.   HRM has introduced an automated recruitment system that retains information on applications received and their assessment and decisions. One notable efficiency of this system is the automated pre-screening of candidates to eliminate from further consideration external candidates that do not meet specific essential requirements of the post. It also provides a record of applications received and the progress of candidates through the recruitment process.

14.   HRM has also launched a number of important initiatives to improve the recruitment process. These include a project to introduce generic job descriptions in the Programme Sectors, the promotion of competency-based interviews and preparation of Confidentiality Statements to be signed by HRM personnel with access to sensitive and confidential information. Confidentiality statements have already been introduced for PAB members. While further action is needed to complete and more widely embed these good practices, substantive progress has been made.

15.   UNESCO's overall gender balance among Professional staff and above is among the best in the United Nations system at 49%.[1] Since 2008, UNESCO has made significant progress to achieve gender parity at the senior level. In 2014 and 2015, two thirds of the appointed candidates at the Director and ADG levels were female, increasing representation of women at the senior level to 42%. However, despite proactive measures, data indicates that UNESCO will fall behind the target of achieving gender parity at the senior levels by end of 2015.

16.   For the posts of Assistant Director-General (ADG), UNESCO publicly advertises vacancies setting forth specific qualifications for the posts. UNESCO compares favourably in this regard to some other United Nations organizations where appointments at this level are seen as political in nature and are not subject to a transparent recruitment process. The establishment of specific required qualifications for these posts can protect the Organization noting that appointed staff must meet all required qualifications as advertised.

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[1]   CEB/2014/HLCM/HR/21.

17.   HRM has also redesigned the vacancy notice format to simplify the presentation and introduce more consistency.

Challenges and Opportunities

18.   Notwithstanding the progress noted above, much remains to be done to improve the current process for recruiting international staff at the professional and above levels. See Annex II for Table of Prior Recommendations to Improve UNESCO's Recruitment processes.

19.   Medium-term recruitment planning is not effectively in place. While an HR strategy was prepared for 2011 to 2016, indicators of progress were not effectively developed and nearly half of the planned actions to implement the strategy have been suspended due to the lack of budget resources.

20.   Recruitment plans are not developed for hiring units, and service standards are out-dated and do not reflect current roles and procedures. As a result, the service standards are not monitored or otherwise used for planning, management and accountability purposes, and key steps of the recruitment process are often taken reactively leading to lengthy gaps between incumbencies of posts. Table 2 below compares the average time lapsed (in months) for international Professional recruitments as reported by IOS in 2009 and the average time lapsed for recruitments completed from January 2014 to June 2015.

Table 2. Average time taken for Professional (P) posts recruitment from initiation to DG decision

Average time taken from initiation[2] to DG decision for P posts in months	2014 and 2015	2008
External recruitments	10	10
Internal recruitments	8	5
Internal followed by External recruitments	18	20

21.   The automated tool used to initiate recruitments, the Organisation Management workflow, is no longer current. HRM has partially implemented this electronic workflow; however, the rigidity of the tool has resulted in a sequential workflow that unnecessarily delays the process. The enhancement requirements articulated by HRM have been put on hold by KMI due to the obsolete nature of the automated platform on which the tool is based. Its partial implementation has also led to inconsistent practices among Programme Sectors and Central Services when initiating recruitments.

22.   UNESCO's current provisions on educational requirements are not clearly established and consistently applied when developing vacancy notices. While UNESCO's HR Manual establishes that candidates for Professional and higher categories should possess at a minimum a completed advanced degree, the UNESCO Staff Rules stipulate the minimum requirement of a university degree or equivalent experience for Professional posts. Beginning in 2014, the requirement for an advanced degree as set forth in the HR Manual has often been set aside for higher-level posts to accept relevant professional experience in lieu of an advanced degree. This change follows practices in the United Nations Secretariat and aligns with UNESCO Staff Rules but is not consistent with provisions of UNESCO's HR Manual, resulting in confusion and controversy regarding UNESCO's standards for educational qualifications.

23.   The prescribed periods for advertising vacancies – internally for one month and externally for two months – delays recruitment. While there is a great deal of variance among United Nations organizations, half of the organizations advertise vacancies for one month or less. Prior studies

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2   The date the hiring unit formally requests, by HR Form 5-3 or through the automated workflow, the initiation of a recruitment.

have recommended that UNESCO shorten its advertising period to one month.[3] While the General Conference at its 36th session did not endorse the change, it merits reconsideration in light of improved online systems and expanded global access to the Internet. A shortened advertising period can be combined with other measures, such as more targeted advertising through other media in addition to the UNESCO website and a wider practice of concurrent internal and external advertising, to shorten the recruitment process while effectively identifying a strong pool of candidates.

24. Despite the overall target established in UNESCO's 2011 Human Resource Management Strategy of having 85% of Member States represented in the Secretariat by 2016, the proportion of under- and non-represented Member States is increasing (see Table 3). UNESCO's staff complement is declining and this has had an adverse impact on its overall geographical representation. UNESCO recruited very few external candidates from 2012 until mid-2014; therefore, the shift in geographical representation has mainly been driven by staff departures.

Table 3. UNESCO's geographical representation as of June 2005, 2010 and 2015

Year	Over-represented	In balance	Under-represented	Non-represented
2005	26	79	55	31
2010	26	77	53	37
2015	17	70	**66**	**42**

Source: 2005: 172 EX/35, 2010: 185EX/Inf. 8 and 2015: 38 C/INF.4

25. Ethics guidance for UNESCO staff is sparse with regard to recruitment. The HR Management Strategy includes an action assigned to HRM to develop and implement, in consultation with the Ethics Office, policies on conflicts of interest and related matters. Progress has been made with regard to the Financial Disclosure Programme and the Gift policy, but no substantive progress has been made in developing the Conflicts of Interest Policy. Consequently, UNESCO relies on the more general Standards of Conduct for International Civil Servants to guide personnel on potential conflicts of interest in the recruitment process. Completion of the foreseen Conflicts of Interest Policy, including relevant guidance on identifying and managing conflicts of interest in the recruitment process, would contribute to the common understanding and application of ethical standards.

26. Limited targeting of vacancy announcements limits candidatures. From January 2014 to June 2015, UNESCO advertised nine vacancy notices using media other than UNESCO's website; however, there was no analysis of cost-effectiveness of the alternate media. UNESCO's external advertisements are posted on the recruitment website and shared with members of the United Nations HR Network. For Director and above posts, vacancy notices are also circulated to the Permanent Delegations. Although the vacancy notices attract a large number of candidates (on average, Professional posts advertised in 2015 received 215 applications), a significant portion do not meet requirements of the post and, in some instances, hiring managers were required to re-advertise the vacancy because there were insufficient suitable candidates or a wider pool of candidates was needed to support geographic or gender objectives.

27. The assessment of candidates is the lengthiest phase of the recruitment process. It involves a three-step process comprising (i) a pre-screening to identify candidates not meeting key requirements of the post, (ii) a pre-selection phase to retain candidates who are assessed to have met all essential requirements of the posts and (iii) an evaluation phase to identify the candidates to be retained for interview. The pre-screening process is automated and efficient, and since 2009 the pre-selection and evaluation phases can be combined for internal recruitments to enhance efficiency. Nevertheless, there are opportunities to further simplify the pre-selection process and to improve the institutional record of the progression of candidates from the pre-selection to interview stage.

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3   The United Nations Joint Inspection Unit's *Report on Staff Recruitment in the UN System* (2012) and the *IOS Evaluation of UNESCO's Recruitment Policy and Practice* (2009).

28.   Assessment Centres can improve the evaluation of candidates for key posts. While several United Nations organizations draw on the services of Assessment Centres to support the evaluation of candidates for key posts, UNESCO has stopped using these services following the financial shortfall in 2011. An objective and well-formulized assessment of shortlisted candidates can assist the evaluation panels in differentiating candidates going beyond interviews and reference checks. HRM points out that the value of using Assessment Centres for senior positions is debated within the United Nations system.

29.   The advisory body on personnel matters (PAB) is generally recognized as increasing the transparency and reliability of appointments of staff at the international Professional and Headquarters-based General Service levels. However, given the number of staff involved, the time spent reviewing recruitment files and the meetings with hiring managers, this is a heavy process that requires investment of staff time as well as adds an additional sequential step to the recruitment process. HRM should explore alternatives with the Staff Associations and other stakeholders to lighten the process while still obtaining sufficient assurance to advise the Director-General. Senior-level recruitments (Director and above) are not subject to a process of independent review and advice to the Director-General. While such a process would not necessarily involve representatives of the Staff Associations, a formal and explicit assurance to the Director-General that the recruitment process conformed to relevant regulations, rules and procedures prior to making senior-level appointments could mitigate risks of disputes and controversy.

30.   UNESCO's automated recruitment tool is only partially implemented. In December 2011, HRM purchased software licenses for Taleo, a talent acquisition/recruitment tool. While benefits have been achieved through this tool, HRM is not using it to its full capacity.

31.   The audit also noted that cost-effective steps can be taken to improve the safeguarding of confidential recruitment information.

32.   To address these conditions, this report makes 14 recommendations to improve UNESCO's recruitment process for international Professional staff and above.

Table of recommendations

> **Recommendation 1:** HRM to clearly assign accountability and resources to facilitate planning of recruitments across the organization. This should include tools or templates to establish milestones and target dates for the projected recruitments to avoid lengthy gaps in incumbencies. As part of the planning, early consideration should be given to the requirements of the post and any special recruitment needs such as more proactive advertising (e.g. in professional journals) in the event of external recruitment and special assessment methods (e.g. assessment centres or written examinations) for the evaluation of candidates. Further, HRM should provide hiring units with standardized guidance on use and required input in Taleo and update the checklist of steps in the recruitment process.
>
> **Recommendation 2:** HRM, in collaboration with BFM and KMI, to enhance the workflow and associated management tool for updating post data, including for recruitment preparation, in order to introduce clear service standards and replace sequential steps with concurrent reviews and approvals where feasible. This may require replacing the automated tool due to its inflexibility. The current validation by BFM in the preparation phase should also be reconsidered if staff limitations prevent prompt validation.
>
> **Recommendation 3:** HRM to identify which posts can be transitioned from unique to generic job descriptions and establish a plan with timeframe, roles and resource needs to advance this exercise for all identified posts.
>
> **Recommendation 4:** HRM to clarify, formalize and disseminate the policy on educational qualifications for the recruitment of UNESCO staff members at the Professional and higher levels in order to ensure consistent understanding and application of the policy.

Recommendation 5: HRM, in collaboration with the Ethics Office, to establish, formalize and disseminate policy and guidance for identifying and addressing conflicts of interest with regard to staff recruitment. This can be incorporated as a part of a more comprehensive conflict-of-interest policy, as considered appropriate.

Recommendation 6: HRM to propose revision of the staff regulations and rules to (i) shorten the period of external advertisement of vacancies and (ii) on a pilot basis, introduce direct external recruitment of vacancies to avoid sequential advertisement while still preserving the associated staff rights.

Recommendation 7: HRM, in the context of recruitment planning, to establish and assign to hiring Sectors and Services time-bound targets for improving both geographical representation and gender balance and then closely monitor the progress achieved. This initiative should be coordinated with more proactive and targeted advertisement practices.

Recommendation 8: HRM, in collaboration with Sectors and Services, to develop practical guidance on advertising vacancies in media beyond the UNESCO website including (i) funding of advertisements through staff cost savings, (ii) approaches for targeting specific competencies and attributes (e.g. geographic and/or gender considerations) and (iii) a monitoring mechanism to assess the cost-effectiveness of such advertising. Further, HRM should consider practices in place at other United Nations organizations, including the use of recruitment firms to identify additional highly qualified candidates for selected posts and rosters for recurring vacancies, and introduce these practices in UNESCO where appropriate on a pilot basis.

Recommendation 9: HRM to modify current guidance to require Evaluation Panels to enter a brief annotation in Taleo reflecting decisions to not move candidates to the next stage of the recruitment process.

Recommendation 10: HRM to (i) introduce a more streamlined pre-selection process involving only an HRM representative and the hiring manager or designate; (ii) prepare and disseminate to Evaluation Panel chairs a standard briefing note on the roles, responsibilities and working methods of the Evaluation Panel; and (iii) modify current guidance to require that each member of the Evaluation Panel signs the summary record of the conclusions of the evaluation process. HRM should also consider assigning a representative to advise and oversee each Panel through the evaluation process.

Recommendation 11: HRM to establish criteria (e.g. grade level, nature of duties) and guidance for using Assessment Centres for the recruitment of key personnel. This should include learning from the practices in other United Nations organizations and identifying the various assessment services available and the associated costs.

Recommendation 12: HRM to (i) engage with stakeholders on options to lighten the PAB process without undermining the level of transparency and advisory support provided to the Director-General and (ii) introduce a clear statement of assurance by HRM or, alternatively, an independent review and advice to the Director-General regarding the conformity to applicable regulations, rules and procedures of recruitment process undertaken for senior-level appointments.

Recommendation 13: HRM in collaboration with KMI, to increase the value of Taleo as a management tool by engaging its reporting and monitoring functionalities where feasible and cost-effective.

Recommendation 14: HRM to (i) require Taleo users in HRM to sign confidentiality statements regarding sensitive information required in performing their official duties; (ii) introduce procedures whereby the Chair of the Evaluation Panel or an HRM representative instruct members of the Panel on their responsibilities with regard to confidentiality of deliberations and recommendations of the Panel; and (iii) regularly monitor access rights to Taleo to ensure user access is consistent with the respective job function.

RESULTS OF THE AUDIT

Background

33.   UNESCO's recruitment procedures are designed to ensure that staff appointments are made in accordance with the staff regulations approved by the General Conference. The overarching objective of the staff regulations in this regard is to secure the highest standards of integrity, efficiency and technical competence when appointing the staff of the Secretariat. Within this objective, the appointments are to be made on as wide a geographic basis as possible, without distinction as to race, sex or religion, and with due consideration to the improvement of gender balance at all levels of the Organization.

34.   Recruitment and appointments are to be made on a competitive basis following formal advertisement of the vacant posts. The regulations also state that staff members are to be given priority of consideration for vacant posts, and the Director-General may limit eligibility to apply for vacant posts to internal candidates. By UNESCO Staff Rules and the associated procedural guidance, all posts below the Director level are first advertised internally and then externally unless direct external advertisement is specifically approved by the Director-General. With regard to externally advertised posts, priority is to be given (subject to reciprocity) to applicants already in the service of the United Nations and other specialized agencies. Per the staff regulations, external recruitments are to be advertised for two months and, for internal recruitment, posts are to be advertised for one month.

35.   The procedures established by UNESCO to conform with the staff regulations and rules are complex and lengthy. While there is some variance among the grade levels of the posts, it takes on average one year to recruit a staff member from initiation until the candidate enters on duty.

Figure 2. Recruitment Duration by Grade in Months[4]
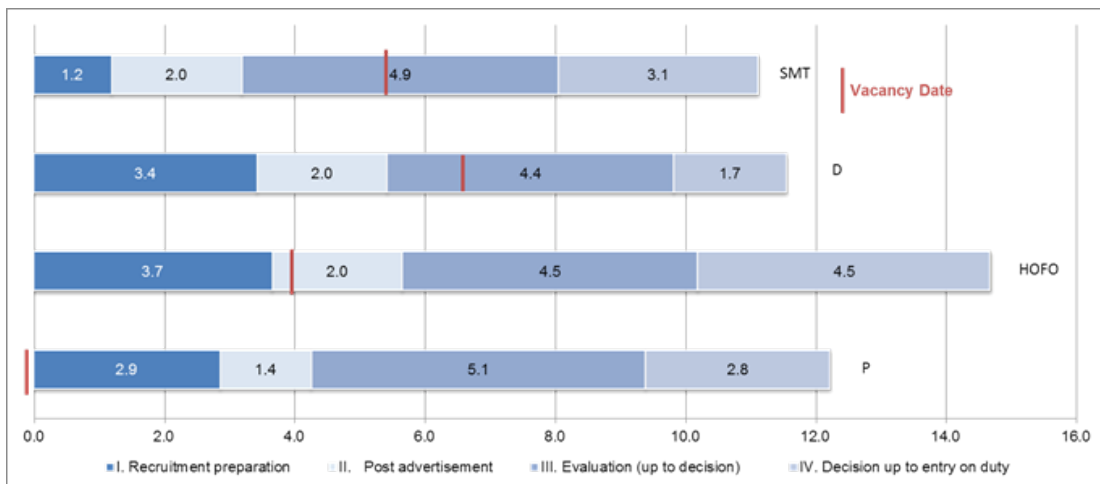
36.   On the following page is an illustration of the recruitment workflow.

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[4]   Senior Management Team (SMT) is a formally defined group of senior managers who, for the most part, report directly to the Director-General; Directors (D) refer to other D-1 and D-2 staff members that do not report directly to the Director-General (excluding Heads of Field Offices at the Director level); Heads of Field Offices (HOFOs) are generally Directors and P-5 staff serving as the senior managers of UNESCO's field offices; Professional (P) staff are those at the P-1 to P-5 levels (excluding Heads of Field Offices).

Overview of the Recruitment Process

	SENIOR STAFF WITH DIRECT REPORT TO THE DG	HEADS OF FIELD OFFICES & DIRECTORS OF INSTITUTES AND DIVISIONS	INTERNATIONAL PROFESSIONALS

RECRUITMENT PLANNING

DG, DDG, DIR/ODG or DIR/HRM instruct

HRM/OPM

Inititiate the recruitment process

BFM/BMR

Visa to confirm post's budget provision

HRM/OPM

Visa to confirm post level classification

HRM/OPM | **HRM/SPL**

Vacancy Notice Preparation

PREPARATION PREPARATION

DDG or DIR/ODG

VISA Vacancy Notice | **HRM/OPM**

MSS/CLD

Translation (English, French & Spanish)

HRM/OPM → **HRM/SPL**

Language Standardization and Input of the Pre-screening Questionnaire in TALEO

AD

POSTING OF VACANCY NOTICE ON UNESCO'S WEBSITE

Receipt of online applications

POSTING CLOSURE – AUTOMATED PRE-SCREENING OF CANDIDATES

HRM/OPM | **HRM/OPM** | **HRM/SPL**

Email list of pre-screened candidates | Provide access to pre-screened candidates in TALEO

DG approval of the composition of the Evaluation Panel

PRE-SELECTION COMMITTEE

Pre-select candidates for the Evaluation Panel

EVALUATION PANEL | **EVALUATION PANEL** | **EVALUATION PANEL**

RECEIPT AND EVALUATION OF APPLICATIONS

Assess and select candidates for interview then interview

DIRECTOR-GENERAL

Re-advertise ←No— Approve candidates for interview

EVALUATION PANEL | **EVALUATION PANEL**

Interview and recommend candidates

EVALUATION PANEL | **DIRECTOR-GENERAL** | **HRM/SPL**

Oral Debriefing to DG | | Review recommendations and file completeness incl reference checks

DIRECTOR-GENERAL

SELECTION AND APPOINTMENT

Select and interview candidates | Endorse | **PAB** Recommendation to DG

Yes | **HRM/SPL**

Host Government

HRM/OPM | No

Prepare recruitment files | Endorse | Prepare recruitment files

DIRECTOR-GENERAL | | **DIRECTOR-GENERAL**

Re-advertise or select another short listed candidate

Appointment Decision | No— | —No— Appointment Decision

Yes | Yes | Yes

—Yes— HRM informs candidate

37.   For the purpose of this audit, we have examined the recruitment process from planning through to entry on duty in the following phases:

- Recruitment Planning
- Recruitment Preparation
- Advertisement of Post
- Receipt and Evaluation of Applications
- Selection and Appointment
- Entry on Duty

38.   The audit also examined the automated workflow for the recruitment process and the control of sensitive information.

Phase I: The Recruitment Planning Process

39.   Recruitment planning requires that hiring units reflect on staffing needs in order to effectively achieve their current and longer-term objectives. This includes:

- Projection of future personnel needs in terms of skills and quantity for medium-term planning and skills development initiatives; and

- Identification of expected vacancies and preparation of a recruitment plan with (i) time-frame to minimize unencumbered period; (ii) advertising approach (e.g. to reach targeted candidate pool with consideration of geographic diversity and gender balance) and (iii) assessment approach (e.g. whether to use written examination or assessment centre, interview)

Issue 1.   Medium-term staff planning is not effectively in place

40.   The recent External Audit of Forward-Looking Management of Jobs, Staffing and Skills (March 2015)[5] highlighted the need for UNESCO to improve human resources planning. Citing specific conclusions that there is inadequate strategic vision of human resource needs, the audit made the following recommendation:

> *The External Auditor recommends that a review of staffing and support services be conducted from now until the end of the biennium in order to determine: (i) the nature and level of services, in terms of human resources management, that Headquarters should provide to the programme sectors; (ii) the 'core business/project management' services that should remain internal; (iii) the specific skills needed to support services per se and in the long term; and (iv) a plan for acquiring such targeted skills, including the staff recruitment requirements for the current situation and possible training programmes.*

41.   Implementation of this recommendation is being monitored by the External Auditor, and IOS has not repeated the audit work or recommendation.

42.   Given the work performed by the External Auditor and their audit recommendations, this audit report does not revisit the underlying weaknesses but builds thereon with specific attention to recruitment.

Issue 2:   Lack of recruitment plans leads to delays in recruitment

43.   UNESCO procedures set forth in the Human Resources Manual stipulate that, at the beginning of each biennium, HRM is to conduct a planning exercise with each Sector/Bureau/Office in order to:

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[5]   196 EX/23.INF.3.

- Assess the staffing needs for the following two years;
- Identify posts to be filled over this period with an indication of their expected vacancy date;
- Jointly schedule the recruitment for these posts; and
- Establish a list of posts to be advertised within the following 18 to 24 months.

44.   During May and June 2015, HRM/SPL conducted planning meetings with each Programme Sector to discuss staffing and to identify General Service and international Professional posts (P-1 to P-5) foreseen for recruitment. The Sectors informed IOS that these planning meetings were very useful, prompting them to more closely consider their upcoming recruitment needs. However, HRM has not been able to provide IOS with documented plans or analyses resulting from these planning meetings, and HRM has not yet organized such meetings with the Central Services.

45.   With regard to previous planning meetings coordinated by HRM, there is little record or institutional memory of planning meetings to identify projected recruitments. HRM explained that it periodically monitors anticipated vacancies foreseen from incumbents reaching their Mandatory Age of Separation and Standard Duration of Appointments for Heads of Field Offices and communicates this information to sectors and services in meetings. HRM also compiles data on vacancy rates and length of recruitments in a dashboard published on the Intranet. Together such information would be important elements of a more formalized recruitment plan for Sectors, Services and field offices.

46.   As a consequence of the inconsistent planning process, hiring units often do not initiate recruitment far enough in advance to prevent lengthy gaps in post incumbency. The 2009 IOS Evaluation of UNESCO's Recruitment Policy and Practice reported that hiring units initiated only 39% of recruitments before the post was vacated. Current data shows overall progress in this regard, with 66% of recent recruitments initiated prior to vacancy. However, this positive trend is not consistent across the organization – particularly with regard to Professional posts. For example, Table 4 shows that, for Professional posts, more than 50% are not initiated before the post is vacant. Analysis shows that, on average, these delayed recruitments were initiated four months after the vacancy occurred resulting in lengthy gaps or interim solutions to carry out the duties of the post.

Table 4. Initiation of Recruitment by Grade Level

Grade/Category of Staff	P	HOFO	D	SMT
No. of posts examined	21[6]	10	5	8
Recruitment initiated before vacancy	48%	80%	80%	88%
Recruitment initiated after vacancy	52%	20%	20%	13%

47.   Even when recruitment was initiated before vacancy, gaps in incumbency occurred, highlighting that more advance planning is needed to achieve timely recruitment.

Table 5. Average time of incumbency gap for recruitments initiated before vacancy

Initiation of recruitment before vacancy	P	HOFO	D	SMT
Number of months from recruitment initiation to vacancy	3	4	7.5	7
Number of months post was vacant	11	12	4	2

48.   In relation to this, hiring units have expressed the need for overall guidance from HRM in order to anticipate key steps of the process and better use the Taleo recruitment tool. For instance,

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6   This includes 2015 data only as 2014 data regarding the initiation of Professional-level recruitments was significantly distorted by the suspension of recruitments and the redeployment exercise.

some hiring units explained it would be useful to anticipate the evaluation phase by establishing the pre-selection committee and the evaluation panel early on in the process. These steps usually take place after HRM has communicated the list of pre-screened candidates. Although a checklist exists in the HR manual, it dates back to 2009 and most hiring units are unaware of it. Hiring units also explained that they do not know how to use the tool and what needs to be recorded in the system. The tool is not intuitive for users and the HR manual has not been updated to reflect revisions of procedures. Additionally, while HRM provides users with oral support on an individual basis upon request, it is time-consuming and there is no reference guide available to ensure common understanding and consistent use of the tool.

Recommendation 1:	
We recommend that HRM clearly assign accountability and resources to facilitate planning of recruitments across the organization. This should include tools or templates to establish milestones and target dates for the projected recruitments to avoid lengthy gaps in incumbencies. As part of the planning, early consideration should be given to the requirements of the post and any special recruitment needs such as more proactive advertising (e.g. in professional journals) in the event of external recruitment and special assessment methods (e.g. assessment centres or written examinations) for the evaluation of candidates. Further, HRM should provide hiring units with standardized guidance on use and required input in Taleo and update the checklist of steps in the recruitment process.	High Priority

Action Plan and Target Implementation Date:

(i)   HRM will formalize the current planning mechanism with Sectors, including tools/templates taking into account specific requirements. This is already part of the priority action plan under the HR Strategy (submitted in Annex III of 197 EX/5 Part V). Target date: June 2016.

(ii)   User friendly, standardized guidance on the use of Taleo will be provided by HRM for hiring managers. Target date: March 2016.

(iii)   HRM is finalizing a detailed control framework of the recruitment process (as per the External Auditor's recommendation 186 EX/30 Part IV). This framework will be completed by a checklist of steps in the recruitment process. Target date: October 2015.

Phase II: Recruitment Preparation (Average time lapsed 85 days)

49.   The preparation phase of the recruitment process encompasses the following steps:
- Update job description (Hiring Unit)
- Confirm budget for post (BFM)
- Classify post (HRM)
- Prepare draft vacancy notice including required and desired qualifications (Hiring Unit)
- Clear vacancy notice and prepare pre-screening questionnaire (HRM)

50.   The recruitment preparation takes on average 86 days for Professional posts, 110 days for Heads of Field Offices, 103 days for Directors and 36 days for the Senior Management Team. A breakdown of the days lapsed between key steps of this phase for Professional posts is shown in Table 6.

Table 6. Days lapsed between key steps of the recruitment preparation

Average Duration of Recruitment Preparation:	Days
From initiation of recruitment to posting of vacancy notice	**86**
From initiation date to BFM approval	6
From BFM approval to Classification approval	11
From Classification approval to vacancy notice posting	72

51.   It takes on average nearly three months to complete this phase, which includes sufficient controls to ensure that (i) funds are available for the post, (ii) the post job description is current and reflects the appropriate grade level and (iii) the vacancy notice follows a standardized format for publication. However, improvements are needed in order to streamline the process and reduce time lapsed. These include:

- Steamlining the workflow and improving the automated tool used to administer the recruitment preparation phase

- Completing the ongoing initiative to introduce generic job descriptions for certain categories of posts

- Consulting and formalizing the policy for establishing educational requirements (which could reduce the two months between classification and posting of the vacancy notice)

Issue 3:   The tool used to initiate recruitment is inflexible

52.   HRM implemented the Organisational Management (OM) workflow, an electronic tool to record actions related to posts (e.g. creation, modification and abolition) and to request clearances before advertising a vacancy notice. This was a good initiative to better manage and monitor workloads, track status and to identify and resolve delays in the preparation phase of recruitments.

53.   The objective was to automate the paper-based process used to initiate recruitment and take other actions related to posts. However, HRM has only deployed the OM workflow to Programme Sectors. The tool did not prove to be sufficiently flexible, technically reliable and user-friendly to adapt to evolving user requirements. As a result, the Programme-related and Corporate services still use the paper-based workflow (i.e., Form HR 5-3, "Request for Personnel Action") to initiate recruitments. This form records clearances by different services including (i) BFM to confirm that funds are available and (ii) HRM/OPM to confirm that the job description is current and properly classified.

54.   Further, the OM workflow requires – in a sequential order – three visas from the hiring sector (hiring manager, administrative officer and ADG or Director), two from BFM, and three from HRM. Hiring units have questioned the need to obtain BFM visa at the start of the recruitment process since it is requested again after appointment decision and before actual appointment for P posts. Given the time it takes to complete a recruitment, the first BFM visa may be obsolete or redundant. Although BFM has agreed to remove the first validation step, this could not be done due to the complexity of the OM workflow. Validation steps cannot be suppressed and the flow cannot be adjusted or redirected to the appropriate steps.

55.   As a result, the workflow no longer adequately reflects the current procedures and functional requirements. It imposes an unnecessary sequential process that delays recruitments and has led to inconsistent practices between among Programme sectors and Central services. A lack of clear service standards for completing each step has allowed delays to perpetuate.

Recommendation 2:	
We recommend that HRM, in collaboration with BFM and KMI, enhance the workflow and associated management tool for updating post data, including for recruitment preparation, in order to introduce clear service standards and replace sequential steps with concurrent reviews and approvals where feasible. This may require replacing the automated tool due to its inflexibility. The current validation by BFM in the preparation phase should be eliminated if staff limitations prevent prompt validation.	Medium Priority
Action Plan and Target Implementation Date:	
KMI indicated that the current automated application needs to be developed on a different platform. HRM, in collaboration with BFM, end users and KMI, will engage in the preparation of the functional specifications and, subject to availability of budgetary resources, will replace the current automated tool for post-related actions. Target date: December 2017.	

Issue 4:   Generic job description initiative ongoing without a target completion date

56.   In 2009 the Director-General, via a memo from DIR/HRM, instructed all managers to ensure that job descriptions and vacancy notices for P-1 to P-4 posts in Clusters and National Offices reflect generalist responsibilities in the Programme Sectors concerned. To that effect, HRM was to review, in cooperation with Programme Sectors, the current job descriptions in order to modify them accordingly.

57.   In a similar initiative, the ED and SHS sectors in collaboration with HRM introduced generic job descriptions for Headquarters-based programme specialist posts. Since 2011, HRM has been working towards developing and updating generic job descriptions for the most populated occupational groups in the Organization. Since 2011, HRM together with the involved sectors and services has established generic job descriptions covering approximately 460 posts and estimates that a further 400 posts have profiles that may be captured in generic job descriptions. However, four years into this initiative, there is no clear plan on when the remaining 400 posts will be addressed.

58.   HRM requires additional resources (staff or funds for consultancy) to complete this initiative. The lead unit's workload has been increasing because of additional duties being assigned, and spending on external consultants has reduced by half due to financial constraints. Following the May 2014 reorganization of HRM there is no longer a dedicated unit for addressing classification needs and establishing generic job descriptions.[7] A new unit, the Organizational Design, Senior Post Management, Support Unit (HRM/OPM) is assigned these tasks together with other responsibilities such as recruiting and facilitating mobility of senior posts. The unit has prioritized tasks based on sensitivity and urgency, and establishing generic job descriptions is often afforded a lower priority.

59.   Well-developed generic job descriptions have a number of advantages. They establish a common set of competencies for categories of posts at various job levels, simplify and standardise the classification process, and can accelerate the recruitment process.

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[7]   DG/Note/14/19.

Recommendation 3:	
We recommend that HRM identify which posts can be transitioned from unique to generic job descriptions and establish a plan with timeframe, roles and resource needs to advance this exercise for all identified posts.	High Priority

Action Plan and Target Implementation Date:

In collaboration with the parent Sector/ Services, HRM will identify posts that would fit in generic profiles and will establish a plan with timeframe, responsibilities and resources required for its implementation with due priority for the most populated occupational groups and technical engagement and input of the parent Sector/ Service. Additional HR resources would be required for the implementation of this recommendation. Target: December 2017.

Issue 5: Current guidance on determining educational requirements is not clearly established and consistently applied when developing vacancy notices

60.   Staff Rule 104.2 (b) requires that a candidate for a post in the Professional category is to possess a university degree or equivalent experience and to show that s/he has a good knowledge of one of the working languages of the Secretariat. The staff rules do not establish any specific requirements in this regard for the employment for senior staff (Director and above posts).

61.   UNESCO's Human Resource Manual (Chapter 5.3 paragraph 1) states that candidates for posts in the Professional and higher categories should normally possess, at the minimum, a completed advanced university degree (Master's degree or equivalent) in a field of study relevant to the functions as reflected in the vacancy notice. These standard criteria have been established since 2009 and are cited in reports benchmarking UNESCO against other agencies (e.g. JIU/NOTE/2012/2).

62.   During the audit, HRM pointed out that the more stringent educational standard cited in the Manual can be seen as a contradiction with the Staff Rule, where the Staff Rule would take precedence. IOS considers it likely that the intent of this Staff Rule was to establish a set of minimum requirements upon which the HR Manual expands.

63.   The HR Manual also sets forth the minimum level of professional experience required for each grade level of Professional posts.

Table 7. Standard recruitment criteria for International Professional posts

Grade	Minimum number of years of relevant professional experience	Education
P-1/P-2	Less than 2 years; Less than 1 year for candidate with Ph.D.	Advanced university degree (equivalent to Masters) in the relevant field or equivalent professional qualification
P-2	2 to 4 years, of which preferably 1 year acquired at international level	
P-3	4 to 7 years, of which preferably 2 years acquired at international level	
P-4	7 to 10 years of progressive responsible relevant experience, of which preferably 3 to 5 years acquired at international level	
P-5	10 to 15 years of progressively responsible relevant experience, of which preferably 5 to 7 years acquired at international level	

Source: Human Resources Manual

64.   The HR Manual does provide for deviations from the standard educational criteria in cases where the hiring manager determines that, for specific occupational groups, the requirement of an

advanced university degree may be replaced by a combination of relevant qualifications, certification and professional experience. In such cases, the hiring manager is to consult HRM when establishing the vacancy notice. It is relevant to note that the HR Manual does not define what amount or level of relevant professional experience could be equated to an advanced degree.

65. While UNESCO conforms to the above requirements for minimum number of years of relevant professional experience when recruiting at the Professional and higher grades, improvements are needed to ensure a consistent understanding and application of the educational criteria.

Professional posts

66. The following exhibit summarizes the minimum educational requirements as presented in the vacancy notices for the recruitment of all UNESCO Professional posts from January 2014 to May 2015.

Figure 3. Educational requirements for Professional post recruitments 2014 - 2015
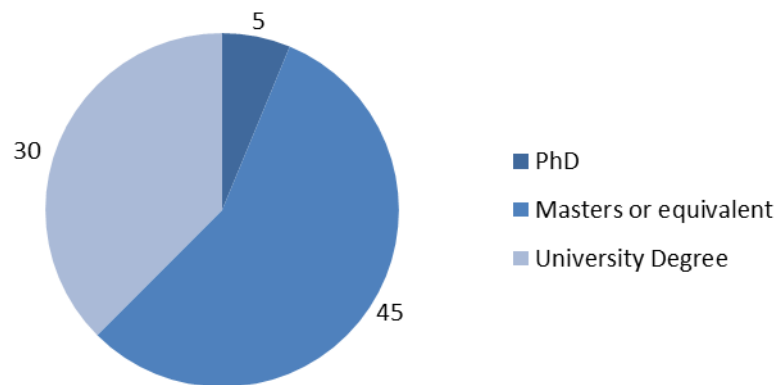
67. The 30 instances where educational requirements fall below the standard requirement for an advance degree pertain to recruitments in various Sectors and Services; however, most are in the Bureau of Financial Management.

Figure 4. Deviations from the HR recruitment policy
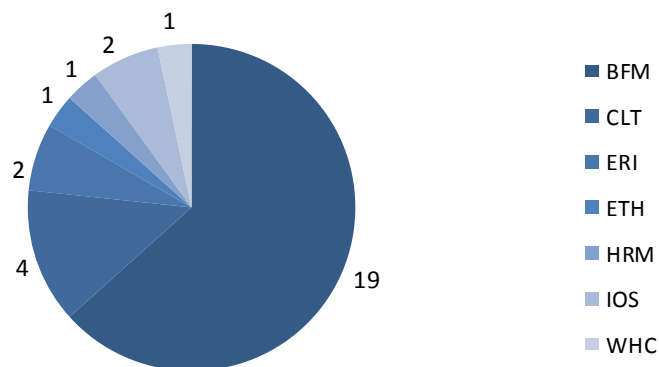
68. HRM explained that the replacement of the advanced degree with a combination of other relevant qualifications occurs when the recruiting Sector/Bureau requests such a change for specific occupational groups. This practice is consistent with HR Manual Item 5.3. The rationale for this is to adapt to the requirements of a particular job where the possession of an advanced degree is not essential and is secondary to other specific qualifications.

69.   BFM explained that the 19 posts noted above were mainly for budget, finance and administrative officers, generally in field offices. Setting the educational requirement as a university degree was a conscious decision in order to solicit interested candidates who had relevant professional experience but who may not have an advanced degree. These are mainly entry-level Professional posts and provide career development opportunities for current personnel. BFM also explained that all staff is expected to acquire the standard professional certification once in the position.

70.   In two instances, the BFM posts required a recognized accountancy qualification rather than an advanced degree. Similarly, for the IOS posts, internationally recognized auditing qualifications were substituted for the requirement for an advanced degree at the P-3 level and were a desired qualification for the P-1/2 level. As for BFM, all junior audit staff is expected to acquire the necessary professional auditing certification once on board.

71.   For the two ERI posts, technical qualifications and experience in information technology was required instead of an advanced degree, exceptions that are consistent with the HR Manual.

72.   For the four posts in CLT and one in WHC, the vacancy notices specified no additional experience or qualifications in lieu of an advanced degree. During the drafting of these vacancy notices HRM/SPL advised CLT to be consistent with other recently advertised vacancy notices. CLT explained that specifying a university degree instead of an advanced degree in these instances provided opportunity for advancement to current staff who had been performing well and were assessed as ready to serve at the higher level, notwithstanding their lack of an advanced degree. This practice was not consistent with HR Manual Item 5.3.

73.   IOS could not identify any specific reason why the vacancy notices for two posts in the central services (HRM and Ethics) specified educational requirements of a university degree only. These two vacancy notices, while not in violation with the Staff Rule, did not conform with HR Manual Item 5.3, but the appointed candidates, holding advanced degree, did meet the educational qualifications cited in the Manual.

74.   With regard to educational qualifications for Professional posts, practices vary across the United Nations system. Some organizations have adopted a more flexible approach whereby candidates are required to have either (i) an advanced degree or (ii) a first degree with additional experience. An examination of recent vacancy notices across the United Nations system showed the following:

Figure 5. Minimum educational requirements in recent Vacancy Notices for Professional posts of other UN organizations (Open for Recruitment in June 2015)
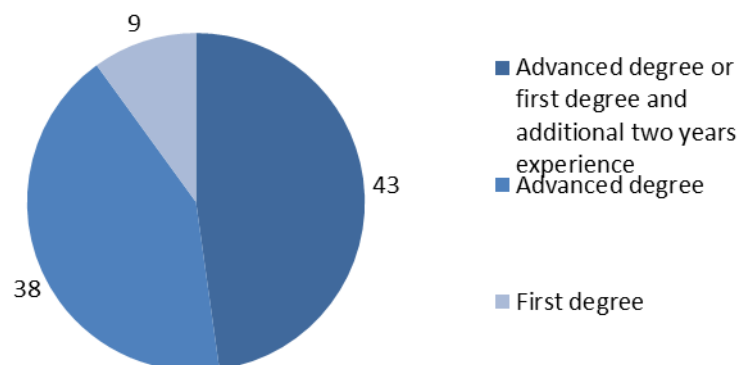
Director posts

75.   The following exhibit summarizes the educational requirements as presented in the vacancy notices for the recruitment of UNESCO Directors from January 2014 to May 2015.

Figure 6. Minimum educational requirements for Director posts in UNESCO
(January 2014 to May 2015)
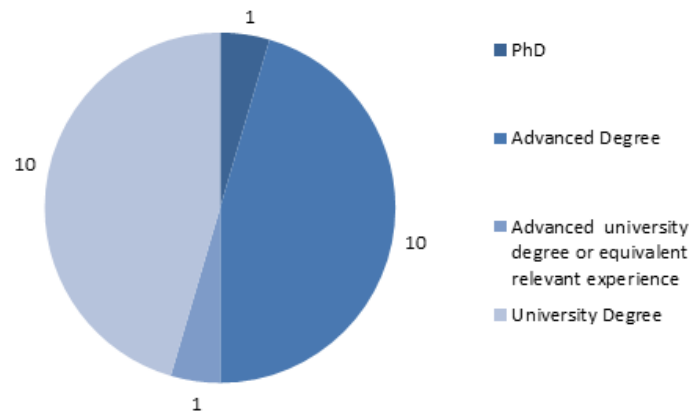
76.   As indicated above, 11 of 22 vacancy notices for Director posts met or exceeded the educational requirements called for in the HR Manual, and 11 were lower than the established standard. Director of Field Office posts accounted for 10 of the 11 deviations. HRM explained that, at this senior level in the field offices, the candidates' proven track record was more important than their advanced education that was normally completed many years before. Thus, Directors of Field Office are a category of posts where a decision has been taken to focus on relevant experience in lieu of an advanced degree. With regard to the 2014 advertisement for Director of HRM, which called for an advanced degree or equivalent extensive professional experience, this requirement was consistent with the previous vacancy notice for this post in 2010 and the successful candidate does hold an advanced degree.

77.   With regard to educational qualifications for Director posts, practices vary across the United Nations system. Vacancy notices for Director posts in the UN Secretariat normally require either (i) an advanced degree or (ii) a first degree and a specific number of years' additional experience. However, other organizations within the United Nations system, such as WHO, FAO, IFAD, ILO and UNDP, routinely require at least an advanced degree at the Director level.

Assistant Director-General posts

78.   For the posts of Assistant Director-General (ADG), UNESCO publicly advertises vacancies and sets forth specific qualifications for the posts. UNESCO compares favourably in this regard to some other United Nations organizations where appointments at this level are seen as political in nature and are not subject to a transparent recruitment process involving specific qualifications. The establishment of specific required qualifications for these posts can protect the Organization from risks of undue political influence noting that appointed staff must meet all required qualifications as advertised for a post.

79.   Since 2013, UNESCO has advertised seven ADG posts (SC, SHS, CLT, CI, IOC, AFR and BSP). For six (SC, SHS, CLT, CI, AFR and BSP) the vacancy notices cite as the required educational qualification "an advanced degree or equivalent professional experience". In these six vacancy notices, a Ph.D. level degree in a relevant field is cited as a desirable (but not required) qualification. For IOC, the vacancy notice requires an "advanced university degree, preferably at doctorate level". Annex I presents a detailed profile of the advertised qualifications required for ADGs from 2000 to 2015, and Annex II presents the actual qualifications of the incumbents.

80.   Prior to 2013, all vacancy notices for ADG posts stated that an advanced degree was required. In one instance (ADG/CLT), a Ph.D. or equivalent was required (see Annex I). Based on the above, it is clear that a change in practice was introduced in 2013 lowering the minimum educational qualifications for ADG posts. However, there is no documented decision or formal policy revision reflecting this change. HRM officials explained to IOS that introducing "equivalent professional experience" in lieu of the requirement for an advanced degree was to (i) broaden the pool of candidates, (ii) better align UNESCO with the United Nations Secretariat and (iii) facilitate inter-agency mobility.

81.   IOS identified six recent vacancy notices at the level of Assistant Secretary-General at other United Nations organizations (the United Nations Secretariat, UNEP, WIPO and FAO). In four of the six vacancy notices, no educational qualifications were specified. Two of the six did cite an educational requirement of an advanced university degree but also specified that equivalent professional experience would be acceptable in lieu of the advanced degree. Thus, while the minimum educational requirement for UNESCO's ADGs has generally been lowered in recent years, this practice is not unique to UNESCO.

Recommendation 4:	
We recommend that HRM clarify, formalize and disseminate the policy on educational qualifications for the recruitment of UNESCO staff members at the Professional and higher levels in order to ensure consistent understanding and application of the policy.	High Priority
Action Plan and Target Implementation Date:	
These provisions will be part of the review of the Recruitment Policy, which has already been initiated. This will require a revision of Manual and Staff Rules provisions; hence consultations with the ACPP and the Staff Associations, as well as key stakeholders. Target date: December 2016	

Issue 6:   Ethics guidance is sparse with regard to recruitment

82.   The HR Management Strategy 2011 – 2016 includes an action assigned to HRM in consultation with the Ethics Office to develop and implement policies on conflicts of interest and related matters.

83.   Progress has been made with regard to the Financial Disclosure Programme and the Gift policy, but no substantive progress has been made in developing the Conflicts of Interest Policy. Consequently, UNESCO relies on the more general Standards of Conduct for International Civil Servants to guide personnel on potential conflicts of interest in the recruitment process.

84.   The Standards of Conduct for International Civil Servants describe in broad terms circumstances where a conflict of interest may arise. The notion of conflict of interest is defined by paragraph 23 of the Standards stating that "conflicts of interest may occur when an international civil servant's personal interests interfere with the performance of his/her duties or call into question the qualities of integrity, independence and impartiality required the status of an international civil servant. Conflicts of interest include circumstances in which international civil servants, directly or indirectly, may benefit improperly, or allow a third party to benefit improperly, from their association with their organization. Conflicts of interest can arise from an international civil servant's personal or familial dealings with third parties, individuals, beneficiaries, or other institutions".

85.   The Standards also require that "if a conflict of interest or possible conflict of interest does arise, the conflicts shall be disclosed, addressed and resolved in the best interests of the

organization". Such a duty to disclose possible conflicts of interest shall be considered as part of the overall behaviour required from an international civil servant, including qualities as honesty, truthfulness, impartiality and incorruptibility as set forth in paragraph 5 of the Standards. Such qualities are considered as basic as those of competence and efficiency.

86.   A personal conflict of interest could arise at any number of points during the recruitment process; for example, an individual having input into the qualifications cited in a vacancy notice to which they subsequently submit their candidature. This is a specific risk when drafting and approving senior level vacancy notices, in particular for the posts of DDG, ADGs and Director of Bureau/Office. For these senior posts, UNESCO policy states that vacancy notice preparation is undertaken by HRM in collaboration with ODG (Item 5.3.B of the Human Resources Manual). Should personnel of HRM or ODG be candidates for such posts, a potential conflict of interest would arise requiring disclosure, assessment and mitigation.

87.   While the principles are clear and there is an ongoing duty of all staff members to disclose potential conflicts of interest, UNESCO has no specific procedure, guidance or mechanism in place to address conflicts of interest with regard to recruitment. This increases risks that potential or actual conflicts of interest regarding the recruitment process will not be consistently understood and substantively mitigated.

Recommendation 5:	
We recommend that HRM, in collaboration with the Ethics Office, establish, formalize and disseminate policy and guidance for identifying and addressing conflicts of interest with regard to staff recruitment. This can be incorporated as a part of a more comprehensive conflict-of-interest policy, as considered appropriate.	Medium Priority
Action Plan and Target Implementation Date:	
Accepted. **Target date:** In consultation with the Ethics Office.	

Phase III: Advertisement of Post (Average time lapsed 30 days internal/60 days external)

Issue 7:   The prescribed periods for advertising vacancies delays recruitment

88.   UNESCO's Staff Regulations and Rules, as well as the Human Resources Manual, set forth the required time period that UNESCO is to advertise a vacancy notice. Posts open for internal recruitment are advertised for one month[8] and those open to external candidates are advertised for a minimum of two months.[9] Most posts from P-1 to P-5 are first advertised internally and, if a suitable candidate is not identified, are then advertised externally (totalling over 90 days of advertising in these instances). Where it is reasonably anticipated that qualified internal candidates cannot be identified, the Director-General may authorize concurrent internal and external advertisement of a post for 60 days in order to expedite the recruitment process.

89.   It takes considerably longer when an external advertisement is required following unsuccessful internal recruitments. Table 8 shows that it lengthens the process by eight months.

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[8]   Staff Regulation 4.4.
[9]   Staff Regulation 4.3.2.

Table 8. Average time taken from initiation[10] to DG decision for P posts by advertisement type

Type of advertisements for P posts in 2014 and 2015	Number of months
Internal advertisements	8
Internal advertisements followed by External recruitments	18
Concurrent internal and external advertisements	10

90. The JIU, in its report on Staff recruitment in United Nations system organizations: a comparative analysis and benchmarking framework,[11] noted a great deal of variance in advertising periods among the United Nations organizations. Half of the organizations advertised vacancies for one month (ICAO, ILO, FAO, IMO, UNAIDS, UNICEF, UNRWA, WIPO and WMO) or less (UNDP, UNFPA, UNOPS, UNIDO and WFP). In contrast, the United Nations Secretariat posts vacancies in established professional posts for two months, as do ITU and UNESCO for external vacancies.

91. In the interest of efficiency, the JIU recommended that the United Nations organizations that had not already done so should reduce the posting time for vacancies to no more than 30 days and to seek the approval of the legislative bodies as appropriate. It is worth noting that the 2009 IOS Evaluation of UNESCO's Recruitment Policy and Practice similarly recommended that UNESCO advertise some positions (e.g. P-1 to P-5 level) internally and externally at the same time and reduce the time a position is advertised to one month.

92. HRM proposed in its submission to the 36th General Conference that, given technological advances and the speed at which HRM disseminates vacancy notices, the requirement to advertise vacancies for two months be removed from the staff regulations and rules.[12] The General Conference rejected this proposed amendment and, in fact, strengthened requirement by making external recruitment subject to a minimum advertisement period of two months.[13] In light of UNESCO's online advertisement and application platforms, and noting the continued advancement of global Internet access since the 36th General Conference in 2011, this mandatory advertisement period merits reconsideration in order to expedite the recruitment of staff. Further, the practice of concurrent internal and external advertisement for one month would not disadvantage current staff who are candidates as this can be appropriately assessed during the evaluation phase of the recruitment.

Recommendation 6:	
We recommend that HRM propose revision of the staff regulations and rules to (i) shorten the period of external advertisement of vacancies and (ii) on a pilot basis, introduce direct external recruitment of vacancies to avoid sequential advertisement while still preserving the associated staff rights.	Medium Priority

Action Plan and Target Implementation Date:

These provisions will be part of the review of the Recruitment Policy, which has already been initiated. This will require a revision of Manual and Staff Rules provisions; hence consultations with the ACPP and the Staff Associations, as well as key stakeholders.

As concerns Para i) The shortening of the period of advertisement will require an amendment to Staff Regulation 4.3.2. which requires approval by the General Conference. This part of the recommendation can only be implemented after the next General Conference, e.g. in November 2017. Target date: December 2016 except for Para i) November 2017.

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[10]   The date the hiring unit formally requests, by HR Form 5-3 or through the automated workflow, the initiation of a recruitment.

[11]   JIU/REP/2012/4 and the associated JIU/NOTE/2012/2.

[12]   36 C/38 Staff Regulations and Staff Rules Paragraph amended by the General Conference at its 36th session (2011) (36 C/Resolutions, p.92).

[13]   General Conference at its 36th session (2011) (36 C/Resolutions, p. 92).

Issue 8:   Progress is needed to achieve targets for geographical representation and gender balance

Geographical representation

93.   Staff Regulation 4.3.1 establishes that UNESCO staff shall be constituted on as wide a geographical basis as possible.

94.   Despite the overall target established in UNESCO's 2011 Human Resource Management Strategy of having 85% of Member States represented in the Secretariat by 2016, the proportion of under- and non-represented Member States is increasing (see Table 9).

Table 9. UNESCO's geographical representation as of June 2005, 2010 and 2015

Year	Over-represented	In balance	Under-represented	Non-represented
2005	26	79	55	31
2010	26	77	53	37
2015	17	70	**66**	**42**

Source: 2005: 172 EX/35, 2010: 185EX/Inf. 8 and 2015: 38 C/INF.4

95.   To improve geographical representation, UNESCO opens the Young Professional Programme to candidates from non- and under-represented Member States. In 2009 and 2011, 21 staff were appointed from this programme and approximately 77% are still UNESCO staff. Financial constraints and the resulting reorganization and redeployment exercise resulted suspension of the Programme in 2012. HRM has relaunched the programme in April 2015 and foresees that ten young professionals will join UNESCO in 2016.

96.   UNESCO's staff complement is declining and this has had an adverse impact on its overall geographical representation. Staff separations have helped reduce the number of over-represented Member States but have also increased the number of under- and non-represented Member States. UNESCO recruited very few external candidates from 2012 until mid-2014; therefore, the shift in geographical representation has mainly been driven by staff departures.[14]

97.   While all hiring managers informed IOS that they consider geographical distribution in their recruitments, and HRM's selection memoranda to the Director-General for the appointment of candidates includes commentary on the effect that selecting the recommended candidates will have on UNESCO's geographical representation, individual Sectors and Services do not have targets for improving geographical representation.

98.   Although HRM monitors and reports on geographical representation, the achievement of the 85% geographical representation target can best be achieved through a shared and accountable responsibility among all hiring units.

Gender balance

99.   In 2008, UNESCO committed to improve gender balance at senior management levels in the UNESCO Secretariat as reported in 179 EX/5 Part I:

> *"In conformity with 34 C/Resolution 82 and 177 EX/Decision 50, the Director-General has adopted an Action Plan for achieving 50% representation of women at senior management levels (D-1 and above) by 2015, setting out measures to attain gender parity at senior management levels (D and above) by 2015. The objective of gender parity is to be achieved within the framework of Article IV of UNESCO's Constitution which stipulates that the paramount consideration in staff appointments is to secure the highest standards of integrity, efficiency and technical competence; subject to this paramount consideration, appointments shall be on as wide a geographical basis as possible."*

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[14]   189 EX/5 Decision 15.

100. HRM developed a Gender Parity Action Plan[15] to reflect the measures to be taken. Such measures include the insertion of a gender equality statement to encourage women to apply to posts and reaching a gender balance in the composition of recruitment panels.

101. Since 2008, UNESCO made significant progress to achieve gender parity at the senior level. In 2014-2015, two thirds of the appointed candidates at the director and ADG levels were female increasing representation of women at the senior level as illustrated in Table 10. As a result, the number of women at senior level doubled from 21% in 2008 to 42% in 2015.

102. However, despite proactive measures to achieve gender parity, data indicates that UNESCO will fall behind the target by end of 2015.

Table 10. Number and percentage of female staff (International Professional and above)

Category	September 2015		January 2008		
	Number	%	Number	%	Variance
DG	1	100%	0	0%	100%
DDG	0	0%	0	0%	0%
ADG	3	38%	1	10%	28%
D-2	11	65%	7	24%	41%
D-1	15	33%	14	22%	11%
D-1 and above	**30**	**42%**	**22**	**21%**	**104**
P-5	44	36%	65	39%	-2%
P-4	97	47%	77	40%	7%
P-3	128	52%	138	58%	-5%
P-2	81	66%	124	60%	7%
P-1	1	100%	20	77%	23%
Professional	**351**	**51%**	**424**	**51%**	**0%**
Total	**381**	**50%**	**446**	**48%**	**2%**

Source: STEPS and 179 EX/5 Part I

103. In 2012, UNESCO suspended recruitments following the budgetary constraints and after the redeployment exercise, resumed recruitment in August 2014. This impaired the plan to achieve gender parity within the established time-frame.

104. UNESCO will be unable to meet its commitment to the Executive Board on time.

Recommendation 7:	
We recommend that HRM, in the context of recruitment planning, establish and assign to hiring Sectors and Services time-bound targets for improving both geographical representation and gender balance and then closely monitor the progress achieved. This initiative should be coordinated with more proactive and targeted advertisement practices.	Medium Priority

Action Plan and Target Implementation Date:

The targets on geographical representation and gender will be implemented in the context of Recommendation 1, with the formalization of the HR planning mechanism with Sectors. Concerning the advertisement practises, these will be examined in the context of Recommendation 8 with a view to enhance UNESCO's outreach, not only geographically but also in terms of profiles/skills. Target date: June 2016.

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[15]   179 EX/5 Part I.

Issue 9: Lack of proactive targeting of vacancy announcements limits candidatures

105. In general, UNESCO places all its vacancy notices on its website and distributes electronic vacancy notice lists to members of the United Nations HR Network. For posts of Directors and above and posts of Heads of Field Offices open to external candidates, UNESCO also distributes vacancy notices to Permanent Delegations.

106. Although UNESCO's vacancy notices do attract a large number of candidates (on average, professional posts advertised in 2015 received 215 applications), posting vacancy notices on the UNESCO website is not optimal to attract a range sufficiently qualified candidates for more technical posts. In some instances hiring managers were required to re-advertise the vacancy because there were insufficient suitable candidates or a wider pool of candidates was needed to support geographic or gender objectives.

107. The 2009 IOS Evaluation of UNESCO's Recruitment Policy and Practice reported that advertising only on the UNESCO website limited the reach of the recruitment process and may result in highly qualified candidates not being aware that a position is open. It recommended advertising beyond the UNESCO website, such as in professional journals, on professional websites and in broadly read magazines.

108. In its action plan to implement the 2009 recommendation, HRM initially undertook to advertise UNESCO vacancies in professional publications, magazines and more widely on specialised websites to attract high quality candidates. In a subsequent update in 2010, HRM transferred this responsibility to the Sectors due to HRM's lack of knowledge of the Sector's networks and partners and stating that the Sectors were the best placed to identify alternative media sources for targeted advertising.

109. From January 2014 to June 2015, UNESCO advertised nine vacancy notices using alternative media other than UNESCO's website. The hiring units funded the advertisements using staff costs savings of the vacant posts. While this is a good initiative, it would benefit by more coordination and follow-up on the part of HRM. For example, the automated recruitment tool captures the candidates' self-reported data on media sources e.g. newspapers, social media or professional associations. However, HRM does not analyse and share this information with hiring units. It could help them determine cost-effectiveness of alternative media and identify appropriate media for future advertisements.

110. It is also worth noting that a number of United Nations organizations (WHO, UNICEF, UNDP and IFAD) sometimes use recruitment firms to identify candidates for key posts. These firms can bring specialized knowledge for the identification and initial assessment of highly qualified candidates for consideration by the hiring organization.

111. For certain occupational groups, vacancies occur more frequently and are often vacant for extended periods. For example, Administrative Officer posts have been a continuous need and, in 2014 and 2015, the recruitment of Administrative Officers took the longest of any group with an average of 17 months and an additional four months average for entry on duty. Other United Nations organizations often use rosters to meet such recurring needs without separate advertisements for each post vacancy. Further, well-qualified candidates identified though recruitments for posts in the same occupational group can be retained for expedited appointment as needs arise.

Recommendation 8:	
We recommend that HRM, in collaboration with Sectors and Services, develop practical guidance on advertising vacancies in media beyond the UNESCO website including (i) funding of advertisements through staff cost savings, (ii) approaches for targeting specific competencies and attributes	Medium Priority

(e.g. geographic and/or gender considerations) and (iii) a monitoring mechanism to assess the cost-effectiveness of such advertising. Further, HRM should consider practices in place at other United Nations organizations, including the use of recruitment firms to identify additional highly qualified candidates for selected posts and rosters for recurring vacancies, and introduce these practices in UNESCO where appropriate on a pilot basis.

Action Plan and Target Implementation Date:

An outreach/sourcing strategy will be developed, including advertisement in media, the use of recruitment firms, and funding strategy. This will require resources (in particular the use of recruitment firms).

Guidance on advertising vacancies beyond UNESCO website, including media, has been initiated for senior management posts for the recruiting Sectors/Services. Based on Sector/Service feedback, this will be further developed and disseminated to recruiting Sectors/Services, when required.

With regard to the use of recruitment firms, HRM is in the process of consulting other United Nations organizations, in particular the specialized agencies, in order to assess best practices, cost-effectiveness and added value in the use of recruitment tools and mechanisms. Rosters for posts with similar job profiles and subject to mobility will be tested. Target date: December 2016.

Phase IV: Receipt and Evaluation of Applications (Average time lapsed 120 days)

112. This is the lengthiest phase of the recruitment process, taking on average four months and involving the following steps:

Professional posts

- Receipt of online applications (HRM)

- Automated pre-screening of applications (HRM)

- Establish Pre-Selection Committee (for external recruitments) and Evaluation Panel (Hiring Unit)

- Identify candidates meeting all required qualifications (Pre-Selection Committee)

- Identify candidates to be further assessed, e.g. by written examination, reference check, interview (Evaluation Panel)

- Establish a final shortlist of recommended candidates and prepare a report to HRM summarizing the Panel's assessment and conclusion for each interviewed candidate (Evaluation Panel)

Heads of Field Offices, Director and above posts

- Receipt of online applications (HRM)

- Automated pre-screening of applications (HRM)

- Establish Evaluation Panel (Hiring Manger or designate)

- Identify candidates meeting all required qualifications (Evaluation Panel)

- Identify candidates to be proposed for further assessed, e.g. by written examination, reference check, interview (Evaluation Panel)

- Establish list of candidates proposed for interview and present to Director-General (Evaluation Panel)

- Interview and assess candidates retained by the Director-General (Evaluation Panel)

- Establish a final shortlist of recommended candidates and prepare a report and oral briefing to the Director-General summarizing the Panel's assessment and conclusion for each interviewed candidate (Evaluation Panel and HRM)

- Director-General may interview candidates separately

113. Following the advertisement of posts, three successive stages of candidate assessment are undertaken (with some prescribed variances depending on the grade level and functional duties of the post):

114. **Pre-Screening.** After closure of the advertising period for external recruitments, HRM undertakes a pre-screening of the applications. The pre-screening criteria is jointly established by HRM and the Hiring Manager to identify applicants that do not meet required qualifications of the post. As part of the Taleo workflow, pre-screening is an automated process based on the candidates' responses to a set of objective questions about whether they meet specifically required qualifications as set forth in the vacancy notice. **This automated pre-screening eliminates on average 66% of the external candidates, substantially increasing the efficiency of the recruitment process.**

115. **Pre-Selection.** The objective of the pre-selection process is to retain candidates who meet the essential requirements of the post, as set out in the vacancy notice, such as education, work experience, skills, language requirements and for, P-5 and above posts, the appropriate managerial competencies. For Professional posts advertised internally and for Director and above posts, the pre-selection is carried out by the Evaluation Panel. For externally advertised Professional posts, a Pre-Selection Committee comprising at least two staff members of different nationalities and from different divisions may be designated to undertake the pre-selection. If a Pre-Selection Committee is not established, then the Evaluation Panel does the pre-selection.

116. **Evaluation.** An Evaluation Panel, established for each recruitment, evaluates the candidates retained following the pre-selection. The Panel (i) establishes a list of candidates retained for interview, based on an in-depth assessment of the candidates against the requirements of the post, (ii) undertakes interviews and other assessments (e.g. written examinations) of the candidates and (iii) prepares a summary record of the candidates interviewed and the conclusions of the Panel regarding each candidate interviewed. The composition and appointment of Panel members is set forth in the HR Manual and varies depending on grade level and functions of the post. It is important to note that each internal candidate is the subject of an Individual Evaluation Sheet signed by the Chair of the Panel and retained in the recruitment file.

117. The above process is generally an effective approach to first eliminate unqualified candidates and ultimately to identify a shortlist of recommended candidates. However, it is lengthy and cost-effective improvements to the process are needed.

Table 11. Average number of participants in each phase

Category	P	HOFO	D	SMT
No of Internal Applicants	7	10	3	2
No of External Applicants	208	38	204	209
No of candidates pre-screened	63	20	74	121
No of candidates retained for preselection	18	7	6	11
No candidates interviewed	5	6	5	8
Ratio of Internal Advertisement	60%	80%	0%	0%

Issue 10: The pre-selection and evaluation process need to be clarified and better aligned with Taleo

118. For external recruitments of international Professional posts, the HR Manual sets forth a three-step process comprising (i) a pre-screening to identify and eliminate candidates not meeting key requirements of the post, (ii) a pre-selection phase to retain candidates who are assessed as having met all essential requirements of the posts and (iii) an evaluation phase to identify the candidates to be retained for interview.

119. Taleo is configured to reflect candidates' progression through this process from pre-screening to pre-selection and from pre-selected to evaluation and interview. While Taleo includes a functionality that allows brief commentary on decisions taken at each step, this functionality is generally not used leaving a gap in the institutional record of why a candidate was eliminated during the pre-selection or selected to move to the next phase.

120. Entering a simple annotation in the available text field in Taleo would address this information gap and improve transparency of the process.

Recommendation 9:	
We recommend that HRM modify current guidance to require Evaluation Panels to enter a brief annotation in Taleo reflecting decisions to not move candidates to the next stage of the recruitment process.	Medium Priority
Action Plan and Target Implementation Date:	
This concerns the decision of the Panel to move candidates from the pre-selection stage to the interview stage. In the case that pre-selected candidates are not selected for interview, the Chair of the Panel will be asked to provide a brief explanation for not selecting the candidate for the interview.	
This will be communicated by HRM to the Evaluation Panels. Target date: October 2015	

Issue 11(a):   Accountabilities of the Pre-Selection Committee and Evaluation Panel can be more clearly established.

121. The purpose of a Pre-Selection Committee and the Evaluation Panel is to ensure the integrity and objectivity of the assessment of candidates in identifying the most qualified candidates to be recommended for the post. Use of a committee/panel also mitigates the risk of a hiring manager manipulating the selection.

122. **Pre-selection Committee.** The pre-selection process can be cumbersome and not sufficiently effective in managing risks. Currently, the Pre-selection committee comprises at least two staff members of different nationalities and from different divisions. The supervisor of the post may be one of the two members of the Pre-selection Committee. Due to heavy workload and

absence of technical expertise of the post under recruitment, members of the Pre-selection Committee often defer to the hiring manager's judgement to pre-select candidates.

123. Alternatives to a Pre-selection Committee are available. For example, the hiring manager and a representative of HRM could jointly review the pre-screened applications. HRM would provide expertise in human resources and the hiring manager would apply subject matter expertise. Through collective judgement, this would provide a reliable assessment of candidates. HRM indicated that such approach was feasible from its viewpoint.

124. **Evaluation Panel.** To ensure that the Evaluation Panel exercise its role effectively, the accountability of the Panel can be strengthened as follows:

- *Briefing of the Panel members.* The evaluation process could be improved by an instruction sheet or guidance, presented by the Panel Chair to the member upon convening the Panel, on the responsibilities of the Panel and the processes to be followed so that their understanding of their roles, responsibilities and working methods is clear.

- *Conclusions of the Panel.* While the Chair signs individual evaluation sheets for each interviewed candidate as well as for each internal candidate not retained for interview, nowhere do all Panel members sign off on a consensus record of the Panel's conclusions. Such a consensus record would mitigate risk of manipulation or lack of transparency in the final recommendations. It is worth pointing out that this audit did not identify any manipulation of decisions in this regard.

Recommendation 10:	
We recommend that HRM (i) introduce a more streamlined pre-selection process involving only an HRM representative and the hiring manager or designate; (ii) prepare and disseminate to Evaluation Panel chairs a standard briefing note on the roles, responsibilities and working methods of the Evaluation Panel; and (iii) modify current guidance to require that each member of the Evaluation Panel signs the summary record of the conclusions of the evaluation process. HRM should also consider assigning a representative to advise and oversee each Panel through the evaluation process.	Medium Priority

Action Plan and Target Implementation Date:

(i) This provision will be part of the review of the Recruitment Policy (see recommendations 4 and 6). The concrete implementation of this particular recommendation as well as the assignment of an HRM representative for each Panel, will require sufficient resourcing in the Staffing Section, as for senior management posts an HRM representative participates in all Evaluation Panels, in line with the Administrative Circular HR/41 of 8 August 2014. Target date: December 2016.

(ii) A briefing note on the roles, responsibilities and working methods of the Evaluation Panel will be prepared and communicated. Target date: November 2015.

(iii) The implementation of the requirement for signature of the evaluation by the Panel Members will be implemented immediately. It will also be included in the guidance note under (ii) Target date: October 2015.

Issue 11(b): Assessment Centres can improve the evaluation of candidates for key posts

125. A number of United Nations organizations draw on the services of Assessment Centres to support the evaluation of candidates for key posts. These organizations include FAO, ICAO, ILO, UNDP, UNFPA, WHO and WIPO. UNESCO also regularly used assessment centres in the

recruitment process for Directors and above from 2007 until 2009. During this period UNESCO spent €792,000 to assess 126 candidates to 25 posts. Thereafter, HRM used the Assessment Centre only once, in 2010, to assess five candidates.

126. An objective assessment of the candidates' managerial skills and broad indication of their personality can greatly assist the evaluation panels in differentiating candidates going beyond interviews and reference checks.

127. While this practice is not inexpensive, it represents an investment in identifying the right candidate for key posts. In light of the costs involved, a less formulized and more limited use may be appropriate for UNESCO at this time.

Recommendation 11: We recommend that HRM establish criteria (e.g. grade level, nature of duties) and guidance for using Assessment Centres for the recruitment of key personnel. This should include learning from the practices in other United Nations organizations and identifying the various assessment services available and the associated costs.	Medium Priority

Action Plan and Target Implementation Date:

As reflected under Recommendation 8, HRM is in the process of consulting other United Nations organizations, in particular the specialized agencies, in order to assess best practices, cost-effectiveness and added value in the use of recruitment tools and mechanisms, including recruitment firms and assessment centres for key personnel.

Following which HRM will determine the criteria and scope for the use of such recruitment tools and mechanisms. Target date: June 2017.

Phase V: Selection and Appointment (Average time lapsed 30 days)

Professional posts

- Review Evaluation Panel conclusions for conformance to procedure (HRM)

- Submit the evaluation panel report to the Advisory Boards on Individual Personnel Matters (PAB) (HRM)

- Review the evaluation panel report and meet Hiring Unit to discuss any questions (PAB)

- Submit to HRM a report containing recommendation and any comments deemed necessary (PAB)

- Prepare a consolidated Memorandum incorporate Hiring Unit, PAB, HRM and Staff Associations comments on recommended candidates (HRM)

- Consider HRMs Memorandum and select a candidate for appointment, inform HRM of the decision (DG)

- Inform the selected candidate of appointment, prepare and transmit employment contract for acceptance by the selected candidate (HRM)

- Inform candidates not selected of the completion of the recruitment process (HRM)

Directors and above posts

- Select candidate and inform HR of decision (DG)

- Inform candidate (HRM)

- Head of Field Office

- Inform National Authorities for Head of Office appointments (ERI)

- Reconfirm candidates appointment (HRM)

- Inform candidates not selected of the completion of the recruitment process (HRM)

128. This phase takes on average four weeks. There are appropriate safeguards for P staff. HRM reviews the Evaluation Panel's conclusions to ensure that candidates proposed for appointment meet all the essential requirements of the vacancy notice before submission to The Advisory Board on Individual Personnel Matters (PAB). The PAB reviews the recruitment process for compliance with the Staff Regulations and Rules, and with the existing policies and procedures before preparing their report for HRM. This process brings transparency and works effectively but may not be efficient. The time taken for each step is reported in Table 12.

Table 12. Duration of each step from interview to entry

Time take in days from:	P	HOFO	D	SMT
Interview to DG decision	Not available[16]	15	33	24
Evaluation Panel's Recommendation to PAB meeting	16	N/A	N/A	N/A
PAB meeting to HRM's Recommendation to DG	10	N/A	N/A	N/A
HRM Recommendation to DG decision	8	N/A	N/A	N/A
Interview or Evaluation panel's Recommendation to Decision	**34**	**15**	**33**	**24**

129. The above table shows that for Professional staff it takes 26 days to present recommendations to the Director-General, following which approval takes eight days. In that regard, the 2009 IOS Evaluation of UNESCO's Recruitment Policy and Practice also noted that the approval by the Director-General is generally prompt but HRM requires time to prepare all of the documentation to submit to the Director-General.

130. In many other international organisations, some of the approval responsibility for appointments has been delegated to the Director level. HRM and other relevant approval is still required in these circumstances to control the process and ensure appropriate consideration of broader objectives of the organization. A past recommendation to delegate such authority (e.g. at the P-1 to P-3 level) in UNESCO was not accepted noting the importance of keeping selection accountability with the Director-General. While we are not making a formal recommendation on this, we believe that HRM should consider the advantages and implications of such delegation and engage with the Director-General as appropriate on this.

Issue 12: The functioning of the PAB can be improved

131. The Advisory Board on Individual Personnel Matters (PAB) is established under the Staff Rules to advise the Director-General on all appointments for one year or longer, with the exception of Directors, Heads of Field Offices, Associate Experts, Young Professionals and locally recruited staff in the field. The PAB examines the recruitment files and meets with the Hiring Manager to ensure compliance with the Staff Regulations, Rules and administrative provisions for these recruitments. The role of the PAB is exclusively advisory.

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[16]   Recruitments for Professional posts are largely decentralized to the Hiring Units and dates of interviews are not reported to HRM.

132. The PAB consists of a chairperson and four members, two appointed by the Director-General and two elected by staff. An observer from each representative staff association may attend PAB meetings without the right to vote and, with the permission of the chairperson, may speak during the discussions.

133. HRM convenes a PAB meeting at least once a month and sends to the members of the PAB the recruitment files for review at least four working days before the day of the meeting. All discussions of the PAB are strictly confidential and each member, at the beginning of his or her tenure, signs a Statement of Confidentiality (Form 5-6).

134. While the PAB review provides additional assurance that the recruitment has followed staff regulations, rules and applicable procedures, the number of staff involved, the time spent reviewing recruitment files and the meeting with hiring managers is a heavy process that requires investment of staff time as well as adding an additional sequential step to the recruitment process.

135. A sufficient level of transparency could be attained through a lighter process. For example, HRM meeting with representatives of staff to review the recruitment files against a standard checklist could be an effective step. If either HRM or the staff representatives were to then raise concerns based on this joint review, they could request hiring units to provide a detailed explanation of their actions.

136. Senior staff recruitments (D and above) are not subject to a process of independent review and advice to the Director-General. While such a process would not necessarily involve representatives of the Staff Associations, the Director-General could benefit from clear assurance of the propriety of the process followed prior to making decisions on senior-level appointments.

Recommendation 12:	
We recommend that HRM (i) engage with stakeholders on options to lighten the PAB process without undermining the level of transparency and advisory support provided to the Director-General and (ii) introduce a clear statement of assurance by HRM or, alternatively, an independent review and advice to the Director-General regarding the conformity to applicable regulations, rules and procedures of recruitment process undertaken for senior-level appointments.	Medium Priority
Action Plan and Target Implementation Date:	
(i) HRM will engage in consultation with the relevant stakeholders on possible options/proposals to lighten the PAB process; eventual revisions to the current PAB mechanism will be proposed in the context of the review of the Recruitment Policy (see recommendations 4, 6 and 10). Target date: December 2016	
(ii) HRM noted and will implement. Target date: November 2015	

Phase VI: Entry on Duty (Average time lapsed 90 days)

137. This phase extends from the issuance of a letter of appointment to the successful candidate until entry on duty of the appointed staff member. This can take on average 135 days after the Director-General's appointment decision for Heads of Field Offices and as little as 58 days for Directors.

138. The table below shows the time taken in days for the main steps in the process:

Table 13. Duration of each step from Director-General's decision to entry on duty

	P	HOFO	D	SMT
Director-General decision to entry on duty	**78**	**135**	**53**	**92**
Decision to letter of appointment	23	20	23	23
Letter of appointment to clearance from host country if applicable	N/A	53	N/A	N/A
Letter of appointment (or clearance from host country) to entry on duty	55	62	30	69

139. Appointments of Heads of Field Offices are subject to government clearance, which can contribute to the delays for these posts. ERI and AFR are the focal points for Member States and facilitate the interaction with the host government, who may accept or reject a proposed candidate. In case of rejection, the Director-General can either (i) propose another candidate who was short listed for the position or (ii) re-advertise the vacancy. Either of these actions increases the time lapsed in completing the recruitment.

140. Notwithstanding the above, improvements can be made in the time taken for a successful candidate to be issued with a letter of appointment.

Automated Workflow

Issue 13:   Taleo is partially implemented

141. In December 2011, HRM purchased software licenses for Taleo, a talent acquisition/ recruitment tool. Taleo is used as a software-as-a-service (SaaS) where all software and information resides in data centres operated and secured by the Taleo company. Taleo also provides modules for performance management, learning and development, and compensation management. UNESCO spent $324,000 for the tool implementation, training and licenses from 2012 to 2016. The main objective was to receive online applications via the software and automatically pre-screen candidates based on required qualifications through a questionnaire. Prior to Taleo, HRM staff would manually review all applications to pre-screen candidates – an extremely cumbersome process.

142. Despite the investment made to acquire and configure Taleo, HRM is not using the tool in its full capacity three years after its rollout. The following features could be better used:

- *Monitoring reports*. HRM maintains data on an Excel spreadsheet to monitor the time taken from the vacancy notice advertisement date to the appointment decision date. While this is a good initiative, it is prone to manual errors. Taleo could provide such information in a report, in addition to a wide range of customized reports with other useful information, such as the total number of internal and external applicants, geographical representation of the applications, number of candidates pre-screened, pre-selected, evaluated and interviewed.

- *Dual authorization*. Taleo has an embedded control that allows sign off on the information input into the system by another individual to ensure its accuracy. At present, HRM/SPL enters the pre-screening questionnaire into Taleo without a second review. IOS noted that an input error in the pre-screening questionnaire could lead to the elimination of qualified candidates. HRM could mitigate input error risk by having other staff review the input and ensure reliable pre-screening.

- *Record consistency*. Hiring units enter the assessment of the Evaluation Panel for each internal candidate and all interviewed candidates into Taleo. HRM/SPL extracts these evaluations into Excel to create an evaluation sheet for each candidate for submission to the PAB. HRM/SPL may request hiring units to include supplemental wording on the evaluation sheet and sign it in order to have a more complete evaluation for the PAB's

review. This represents a final record that may not be consistent with record in Taleo due to the supplemental wording that is not reflected in Taleo.

- ***System alerts****.* HRM could ensure the timeliness of required actions, such as granting hiring units timely access to pre-screened candidates, by using email alerts sent automatically by Taleo.

143. HRM explained that the KMI staff who was assisting HRM in the development of the reports in Taleo left in early 2014 on secondment to another United Nations agency. HRM thereafter contracted consultants to develop reports but, due to the lack of funds, could not continue contracting consultants. Furthermore, the Head of Staffing (P-4) who was managing the Taleo contract was absent since May 2014; this had an impact on the development of additional reports. No one in HRM had sufficient knowledge on the technical aspects of the software (Business Objects) to develop reports.

144. With KMI assistance, HRM is currently assessing different options for its Human Resources applications, including Taleo and Cornerstone, as both licenses are expiring in 2016. Priority should be given to better use of Taleo's functionalities where feasible and cost-effective to ensure records accuracy, reliability and consistency.

Recommendation 13:	
We recommend that HRM in collaboration with KMI, increase the value of Taleo as a management tool by engaging its reporting and monitoring functionalities where feasible and cost-effective.	Medium Priority
Action Plan and Target Implementation Date:	
HRM will work with the service provider to develop additional reports, provided that resources are available to finance these services. Target date: December 2015.	

Control of Sensitive Information

Issue 14:   Cost-effective improvements can be introduced to safeguard confidentiality

145. Information regarding the candidates and the deliberations and conclusions of the Pre-Selection Committee and Evaluation Panel is confidential. In order to protect such data, access should be limited to the information necessary for the personnel involved in the recruitment process to carry out their respective duties. Personnel should understand the sensitive nature of recruitment information and be held accountable for inappropriate access or mishandling.

146. Controls should be strengthened with regard to sensitive recruitment information.

- ***Access to sensitive data.*** Access rights to Taleo are not commensurate to job function needs. HRM grants access to Taleo on a need-basis according to the three profiles available: (i) administrator with read-modify access rights to all posts, reporting functionalities and management of access rights; (ii) user with read-modify access rights to all posts; and (iii) recruiter from the hiring unit with read-modify access rights to pre-screened applications for posts under the recruiter's responsibility. In HRM, two staff have administrator access rights and five staff have user access rights. While access of the hiring unit recruiter can be restricted to specific posts, it is not the case for the other profiles. As a result staff in HRM/SPL and HRM/OPM have access to all posts including those not under their respective unit's responsibility. HRM explained that heavy re-development would be required to restrict access to posts for the administrator and user profiles. A compensating measure would be to have HRM staff sign confidentiality agreements to ensure proper handling of sensitive information. In this regard, assessment of recent access rights noted one user whose job function no longer required access. A

list of users and corresponding types of access is available in Taleo, but HRM has not established procedures for periodic review and update of access rights.

- ***Confidentiality statements.*** IOS advisory review on authentication, communication and access of sensitive information found that many users had access to sensitive data in UNESCO's IT systems, and that steps were needed to mitigate risks of unauthorized disclosure. Among various other initiatives, KMI required its staff sign confidentiality agreements. This needs to be extended to other personnel with routine access to sensitive information. HRM recruitment staff, Chairs and members of Evaluation Panels are accountable for ensuring the strict confidentiality of the information to which they have access, including through the online recruitment tool Taleo. These personnel are currently not required to sign any confidentiality statement.

Recommendation 14:	
We recommend that HRM (i) require Taleo users in HRM to sign confidentiality statements regarding sensitive information required in performing their official duties; (ii) introduce procedures whereby the Chair of the Evaluation Panel or an HRM representative instruct members of the Panel on their responsibilities with regard to confidentiality of deliberations and recommendations of the Panel; and (iii) regularly monitor access rights to Taleo to ensure user access is consistent with the respective job function.	Medium Priority

Action Plan and Target Implementation Date:

(i) and (iii): will be implemented immediately. In addition, all HRM staff will be required to sign a statement of confidentiality. Target date: October 2015.

The confidentiality obligation will be recalled to Evaluation Panel members in the guidance note (See recommendation 10 (ii) above). Target date: November 2015.

Annex I. Required Educational Qualifications for Assistant Directors-General (per Vacancy Notice)

	2015	2014	2013	2012	2011	2010	2009	2008	2007	2006	2005	2004	2003	2002	2001	2000
ADG/ED	Advanced university degree, preferably Ph.D.	Advanced university degree, preferably Ph.D.	Advanced university degree, preferably Ph.D.	Advanced university degree, preferably Ph.D.	Advanced university degree, preferably Ph.D.	Advanced university degree, preferably Ph.D.	Advanced university degree, preferably Ph.D.	Advanced university degree, preferably at doctorate level	Advanced university degree, preferably at doctorate level	Advanced university degree, preferably at doctorate level	Advanced university degree, preferably at doctorate level	Advanced university degree, preferably at doctorate level	Advanced university degree, preferably at doctorate level	Advanced university degree, preferably at doctorate level	Advanced university degree, preferably at doctorate level	Advanced university degree, preferably at doctorate level
ADG/SC	Advanced university degree or equivalent experience	Advanced university degree or equivalent experience	Advanced university degree, preferably Ph.D.	Advanced university degree, preferably Ph.D.	Advanced university degree, preferably Ph.D.	Advanced university degree, preferably Ph.D.	Advanced university degree, preferably at doctorate level	Advanced university degree, preferably at doctorate level	Advanced university degree, preferably at doctorate level	Advanced university degree, preferably at doctorate level	Advanced university degree, preferably at doctorate level	Advanced university degree, preferably at doctorate level	Advanced university degree, preferably at doctorate level	Advanced university degree, preferably at doctorate level	Advanced university degree, preferably at doctorate level	
ADG/IOC	Advanced university degree, preferably doctorate	Advanced university degree, preferably doctorate	Advanced university degree, preferably doctorate	Advanced university degree, preferably doctorate	Advanced university degree, preferably doctorate	Advanced university degree, preferably doctorate	Advanced university degree, preferably doctorate	Advanced university degree, preferably doctorate	Advanced university degree, preferably doctorate	Advanced university degree, preferably doctorate	Advanced university degree, preferably doctorate	Advanced university degree, preferably doctorate	Advanced university degree, preferably doctorate	Advanced university degree, preferably doctorate	Advanced university degree, preferably doctorate	Advanced university degree, preferably doctorate
ADG/CLT	Advanced university degree or equivalent experience	Advanced university degree or equivalent experience	Advanced university degree	Advanced university degree	Advanced university degree	Advanced university degree	Advanced university degree (Ph.D. or equivalent)	Advanced university degree (Ph.D. or equivalent)	Advanced university degree (Ph.D. or equivalent)	Advanced university degree (Ph.D. or equivalent)	Advanced university degree, preferably at doctorate level	Advanced university degree, preferably at doctorate level	Advanced university degree, preferably at doctorate level	Advanced university degree, preferably at doctorate level	Advanced university degree, preferably at doctorate level	Advanced university degree, preferably at doctorate level
ADG/SHS	Advanced university degree or equivalent experience	Advanced university degree	Advanced university degree	Advanced university degree	Advanced university degree	Advanced university degree	Advanced university degree, preferably at doctorate level	Advanced university degree, preferably at doctorate level	Advanced university degree, preferably at doctorate level	Advanced university degree, preferably at doctorate level	Advanced university degree, preferably at doctorate level	Advanced university degree, preferably at doctorate level	Advanced university degree, preferably at doctorate level	Advanced university degree, preferably at doctorate level	Advanced university degree, preferably at doctorate level	
ADG/CI	Advanced university degree or equivalent experience	Advanced university degree or equivalent experience	Advanced university degree	Advanced university degree	Advanced university degree	Advanced university degree	Advanced university degree	Advanced university degree	Advanced university degree	Advanced university degree	Advanced university degree	Advanced university degree	Advanced university degree	Advanced university degree	Advanced university degree	
ADG/AFR	Advanced university degree or equivalent experience	Advanced university degree	Advanced university degree	Advanced university degree	Advanced university degree	Advanced university degree	No Vacancy Notice published	No Vacancy Notice published	No Vacancy Notice published	No Vacancy Notice published	No Vacancy Notice published	No Vacancy Notice published	No Vacancy Notice published	No Vacancy Notice published	No Vacancy Notice published	
ADG/BSP and previous grading of D-2	Advanced university degree or equivalent experience	Advanced university degree	Advanced university degree	Advanced university degree	Advanced university degree	Advanced university degree	Advanced university degree	Advanced university degree	Advanced university degree	Advanced university degree	Advanced university degree	Advanced university degree	Advanced university degree	Advanced university degree	Advanced university degree	Advanced university degree
ADG/ERI	Advanced university degree	Advanced university degree	Advanced university degree	Advanced university degree	Advanced university degree	Advanced university degree	No Vacancy Notice; incumbent appointed after consultation with Executive Board	No Vacancy Notice; incumbent appointed after consultation with Executive Board	No Vacancy Notice; incumbent appointed after consultation with Executive Board	No Vacancy Notice; incumbent appointed after consultation with Executive Board	No Vacancy Notice; incumbent appointed after consultation with Executive Board	No Vacancy Notice; incumbent appointed after consultation with Executive Board	No Vacancy Notice; incumbent appointed after consultation with Executive Board	No Vacancy Notice; incumbent appointed after consultation with Executive Board	No Vacancy Notice; incumbent appointed after consultation with Executive Board	No Vacancy Notice; incumbent appointed after consultation with Executive Board
DDG	Advanced university degree, preferably Ph.D.	Advanced university degree, preferably Ph.D.	Advanced university degree, preferably Ph.D.	Advanced university degree, preferably Ph.D.	Advanced university degree, preferably Ph.D.	Advanced university degree, preferably Ph.D.	No Vacancy Notice Published	No Vacancy Notice Published	No Vacancy Notice Published	No Vacancy Notice Published	No Vacancy Notice Published	No Vacancy Notice Published	No Vacancy Notice Published	No Vacancy Notice Published	No Vacancy Notice Published	No Vacancy Notice Published

Actual Educational Qualifications of Incumbent Assistant Directors-General

	2015	2014	2013	2012	2011	2010	2009	2008	2007	2006	2005	2004	2003	2002	2001	2000
ADG/ED	Ph.D.							Ph.D.		Ph.D.		Ph.D.				
ADG/SC	Medical Doctorate		Ph.D.				Ph.D.									
ADG/IOC	PhD	Ph.D.					Ph.D.									
ADG/CLT	Bachelor's Degree		Master's Degree					Master's Degree			Ph.D.					
ADG/SHS	Master's Degree	Master's Degree[17]						Master's Degree[18]								
ADG/CI	Vacant		Master's Degree					Ph.D.								
ADG/AFR	Vacant	Ph.D.						Ph.D.								
ADG/BSP	Bachelor's Degree	Ph.D.														
ADG/ERI	Master's Degree							Ph.D.								
DDG	Master's Degree							Master's Degree								

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[17] PhD studies followed
[18] PhD studies followed

ANNEX II

TABLE OF PRIOR RECOMMENDATIONS
TO IMPROVE UNESCO'S RECRUITMENT PROCESSES

Date	Reference	Recommendation
January 2009	IOS Evaluation of UNESCO's Recruitment Policy and Practice	1. That HRM build on the proactive advertising methods already in place, such as recruitment missions through the following means: (a) hiring a professional recruiter for senior level recruiting (P5 and above); (b) advertising in professional publications and on professional websites; (c) encouraging managers to use their networks (e.g. personal contacts, appropriate listservs, conferences) to get the word out to potentially qualified candidates and to encourage them to apply; (d) enhancing the recruitment missions by including managers, using the field office networks to reach people, contacting local post-secondary schools and attending local job fairs; (e) using widely-distributed generic vacancy announcements; (f) using a competency-based assessment approach be established based on actual job requirements that take into account attributes as well as knowledge and skills; (g) using behaviour-based reference check guide with questions about specific types of situations that lead to more thoughtful and honest responses from referees be developed that includes probes and obtains information regarding the candidate's performance in a variety of situations; (h) using assessment centres or some other formal assessment method and providing the information obtained in the assessment process to interview panels well in advance of candidate interviews; and (i) making better use of the probationary period through: (ii) institutionalizing a formal induction process (iii) ensuring that a performance appraisal is conducted prior to the new hire moving to permanent employee status.
January 2009	IOS Evaluation of UNESCO's Recruitment Policy and Practice	2. That mechanisms be developed to streamline the recruitment and hiring process including, but not necessarily limited to: (a) anticipating vacancies and beginning the hiring process prior to the position becoming vacant; (b) only classifying positions when the functions or responsibilities of the job have changed or it has been at least three years since the job was last classified; (c) advertising some positions (e.g. P5 level) internally and externally at the same time and reducing the time a position is advertised to one month; (d) adhering to the current policy, with evaluation panels of three people including the hiring manager, rather than the larger panels that are frequently convened; and (e) ensuring the evaluation panels have concrete evidence of competencies through examples of previous work or other assessment tools.
January 2009	IOS Evaluation of UNESCO's Recruitment Policy and Practice	3. That HRM develop a comprehensive human resource strategic management system that includes human resource planning, a more systematic approach to performance development, supportive compensation and reward policies, and succession planned and is also: (a) linked to the strategic direction both of UN Reform and of UNESCO in a manner that supports the strategic direction of each

		of the sectors;
		(b) supports the goals of gender balance and geographic representation;
		(c) looks at the desired balance between internal and external hires;
		(d) looks at the desired balance between permanent and temporary employees;
		(e) ensures that all of the elements of the system are in place and functioning adequately; and
		(f) considers the inter-relatedness of all of the elements of the system.
January 2009	IOS Evaluation of UNESCO's Recruitment Policy and Practice	4. That HRM develop an automated information system that can perform the following functions: (a) track key human resource milestones such as probationary periods and annual performance appraisals and send reminders to managers; (b) accept the electronic applications and pre-select qualified candidates using criteria determined with the manager; and (c) generate reports that can assist with human resource planning.
May 2010	IOS Audit of the Recruitment Process in the Communication and Information Sector	Recommendation 1: We recommend that the CI sector, in collaboration with HRM, ensure that the recruiting managers of the CI sector are fully briefed in the recruitment procedure with special emphasis on preparation of the vacancy notice, the pre-selection and evaluation of candidates and the preparation of the recommendation for appointment to ensure that only those candidates that meet all the essential requirements of the post are included in the short list.
May 2010	IOS Audit of the Recruitment Process in the Communication and Information Sector	Recommendation 2: We recommend that the CI sector review its key post descriptions with HRM to ensure that responsibilities align with the stated academic and other qualifications. These should then provide a basis for drafting vacancy notices for the sectors future recruitments.
December 2011	IOS Audit of the Management and Control of Staff Cost Savings	Recommendation 1.2: For the 37 C/5, we recommend that BSP in collaboration with HRM and Sectors prepare the budget: (i) identifying staff resources required to meet programme objectives; (ii) taking account of staff vacancies, recruitment time, separation trends (i.e. review and adjust the lapse factor for each biennial budget preparation cycle); (iii) incorporating results based budgeting (RBB) principles for all staff and temporary assistance costs in order to better align human resource needs to programme objectives.
December 2012	IOS Audit of the Education Sector's Headquarters Operations	Recommendation 11: We recommend that HRM build on the recent ED Sector initiative of developing generic job descriptions by considering the broader introduction of generic job descriptions in all programme sectors.
December 2012	IOS Audit of the Education Sector's Headquarters Operations	Recommendation 12: We recommend that HRM, in consultation with ADG/ED, review the added value of having a dedicated HR team within the Education sector vis-à-vis the 'special needs' of the Sector and, if the advantages outweigh opportunity cost, delegate to the unit the authority to undertake basic HR processes; for example, renewing fixed-term contracts, authorizing within grade increments and preparing job offer letters.
2012	JIU Report on Staff recruitment in United Nations system organizations: a comparative analysis and benchmarking framework	Recommendation 3: Executive heads of United Nations system organizations that have not yet done so should reduce the posting time for vacancies to no more than 30 days and seek the approval of the legislative bodies as appropriate.

March 2015	External Audit on the Forward-Looking Management of Jobs, Staffing and Skills	Recommendation No. 1: The External Auditor recommends that a review of staffing and support services should be conducted from now until the end of the biennium in order to determine: (i) the nature and level of services that Headquarters should provide, in terms of human resources management, to the programme sectors and the field offices; (ii) the "core business/project management" services that should remain internal; (iii) the specific skills needed for support services, per se, and in the long term; (iv) a plan for acquiring such targeted skills, including the staff recruitment requirements for the current situation and possible training programmes.
March 2015	External Audit on the Forward-Looking Management of Jobs, Staffing and Skills	Recommendation No. 2: In the absence of a management procedure based on assessment of actual and useful skills, and pending the development of such a procedure, the External Auditor recommends that, at the least, the Organization should immediately institute a "skills assessment" procedure (consistent with customary professional practice) for staff at all levels (General Service, Professional and Director), the results of which would be transmitted by their supervisors as part of the evaluation exercises; the assessments would be compared with the requirements of the post currently held by, or open to, the staff member.
May 2015	IOS Audit of the UNESCO Office in Apia	Recommendation 1: We recommend that HRM, in collaboration with BSP, establish and maintain a documented succession plan for the post of Heads of Field Office anticipating retirements, rotational transfers and setting forth the appropriate timing of recruitments and appointments.

UNESCO

United Nations
Educational, Scientific and
Cultural Organization

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Item **5** of the provisional agenda

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

PART V

HUMAN RESOURCES ISSUES

ADDENDUM 2 – CORRIGENDUM

The summary should read as follows:

SUMMARY

This addendum contains the IOS internal audit report IOS/AUD/2015/07 of UNESCO's Recruitment Process for International Staff as per the request of the Executive Board at its 196th session.

The summary report of this audit can also be found, as is standard practice, on the IOS webpage.