UNESCO
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Educational, Scientific and
Cultural Organization

Item **5** of the provisional agenda

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

PART I

PROGRAMME ISSUES

SUMMARY

Part I of this document concerning Programme issues is designed to inform the Members of the Executive Board of the progress achieved in the follow-up to the decisions and resolutions adopted by the Board and the General Conference at their previous sessions.

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

A. Progress report on the UNESCO Engineering Initiative (UEI)

This document has been prepared in response to a request by the General Conference at its 36th session (36 C/Resolution 30), inviting the Director-General to present a progress report on the UNESCO Engineering Initiative as a follow-up to 186 EX/Decision 15 adopted by the Executive Board and the General Conference in previous sessions.

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

B. Implementation of the Memorandum of Understanding between UNESCO and the World Bank

No decision of the Executive Board is proposed.

C. Implementation of 36 C/Resolution 43 and 187 EX/Decision 5 relating to the Ascent to the Mughrabi Gate in the Old City of Jerusalem

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D. UNESCO and the ethical dimensions of the information society

At the 36th session of the General Conference, a Code of Ethics for the Information Society, proposed by the Intergovernmental Information for All Programme (IFAP) was presented to Member States for their consideration (Document 36 C/49). Member States acknowledged the efforts of IFAP in developing this Code, took note of it and invited the Director-General to suggest to the Executive Board, possible ways in which the Organization could address the ethical dimensions of the information society (36 C/Resolution 61).

This document provides the proposals by the Director-General for possible ways to addressing the ethical dimensions of the information society.

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

E. Cultural and educational institutions in Iraq

This document is presented in compliance with 187 EX/Decision 6. It summarizes progress achieved by UNESCO since the 187th session of the Executive Board in implementing assistance in favour of Iraq.

There are no financial or administrative implications.

Draft decision is proposed in paragraph 35.

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A. Progress report on the UNESCO Engineering Initiative (UEI)
(Follow-up to 36 C/Resolution 30)

Background

1.   A proposal to strengthen education, capacity-building, and research in the field of engineering was submitted to the 186th session of the Executive Board (186 EX/Decision 15) for consideration as the UNESCO Engineering Initiative (UEI). The decision followed the creation of a cross-cutting thematic unit within the Natural Sciences Sector (SC), which leverages engineering expertise across SC as well as the other sectors in order to build on existing engineering capacities using a cost-effective approach. With renewed focus on engineering education and capacity-building, the UEI has sought to establish partnerships with professional societies, academia, and the private sector worldwide to collaboratively develop projects that use engineering applications to reduce poverty or contribute to sustainable development.

Achievements

2.   The UEI has established several fruitful partnerships in its mission to develop projects that increase engineering enrolment by young people, particularly young women, promote the importance of engineering as a key driver of sustainable development, and to include more interdisciplinary and sustainability topics in engineering curricula worldwide. UEI has partnered with the African Network of Science and Technological Institutions (ANSTI), the American Society of Mechanical Engineers (ASME), the Institute of Electrical and Electronics Engineers (IEEE), the World Federation of Engineering Organizations (WFEO), Airbus, and the Intel Foundation, to develop projects in three major themes: engineering education; women in engineering; and interdisciplinary and sustainable engineering.

Engineering education

3.   To stimulate interest in engineering among youth, UEI has partnered with Airbus on the Fly Your Ideas (FYI) competition and with the Intel Foundation on the Intel International Science and Engineering Fair (ISEF). UEI participation in the ISEF high school student competition and the FYI university student competition will increase the number of applicants by disseminating information through the UNESCO networks as well as Permanent Delegations and National Commissions of Member States. Greater competition visibility will result in a greater impact on youth interest in engineering.

4.   In addition to encouragement of young people to study engineering, UEI has also launched several projects to improve the quality of engineering education and accreditation standards and/or bodies. Following the February 2012 signing of an MoU between UNESCO and IEEE (the world's largest professional association dedicated to advancing technological innovation), both organizations have pledged to work on accreditation standards and/or bodies for the improvement of university-level education. At a May brainstorming session which included IEEE members from Nigeria and South Africa, preliminary actions were identified to facilitate institutional capacity-building, defined as accreditation, faculty development, curricula development, and quality control and assurance, in pilot African countries. Moreover, short-term partnership activities include hosting a Science and Engineering Day for African students at the University of Nigeria, Nsukka and establishing an UNESCO-IEEE Chair in Innovation at an African university. UEI and IEEE also organized a successful side event at the Forum on Science, Technology, and Innovation for Sustainable Development (STI Forum) in Rio de Janeiro, Brazil, in June 2012, which focused on engineering as a key factor in sustainable development and highlighted the importance of engineering education using case studies from western Africa and Brazil.

5.   UEI was invited by South Africa to the Southern African Development Community (SADC) Engineering Needs and Numbers brainstorming session in July 2012. Each of the 15 SADC

countries submitted a questionnaire to establish what the engineering needs and numbers required for sustainable development in the SADC region would be. Interactive discussions transpired about addressing the shortage of engineers in Southern Africa as well as increasing engineering enrolment, retention and career advancement of young people in engineering. UEI will partner with South Africa and SADC to determine the scope of the pilot study and implement it.

6.   At a United Nations Conference on Sustainable Development (UNCSD) side event, UNESCO and ASME signed an MoU launching a partnership that pledges to improve the quality of engineering education, increase public awareness of the value of the engineering profession, and promote science, technology, engineering and mathematics (STEM) training and careers. In addition, ADG/SC provided the podium for Vice Chancellors, Deans, Heads of Department, the private sector and development partners in Africa and the Diaspora for the Conference of Vice Chancellors and Deans of Science and Technology (COVIDSET 2011) to build and strengthen engineering education in African universities through cooperation and partnership, including the exchange of ideas, experience, good practices, and new and emerging trends to enhance Africa's global competitiveness and the impact of high-level training and research on African development. On a global scale, UEI is also working with WFEO on a Compendium of Capacity-Building Guidelines to strengthen institutions worldwide that contribute to the education, training, and professional development of engineers.

Women and youth in engineering

7.   UEI efforts for women in engineering seek to encourage young women to pursue engineering and to retain women engineers in the profession. On International Women's Day 2012, UNESCO and WFEO co-hosted a meeting where women engineers from Côte d'Ivoire, Kuwait, Malaysia, Saudi Arabia and Spain shared their experience, reiterated the need for women role models in engineering, and suggested that retention policies, mentoring and networking programs for women, and flexible work hours and childcare provision would increase the number of women working in engineering professions. Anousheh Ansari, an engineer and the co-founder and chairman of Prodea Systems, the founder of the Ansari X Prize, and the first self-funded woman to fly to the International Space Station, emphasized that giving children confidence in their abilities and promoting awareness about engineering fields as a career option can have a significant impact on the future generation of engineers. In addition, UEI will also partner with the Education Sector on a project in Kenya and Lesotho to increase girls' and women's success and advancement in STEM, thus making them eligible to pursue careers in engineering.

8.   In July 2012, UEI was invited to the SADC Women in Science, Engineering and Technology (WISET) meeting. The SADC secretariat adopted a charter which was drawn up to establish a regional platform for women in science. This charter will be presented to the 15 ministers in SADC for adoption. UEI will work with the WISET secretariat to implement projects in STEM through our networks.

9.   The WISET programme in the Republic of Korea is intending to propose a category 2 centre for women in science and engineering. Uruguay is in the process of developing a proposal for a UNESCO Chair on Women in Science and Engineering which will focus on increasing the number of women in science and engineering careers. These initiatives will help UEI to increase and improve the number of women in engineering in these countries.

10.   The WFEO Youth committee, together with UNESCO, is organizing a conference for young engineers in Kuwait in January 2013. This conference will help stimulate the interest of youth in engineering and will also showcase interesting careers in engineering.

Engineering for sustainable development

11.   UEI efforts for interdisciplinary and sustainability in engineering have two objectives: to incorporate sustainability into professional training and development; and to develop engineering curricula that includes interdisciplinary and sustainability components. UEI demonstrated its commitment to including sustainability in training and development through its participation in two UNCSD side events as part of the STI Forum. UNESCO and IEEE co-hosted an event on Engineering for Sustainable Development and UNESCO and WFEO co-hosted an event on Sustainable Communities. Both events emphasized the important role of engineering in future sustainable communities and development. UEI will also work with IEEE and ASME on Engineering for Change (E4C) to encourage youth and civil society to share knowledge on a global platform, discover how communities are being transformed using appropriate technology to solve real problems and learn as well as solve worldwide development challenges.

12.   Germany has proposed a strategy to work with the UEI on quality engineering for sustainability. This strategy will be implemented in a coordinated manner by an open group of German companies and German technical universities, in close cooperation with the Association of German Engineers and the German National Commission for UNESCO, with support from Government of Germany. The draft strategy intends developing a well-structured pool of trainee positions and internships for students from targeted universities in partner countries, transferring best practice in establishing engineering courses and faculties through international cooperation, designing a cross-cultural postgraduate course on "Quality Engineering for Sustainability" and developing a communication concept informing youth about the career prospects associated with engineering, and in international cooperation.

13.   The Chinese Academy of Engineering has proposed a category 2 centre entitled the International Knowledge Centre of Engineering Sciences and Technology. Its purpose would be to collect and combine related digital resources in the field of engineering science and technology in China and the international community, including data sources like digital libraries, publishers, Internet, digital media, archives and exhibition centres.

14.   Lastly, UNESCO has received a proposal for a category 2 centre at Aalborg University in Denmark on Problem Based Learning and Sustainability in Engineering and Science Education. Through partnership with Aalborg University, UEI plans to leverage expertise in teaching methods and curricula development with a focus on interdisciplinary problem-solving and sustainable perspective.

Financial considerations

15.   The current activities of the UEI have been implemented with the collaboration and financial support of the partners. This has been effective and has not had any financial implication to the Organization.

16.   However, extrabudgetary resources will ensure that the UEI expands and thus will be able to implement more of the activities planned with our partners, including the strengthening of priority Africa and priority Gender Equality, already the main aims of UEI.

B. **Implementation of the Memorandum of Understanding between UNESCO and the World Bank**
(Follow-up to 186 EX/Decision 42)

1.	Pursuant to 186 EX/Decision 42 requesting the Director-General to report on the implementation of the Memorandum of Understanding (MoU) between UNESCO, and the International Bank for Reconstruction and Development (IBRD) and the International Development Association (IDA), (together referred to hereafter as the "World Bank"), the following subparagraphs provide an update on the collaboration to date between UNESCO's Culture Sector and Field Offices and the World Bank in implementing the MoU, especially regarding the specific joint activities set out in paragraph 3(b) of the MoU.

2.	Prior to the implementation of the MoU in July 2011, the Culture Sector and the World Bank cooperated informally on a regular basis, notably on World Heritage conservation and management, historic cities preservation and cultural indicators.

3.	Since 1 July 2011, when the MoU entered into effect, specific joint activities have been undertaken by UNESCO and the World Bank in accordance with paragraph 2 of the MoU ("Common Objectives"). The following activities relate to the area of cultural heritage conservation:

(a)	The Culture Officer from UNESCO Kathmandu participated as a panelist in the high-level roundtable discussion of 9 May 2012 organized by the World Bank jointly with the then-Ministry of Physical Planning and Works and the Ministry of Local Development in Nepal. On that occasion, he advocated for the role of culture in sustainable development and presented UNESCO's culture conventions as well as strategies and actions for harnessing the power of culture for economic development in Nepal (no cost involvement for UNESCO);

(b)	UNESCO Kabul provided technical assistance (travel expenses funded by the World Bank) in April 2012 for the World Bank's meeting with the Afghan Ministry of Mines concerning mining and archaeological salvaging at the site of Aynak, Afghanistan, based on UNESCO's recognized expertise in the de-mining of cultural properties in the Bamiyan Valley, Afghanistan; and

(c)	Since July 2011, UNESCO Beijing has provided technical expertise for the World Bank's Shandong Confucius and Mencius Cultural Heritage Protection and Development appraisal mission in Shandong, China (project duration: 2011-2016; total project budget: US $50 million). Funding support has been provided by the Shandong Government, and a partnership agreement between the Cultural Heritage Bureau of Shandong Province and UNESCO Beijing is currently being drafted to formalize UNESCO's cooperation with Shandong Province for heritage conservation activities within the framework of the World Bank project.

4.	Regarding specific joint activities set out in paragraph 3(b)(i) ("historic cities preservation and rehabilitation") of the MoU:

(a)	UNESCO Kathmandu and the World Bank are discussing possible collaboration on a disaster risk reduction and preparedness initiative as part of the World Bank's project on emerging towns in Nepal (approximate budget: $800,000; funding source for specific UNESCO's activities, to be determined);

(b)	The UNESCO Project Office in Libya and the World Bank are engaged in preliminary discussions with a view to coordinating and/or cooperating on joint projects regarding urban cultural heritage and the UNESCO Historic Urban Landscapes Recommendation (HUL), in collaboration with the Middle East and North Africa (MENA) Division of the World Bank;

(c)   The World Bank plans to implement a two-year demonstration urban management programme (estimated budget: US$1,250,000) in three historic cities in India to integrate culture and heritage through the UNESCO Historic Urban Landscape Recommendation approach. It is the first phase of a US$2 billion urban development project financed by a World Bank-India funds-in-trust to be developed in cooperation with UNESCO New Delhi under the Jawaharlal Nehru National Urban Renewal Mission (JNNURM). The programme is designed to define a set of sustainable planning, civic engagement and financial tools aimed at ensuring the sustainability of the conservation process. The modalities of the UNESCO – World Bank cooperation are under discussion.

5.   Within the context of the specific joint activities set out in paragraph 3(b)(iv) ("the economics of cultural heritage") of the MoU, UNESCO Kathmandu provided technical expertise for the World Bank publication, *Nepal Urban Growth and Spatial Transformation – An Initial Assessment*, funded by the World Bank and the Australian Agency for International Development (no cost involvement for UNESCO). On 7 May 2012, UNESCO Kathmandu participated in the working group discussions with the World Bank, the Nepalese Ministry of Physical Planning and Works and Ministry of Local Development as part of the Urban Dialogue Series study on economic development, growth potential and poverty alleviation of Nepal's cities, with a focus on cultural tourism, cultural heritage and handicrafts (no cost involvement for UNESCO).

C. Implementation of 36 C/Resolution 43 and 187 EX/Decision 5 relating to the Ascent to the Mughrabi Gate in the Old City of Jerusalem
(Follow-up to 189 EX/Decision 5 (II))

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

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

3. At its 189th session, the Executive Board adopted, by consensus, 189 EX/Decision 5, reiterating "its request that Israel continues the cooperation commenced with all concerned parties, in particular with Jordanian and Waqf experts to enable agreement on, and implementation of a final design for the restoration and preservation of the Mughrabi Ascent among all parties concerned". The decision also took note of "reports of preliminary discussions between Jordan and Israel concerning the Mughrabi Ascent which stipulate, *inter alia,* that no measures, unilateral or otherwise, shall be taken on the site […], and the necessity of an accepted design and implementation thereof among all parties concerned".

4. After the World Heritage Centre received the revised designs from the Jordanian authorities and from the Israeli authorities in May and June 2011 respectively, and with a view to facilitating dialogue among the parties concerned as requested by the World Heritage Committee and the Executive Board, UNESCO convened a technical meeting at its Headquarters. To this end, invitation letters were addressed to the Jordanian and Israeli Permanent Delegations in March 2012. The Permanent Delegation of Jordan responded in writing informing about the participation of three Jordanian and Waqf experts in the meeting, which was held at UNESCO Headquarters on 18 April 2012, with representatives of the World Heritage Centre, ICCROM and ICOMOS. The proposal from the Jordanian experts was presented and discussed during the meeting. Israel informed the World Heritage Centre verbally that it would not participate to the meeting as it considered that it is the responsibility of the parties concerned to reach an agreement on the design of the Mughrabi Ascent. Due to the absence of the Israeli experts, neither examination nor discussion of the Israeli proposal took place. Therefore, the situation remains unchanged as the objective of the meeting was to review both proposals in order for the parties to reach a consensus on the design of the Mughrabi Ascent.

5. At the 36th session of the World Heritage Committee (Saint Petersburg, 24 June-6 July 2012), the state of conservation of the Old City of Jerusalem and its Walls, inscribed on the List of World Heritage in Danger, was presented to the Committee. Decision 36 COM 7A.23.II, reiterating the terms of the Executive Board decision, was adopted by consensus among the concerned parties. The World Heritage Committee also encouraged "the Director-General to facilitate coordinated action and professional exchanges between all the parties concerned".

6. Should there be any developments on this matter the Director-General is prepared to issue an addendum to the present document before the 190th session of the Executive Board.

D.   UNESCO and the ethical dimensions of the information society
    (Follow-up to 36 C/Resolution 61)

Background and context

1.   The ongoing revolution in the area of information and communication technologies (ICT) has led to ICT playing ever increasing but also constantly evolving roles in the lives of people and societies. By the end of 2011 it was estimated that the average global Internet penetration was 32.7% with over 2.3 billion Internet users worldwide. The advent of lower cost, more powerful mobile devices, multilingual platforms, and the reduction of other access barriers will make global Internet penetration rise and in a virtuous circle further accelerate these technological and societal trends.

2.   ICT are reaching new horizons in many fields – education and learning, knowledge dissemination, employment opportunities, social and political interaction among others – and offering tremendous potential for contributing to global peace, universal human rights, progress and true mutual understanding which underpin UNESCO's mandate and its vision of a new humanism. However, these advances equally provide opportunities for further entrenching and exacerbating existing inequalities, creating new forms of tensions, disadvantages and inequity. In addition, the rise of new forms and modes of interactions boosted by ICT has impacts and consequences on societies' architecture that are not yet fully captured.

3.   It is therefore essential to give attention and encourage thoughtful reflection on the rapid advancements taking place in the information society as they may have far-reaching and unforeseen consequences that may not be in line with internationally agreed norms. Promoting awareness of values and principles based on fundamental human rights, including freedom of expression, is therefore central to the development of equitable and sustainable knowledge societies.

4.   The Universal Declaration of Human Rights provides the universal set of values and principles – including *inter alia*, the right to freedom of expression, universal access to information, particularly to information in the public domain, the right to education, the right to privacy and the right to participate in cultural life – that should inform ethical choices, practices and decision-making in the knowledge societies. The internationally agreed norms and standards are equally relevant and applicable in cyberspace.

5.   The complex and socially transformative relationship of cultural, legal, technical, political, economic and other forces of the information society impinge on all of UNESCO's fields of competence. These technological evolutions and their tangible societal impacts should be taken into due consideration in the design and formulation of the strategic orientations of the Organization.

6.   Thus, UNESCO has a key role to play in bringing ethical perspectives to the harnessing of the present trends and opportunities of the information society to enable social and human progress. Foresight, simulation and other future studies approaches should be harnessed to enrich this work, enabling the Organization to assist policy-makers in anticipating the longer-term impacts of current trend as well as the inevitable fast arrival of technological innovations and breakthroughs. By raising awareness and collectively discussing possible future outcomes and responses, UNESCO could empower policy-makers and society to both prepare for, and better cope with technological challenges.

UNESCO's contribution to the international debate on the ethical dimensions of the information society[1]

7.   UNESCO's work in the area of information ethics dates back to July 1995, when an international expert meeting on legal and ethical issues of access to electronic information was held at the Organization's Headquarters, followed by a series of three international congresses on the legal, ethical and societal challenges of cyberspace.

8.   The first International Congress on the Ethical, Legal and Societal Aspects of Digital Information was organized with the cooperation and support of the Government of the Principality of Monaco and several UNESCO National Commissions. A Virtual Forum on the Internet established in July 1997 with the University of Constance (Germany) contributed to the preparation of the second Info-Ethics Congress hosted in Monte Carlo, Monaco, in October 1998. This was followed in November 2000 by the third Info-Ethics Congress which was held at UNESCO Headquarters under the theme, "The Right to Universal Access to Information in the 21st Century".

9.   The discussions at these international meetings by practitioners, policy-makers and researchers generated awareness of the urgent need to undertake actions to mitigate the potential adverse impacts of the information society. These concerns also served to spur and shape the development of UNESCO's *Recommendation concerning the Promotion and Use of Multilingualism and Universal Access to Cyberspace*, which was adopted by the General Conference in 2003.

10.   This work on info-ethics was subsequently fed into UNESCO's preparatory processes for the 2003 (Geneva) and 2005 (Tunis) phases of the World Summit on the Information Society (WSIS). UNESCO's recognized leadership in this area saw it being given responsibility for the WSIS Action Line C10 – Ethical dimensions of the information society. In this regard UNESCO has been organizing both through its regular programme and in the framework of its intergovernmental Information for All Programme (IFAP), annual thematic debates at the various post-WSIS events and Internet Governance Forums (IGF).

11.   In the post-WSIS period, regional Info-Ethics Conferences were organized for each of UNESCO's regions in the Dominican Republic, France, Mauritania, South Africa and Viet Nam. The declarations and other output documents of these regional conferences have in turn served to identify principles and values seen as necessary for informing choices, participation and policy-making in the emerging knowledge societies. Given its key role in contributing to the formulation of national information society policies, its representative nature and expertise, IFAP, in particular its expert Working Group on Information Ethics has played an important role in refining these inputs into the Code of Ethics for the information society.

Ongoing global efforts in the field of ethical dimensions of the information society

12.   A number of networks of researchers and practitioners such as the International Center for Information Ethics (ICIE) and the African Network for Information Ethics (ANIE), are among the international and regional networks actively contributing to research and international debate in this field. Several other international professional NGOs and civil society organizations such as the Association for Progressive Communication (APC), the Internet Society (ISOC), the International Federation of Information Professionals (IFIP) and the Electronic Freedom Frontier (EFF) are active in this area. Civil society initiatives have led to the creation of various non-binding Charters and frameworks addressing the ethical dimensions of the information society. Other inter-governmental bodies working on this subject-area include the Council of Europe (COE) and the European Commission through its European Group on Ethics in Science and New Technologies.

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[1]   Member States have defined the Ethical Dimensions of the Information Society in paragraph 25 of the Geneva Plan of Action adopted at the 2003 WSIS Geneva Summit:
http://www.itu.int/wsis/docs/geneva/official/dop.html

While global awareness is growing, most research and normative actions in the field of info-ethics remain concentrated in Europe and North America.

Proposals for possible ways UNESCO could address ethical dimensions of the Information Society

13. The proposals are the result of extensive consultations with Member States that build on past and ongoing UNESCO initiatives, and draw on the recommendations of various international and regional consultation meetings, IFAP's Working Group on Information Ethics and inputs from prominent experts and specialized NGOs which are official partners of UNESCO. These proposals underscore key areas where UNESCO's intervention is considered essential.

14. The scope of ethical challenges is vast and will only continue to expand as the number of Internet users grow. In line with its mandate and expertise, UNESCO will address the ethical dimensions of the information society as an integral part of its regular programme activities and through the extrabudgetary projects around enlarging access to information; ICTs and societal transformation; freedom of expression and access to information; the use of ICTs in education; strengthening info-ethics education particularly within media and information literacy programmes as an essential component in the preparation of all, in particular youth, for an active engagement in an inclusive information society. UNESCO will seek to further position itself as a global leader in the field of Info-Ethics supporting sustainable and equitable human-centred knowledge societies. UNESCO's interventions will value the inherent worth of diversity, pluralism and specific contexts in a manner consistent with the underlying guiding principles of respect for human rights, fundamental freedoms and human dignity.

15. In line with its mandate and subject to funding availability, the Organization could pursue the following activities:

Building multi-stakeholder partnerships to raise awareness of the ethical dimensions of the Information Society and strengthen action in this area

- Conduct global mapping of expertise, initiatives and resources in this field;

- Leverage UNESCO's networks of expertise to support the establishment and strengthening of global research networks, centres of excellence and communities of practice;

- Organizing multi-stakeholder events aimed at raising awareness of and deepening understanding about info-ethics;

- Supporting Members States in identifying and addressing gaps in national information policies, methodologies and processes.

Contribute to the international debate on the ethical dimensions of access to, and use of information

- Support the revival of info-ethics debates at national, regional and international levels, involving high-level experts and well-known personalities capable to strongly advocate, promote awareness and foster understanding about the ethical dimensions of the information society;

- Support establishment of various fora and networks of policy-makers, practitioners, researcher and other stakeholders to stimulate exchange and debate, including about applied ethics of the Information society.

Supporting capacity-building at national level

- Assess feasibility of the development of info-ethics curriculum and their dissemination using a range of existing formats and platforms;

- Strengthen the capacity of developing countries to conduct research in info-ethics by supporting the establishment of linkages with regional and international networks;

- Supporting the development of tools, resources and training in integrating info-ethics issues into national policy and decision-making frameworks;

- Make available in accessible formats, educational resources and programmes for supporting stakeholders, particularly youth in understanding and applying ethical behavior online and including such material as a core component of all media and information literacy programmes.

Research

- Lead the development of assessment methodologies and best practices in the field of info-ethics that serve as a resource for policy-making and benchmarking;

- Conduct studies on current and emerging trends such as the impact of new approaches to content creation and consumption and their influence regarding the equitable balance between the interests of right-holders and the public interest, as well as future-oriented research into the implications and potential societal impacts of digital development; and

- Strengthen North-South and South-South cooperation in capacity-building, research and exchange of best practices.

16. The accelerating technological changes and their wider deployment in all areas is likely to amplify both the importance and complexity of the ethical questions that may need to be addressed in the information and knowledge societies.

17. The decision taken by Member States may imply a need for additional extrabudgetary resources so as to ensure that UNESCO has the capacities to provide adequate and timely responses to the info-ethics challenges as outlined above.

Proposed draft decision

18. After examining this document, the Executive Board may wish to adopt the following decision:

The Executive Board,

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

2. Recalling UNESCO's mandate to promote the free flow of ideas by word and image and to maintain, increase and diffuse knowledge,

3. Recognizing the essential role of ethical principles and values enshrined in the Universal Declaration of Human Rights in the attainment of the Organization's objectives of promoting freedom of expression, access to information and knowledge for all,

4.   <u>Further recalling</u> the outcomes of the World Summit on the Information Society, that conferred to UNESCO the responsibility of implementation of Action Line C10 "Ethical dimensions of the Information Society",

5.   <u>Commends</u> the Director-General for her efforts in developing the proposals contained in this document concerning the future orientation of the work of UNESCO on the Ethical Dimensions of the Information Society, and <u>endorses</u> the proposed approach;

6.   <u>Invites</u> Member States to participate in, and contribute to, the realization of the objectives outlined in this document;

7.   <u>Requests</u> the Director-General to report periodically in her statutory reports (EX/4) to the Executive Board on the progress made in the implementation of the related activities.

E.   Cultural and educational institutions in Iraq
      (Follow-up to 187 EX/Decision 6 (II))

Introduction

1.   This document reports on UNESCO's contribution to the ongoing reconstruction and reconciliation process in Iraq, covering the period from July 2011 to June 2012.

2.   The security situation remained volatile during the reporting period. While the overall security improved compared to previous years, 2011 brought serious new challenges, particularly with the withdrawal of the United States Forces for Iraq (USF-I), and the full hand-over of the country's security to the Iraqi forces. Significant divisions continued to adversely affect the country, and over the past months social unrest emerged over the provision of government services.

3.   The increase in violence across the country hindered the implementation of United Nations' activities. Continuing physical insecurity led to a restriction in personnel movements in the country, reducing the capacity for in-country monitoring of projects, as well as the ability to conduct events and workshops in Iraq, given the difficulty for participants to attend. Trainings and workshops were postponed or cancelled, and planning was difficult due to the unpredictability of the security situation.

4.   UNESCO, as most of the other United Nations agencies, continues to be based in Amman, Jordan. The limited availability of accommodation and security facilities, and the high costs involved, hinder the full relocation to Baghdad. Movements in Baghdad are still extremely limited and restrictions imposed by UNDSS do not allow UNESCO staff to carry out regular visit to its counterparts, in particular Iraqi line ministries, which are mostly in the Red Zone. Relocating the Iraq Office to Baghdad at this stage would not significantly increase UNESCO's impact in the country. Nevertheless, presence is important, and UNESCO Iraq Office has been constantly increasing the number of missions to Iraq; the Director and all Project Managers travel regularly to Baghdad and Erbil to implement activities and ensure proper follow-up. In addition, three permanent national staff members are based in Baghdad, and one international as well as two national staff in Erbil. UNESCO also has one national staff in Najaf, one in Sulaymaniyah and, by the end of 2012, will have one in Mosul. Furthermore, UNESCO is expecting to relocate by September an additional three international staff to Baghdad. Currently 80% of all activities are carried out in Iraq, as a growing number of country-wide activities take place in Erbil due to the improved security situation there.

5.   The Iraq Office continues its full engagement with the United Nations Country Team (UNCT). It participates in all UNCT meetings and is an implementing partner in a number of joint programmes developed with other United Nations agencies to address interlinked aspects of development in Iraq. All activities are developed within the framework of the 2011-2014 UNDAF and regularly coordinated through Priority Working Groups (PWGs), composed of project managers from all participating agencies. UNESCO is represented in all PWGs and co-chairs with UNICEF the Education working group. UNESCO is also a member of the UNCT Gender Task Force, the UNCT Advocacy Working Group and the Inter-Agency Information and Analysis Unit, a centralized unit which houses all information on UNCT programming and conducts sector wide research on cross-cutting sectoral issues such as gender and water. In addition, UNESCO is member of the UNDAF Fund Committee, with wide engagement across all areas of its mandate in Iraq. While education and culture remain the most visible aspects of UNESCO's contribution, our capacity in science, particularly with regard to water has become widely recognized and highly valued; the Organization leads the UNCT Water Task Force established in 2010 by the Deputy Special Representative of the United Nations Secretary-General.

6.   Generous support provided by donors (in particular the Office of Her Highness Sheikha Mozah, the European Union and the Governments of Iraq, Kurdistan Region, Germany, Japan,

Italy, Spain and the United States of America) has been essential to enabling UNESCO's programmes in Iraq. The UNDG-ITF was the main mechanism through which United Nations agencies working for Iraq received their funding from international donors, however the Fund closed to new projects in June 2010. In response, UNESCO Iraq Office has been placing greater emphasis on funding through bilateral and private sector channels and strengthened its partnerships with donors in the Arab region, in addition to its reliance on the newly established United Nations Development Assistance Framework (UNDAF) Fund. The global economic downturn has had a significant impact on donor countries' disbursement of foreign aid, and mobilizing funds for large-scale projects will continue to be a challenge.

EDUCATION

7. Education continues to be the main area in which UNESCO provides support to Iraq. A set of diverse projects has been developed to bridge the gaps in education policy, including gender disparities, and develop a solid educational infrastructure. Ongoing interventions include providing non-formal education, technical and vocational education and training (TVET), literacy and life skills for vulnerable populations, developing new Iraqi curricula, rehabilitating the Iraqi higher education system and promoting civic values and youth employment. All projects are executed in close partnership with the Ministries of Education (MOE) and Higher Education and Scientific Research (MOHESR) in Baghdad and Erbil to build national capacities thereby ensuring sustainability.

8. Within the framework of the development of Iraq's National Education Strategy, UNESCO, in partnership with UNICEF and the World Bank, provided technical assistance to review the strategy document and to incorporate a Monitoring and Evaluation component.

Reinforcing national education planning and management

9. The project on Enhancing the learning environment in vulnerable areas in Iraq to meet the EFA Goals ($1.7million from EU under the Iraq Trust Fund (ITF)) implemented jointly by UNICEF, UN-HABITAT, UNESCO, WHO, UN WOMEN and UNAMI Human Rights Office is aimed at developing the institutional capacity of the Ministry of Education and the Directorates of Education in policy formulation, strategic planning, service delivery, project design and management, school health and hygiene with focus on gender and human rights approaches. As part of UNESCO's support to the establishment of an Education Management Information System for Iraq (EMIS), UNESCO Iraq Office worked together with MoE Baghdad and MoE Erbil to merge data between MoE Baghdad and Moe Erbil and to produce the reports and indicators for the statistical year book 2008/2009.

10. The project on Education Needs Assessment ($881,801 from EU under the ITF), implemented in partnership with UNICEF, is under way to assess the main causes that are hindering access to, and quality of, education, and to support the work of the Government of Iraq in the reconstruction and modernization of the education sector. The project already provided relevant stakeholders with the essential skills to undertake in-depth education assessments, surveys, and future analysis and the final outcome of the assessment will offer the indispensable information for education planners and decision makers. The project was extended until the end of 2012.

11. In the context of the Joint programme on Public Sector Modernisation ($2 million from EU) implemented with UNDP, WHO, UNICEF and UN-Habitat to initiate a modernisation process entailing reform, decentralization of services and enhanced citizen participation, UNESCO completed a functional review, service delivery assessment and costing reports of the Ministries of Education and Higher Education and Scientific Research in Baghdad. Also, in partnership with national partners and UNICEF, a draft joint road map for Education sector reform was presented to the Iraqi authorities. The Steering Committee for Public Administration Reform in Iraq approved

phase II of the project (UNESCO budget: $5.1 million) in June 2012 and programme implementation is due to start in the second half of the year.

12. Development of New Iraqi Curricula ($4.9 million from HHO): This project is a major initiative to modernise and reformulate the Iraqi school curriculum and textbooks, thereby contributing to reconciliation in Iraqi society. The current curriculum will be assessed according to international standards, and needs and possibilities will be identified to improve learning strategies and outcomes. UNESCO is working to strengthen the institutional support structures at the central and regional levels, while providing technical assistance to develop the capacity of curriculum developers, textbook authors, teachers, school supervisors, and headmasters to develop and implement new curricula, as well as syllabi, and learning materials. The project will continue its activities until the end of 2013.

Rehabilitating basic, secondary and technical and vocational education

13. Improving Quality of Technical and Vocational Education and Training ($1million from Germany under the ITF). The project particularly supported TVET in the Kurdistan Region by developing and strengthening the institutional capacity of the main TVET providers in Kurdistan. Activities focus on strengthening collaboration and partnership with the private sector to increase students' employability and to make the system more market driven; increasing employability and entrepreneurship competences, training teachers on modern teaching methodology, to improve the quality of the education; raising community awareness on the role and importance of TVET. The project is expected to close by the end of 2012.

14. Fighting Youth Unemployment through Education ($660,000 from Japan) project is designed to tackle youth unemployment, fostering entrepreneurship skills for unemployed TVET graduates in the Kurdistan Region. The current project is part of an ongoing effort of UNESCO Iraq Office to improve the condition of youth, equipping them with adequate skills to build their future and will provide 400 male and female graduates with entrepreneurship training that will enable them start their own businesses, 200 of which will be awarded dedicated loans on the basis of their business plans, by the Ministry of Labour and Social Affairs at the Kurdistan Regional Government.

15. The project on Teacher Training Programme for Basic and Secondary Education ($4million from HH) is aimed at enhancing access and quality of education while addressing main bottlenecks in teacher education. UNESCO has built the institutional capacity of relevant stakeholders in planning, managing and monitoring in-service teacher training while enhancing the capacity of teachers to upgrade their knowledge in their respective fields. Activities included the provision of refresher and upgrading training to enable 40,000 teachers both in primary and secondary education to teach their subject using a science inquiry and student-centred approach. The project will continue its activities until the end of 2013.

Rehabilitating higher education

16. Rehabilitation of the Iraqi Higher Education System ($8.5million from HHO): the project aims at strengthening the institutional and human capacity of the MoHESR and Higher Education Institutes (HEIs) in data collection and analysis, policy planning and formulation, management, monitoring and evaluation of higher education and scientific research programmes. UNESCO completed a situational study on scientific research, screening and assessing over 90 research institutions all over Iraq. Consequently, in partnership with the relevant ministries (MoHESR, MoST, MoP, MoI) a national roadmap for Science, Technology and Innovation was developed. The project also entails the design of a quality assurance system. A Quality Assurance Pilot programme was initiated in 12 Iraqi universities, with a dedicated website and e-forum for Quality Assurance, officially launched on June 2012. Another significant achievement was the launch of the Iraq Avicenna Virtual Campus Portal and Virtual Library, with 87 trainers trained at UNESCO Avicenna Centres, 45 online modules produced in 3 e-learning centres (Baghdad, Basra and Salahaddin), 180 teachers/tutors trained inside Iraq through a multiplier-effect training programme

and 40 seminars organized in newly-developed AVCI inside Iraq (Bagdad, Salahaddin and Basra). The project will continue until the end of 2013.

Ensuring access to education

17. Promoting Civic Values and Life Skills for Adolescents through Education ($1.2 million from EU under the ITF) project implemented with UNESCWA and UNFPA, will facilitate and improve access to education of vulnerable and marginalized groups, and enhance youth personal and social skills, to enable them to pursue their own educational, cultural and career development potential. In partnership with the Ministries of Education in Baghdad and Erbil, international and local partners, UNESCO has developed a training package in Arabic and Kurdish for teachers, young people aged 12-19 years, and education facilitators on civic values and life skills. The materials will be piloted for the academic year of 2012-13 in a number of schools and non-formal education settings in Baghdad, Erbil, Salahedin and Thi-Qar, following the cascaded training of 500 teachers and 100 non-formal education facilitators. The project is also developing a set of tools for youth peer-to-peer training. These tools will be piloted in community settings across the four Governorates by 40 youth Master Trainers and 400 young people. The project is expected to close at the end of 2012.

18. Literacy Initiative for Empowerment (LIFE) in Iraq ($6.4million from HHO). The project seeks to formulate a nation-wide, coordinated response to meet the learning needs of illiterates in Iraq. UNESCO has been working to build the institutional capacity required for the planning and implementation of a National Literacy Campaign targeting 2.5 million illiterates by 2015. Following the approval of the National Literacy Law and the completion of the National Literacy Strategy in 2011, UNESCO is now supporting the Government of Iraq in launching the national literacy campaign in 2012: technical support was provided for the establishment of the National Literacy Agency, the definition of its structure, including more than 3000 new employees, and the preparation of work plans and budget for the implementation of the literacy campaign. UNESCO also established 125 Community Learning Centres targeting 7,000 vulnerable illiterates with literacy and life skills training each year. In March 2012, UNESCO signed a Memorandum of Understanding with the MoE to ensure the sustainability of the established Community Learning Centres after the first year. The project will continue its activities until the end of 2013.

19. Impact Assessment on Toolkit for Integrating HIV and AIDS into Literacy Programming in Iraq ($24,257). Developed in cooperation with the Ministries of Education in Baghdad and Erbil, and with civil society organizations, the toolkit aims to build the capacity of teachers and facilitators in delivering effective and sustainable education on HIV/AIDS prevention, ensuring the training of 300 facilitators in Baghdad and 200 in Kurdistan Regional Government on HV/AIDS prevention.

CULTURE

20. In the area of Culture, and in collaboration with the Ministry of Culture, Ministry of Tourism and Antiquities and relevant Iraqi institutions and stakeholders, UNESCO plays a leading role in the fight against illicit traffic of cultural property and the protection of Iraqi cultural sites. UNESCO raises awareness on the need to protect the rich cultural heritage of Iraq while striving to create the conditions necessary for the development of cultural industries. Such efforts strengthen the protection of Iraqi cultural heritage and foster reconciliation among communities.

21. Development of a National Tourism Strategy ($1million from EU under the ITF). UNESCO is working in collaboration with the Ministry of Tourism and Antiquities, UNWTO and ILO, to develop a national tourism strategy, an area of important potential economic growth. The project focuses on building capacities of the State and regional tourism boards to promote cultural sites, including sites of religious interest.

22. Revitalization of the Erbil Citadel – Second Phase ($12.9 million from the Kurdistan Regional Government – Erbil Governorate). This phase of the project will establish management and

operational procedures to ensure the sustainable management and conservation of the Citadel of Erbil. Capacities of local personnel will be strengthened to ensure their involvement in the management, conservation and rehabilitation of the Citadel. UNESCO is also managing the conservation work of vulnerable structures at risk of further deterioration, and is carrying out studies for the restoration and rehabilitation of a number of buildings and for the stabilization of the Citadel's slope and its adjacent facades. The project will continue until the end of 2013.

23.   With a view to sustaining the conservation of the Erbil Citadel, inscribed on the Tentative List of future world heritage sites, "Buffer Zone" ($338,208 from the Kurdistan Regional Government) was developed to establish clear guidelines and regulations to ensure the preservation and surrounding of the Citadel, as well as ensuring that future urban development will not negatively impact the Citadel. The guidelines for the management of Erbil's historic city centre (buffer zone) were finalized and endorsed by the authorities in 2011. This was followed by a four-month technical support to the concerned authorities for the implementation of the guidelines.

24.   With regard to the modernization of the Sulaymaniyah Museum ($350,000 from EU under the ITF and US $305,000 from the Kurdistan Regional Government – Sulaymaniyah Governorate): The project was designed to assist the Department of Antiquities of Sulaymaniyah Governorate to develop educational programmes for young visitors. Activities focused on strengthening capacities for museum management and museum educational programmes. A comprehensive master plan for the museum and needs assessment was drafted by the museum management in consultation with the Kurdish authorities, international experts, and other relevant stakeholders. An Education Department was inaugurated in the Sulaymaniyah Museum and has started to host school classes of students with their teachers. Activities will continue until February 2013.

25.   The second phase of the project Iraqi Marshlands ($100,000 from Italy through UNEP): contributes to preserve this unique site and prepare its nomination as a World Heritage Site. Developed in cooperation with UNEP, it will establish a longer-term preservation and management plan for the cultural and natural heritage in this area, in accordance with the World Heritage Convention, and raise awareness among the local population to ensure participation in site preservation, environmentally sound development of the rural areas, and ecosystem management. A management framework has been prepared. The project is due to end in 2012.

26.   The preservation of Najaf's cultural heritage ($1.1 million from the Ministry of Culture of Iraq) was developed thanks to the support of the Government of Iraq, in collaboration with the Ministry of Culture and Governorate of Najaf. UNESCO will build local capacity to conserve major heritage assets in Najaf, namely the Wadi As Salam cemetery and the collection of Islamic manuscripts; enhancing international knowledge about the history and heritage of the city through a round table on intellectual history; developing relevant publications and a documentary film.

NATURAL SCIENCES

27.   In the area of Science, UNESCO is a member of both UNDAF Working Groups for Water and the Environment, and plays a key role in capacity building for water resource management and environmental issues, as well as in the Water Task Force established in 2010 by the United Nations Resident Coordinator. While assisting to update the Iraqi science sector in view of its role in the country's recovery, UNESCO is very active in water management related areas, as this remains a critical issue for Iraq as a riparian country.

28.   The development of a Master Plan for Science, Technology and Innovation in Iraq ($113,431 from Japan and Ministry of Sciences and Technology of Iraq) to assist the Government of Iraq for the period of 2012-2015 that will serve to guide government, business, and public organizations' efforts toward intensive and comprehensive development of science, technology and innovation was initiated, notably through a series of workshops will be conducted to ensure sustainability and to establish linkages between science and technology actors and stakeholders. The project has been extended to the end of 2012.

29.   The project for the Development of National Framework for Integrated Drought Risk Management in Iraq ($215,000 from the UNDAF Fund) will contribute to the formulation of a long-term water management strategy that includes measures to account for and mitigate the risk of drought. The project is the first to be funded by the United Nations Development Assistance Framework (UNDAF) fund, and it is implemented jointly with UNDP. The first stage entailed supporting the Government of Iraq in conducting a series of technical assessments of existing Drought Risk Management capacities and vulnerabilities. Subsequently consultations were carried out along with consensus-building activities to establish a common understanding of drought impacts and risk management measures, while presenting to the government international good practices on drought risk management.

COMMUNICATION AND INFORMATION

30.   In the area of Communication and Information, the potential to promote and protect freedom of expression in Iraq has increasingly expanded. UNESCO works with media and with the Government to help foster mutual understanding of respective mandates and roles in a democratic society, and with other concerned partners to support the security of Iraqi media professionals and to raise awareness of their plight.

31.   The project on Support for Enhanced Media Coverage and Monitoring of Electoral Processes ($3million from EU under the ITF), implemented jointly by UNESCO, UNDP and UNAMI, to support the electoral process in Iraq by building the capacity of three key institutions – the Independent High Electoral Commission, the Communications and Media Commission, and the professional media. UNESCO is responsible for activities which engage media professionals and support the media regulatory framework. UNESCO is carrying out activities to engage media professionals and strengthen their capacity through targeted trainings. Starting in June 2012, trainings courses have been held in Baghdad, Erbil and Basra on election regulation, producing election materials and innovative election reporting, and on 'socially' sensitive election reporting. The project is expected to close by the end on 2012.

32.   Support to the Media in its Role of Fostering Peace and Democracy ($763,000 from Spain under the ITF), implemented with UNDP and UNAMI, was developed for the development of independent, pluralistic, and professional media as a fundamental precondition to contribute to the achievement of good governance, and the development of the relevant legislative and regulatory frameworks. A Journalism Curriculum Framework, including distance learning tools, was developed in cooperation with the MoHE for GoI and KRG, and journalism educators and students. The MoHE have expressed its intention to adopt the proposed document and to implement it the next academic year (2012-2013). The project ended its activities in May 2012.

33.   The project on the Protection of Media Professionals, Human Rights Defenders and Members of the Academic Community in Iraq ($589,000 from EU under the ITF) is being implemented to create an enabling environment with improved conditions for independent civil society and media through legal and regulatory frameworks, professional development and strengthened institutions. UNESCO has been working to strengthen the capacity of media professionals, human rights defenders and members of academia, to monitor, expose and report human rights violations; while increasing their capacity to cope with threats and professional risk. UNESCO developed and distributed a safety manual to address and mitigate critical security threats and risks faced by the targeted groups in Iraq. The project will end its activities in July 2012.

Proposed draft decision

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

The Executive Board,

1. <u>Recalling</u> 187 EX/Decision 6,

2. <u>Having examined</u> document 190 EX/5 Part I (E),

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

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

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

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

7. <u>Further invites</u> the Director-General to present a progress report to it at its 192nd session.

Item **5** of the provisional agenda

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

PART I

PROGRAMME ISSUES

ADDENDUM

**COOPERATION BETWEEN UNESCO AND
THE GLOBAL GEOPARKS NETWORK**

SUMMARY

This item has been prepared in response to the resolution on geoparks of the last General Conference (36 C/Resolution 31). As a follow-up to this Resolution, the Director-General is reporting back to Member States on the consultations undertaken during the first half of 2012 on how to improve cooperation between UNESCO and the Global Geoparks Network as well as on possibilities of formalizing geoparks within UNESCO.

The financial and administrative implications of the proposal in this report fall within the parameters of the current C/5 document.

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

Cooperation between UNESCO and the Global Geoparks Network
(Follow-up to 36 C/Resolution 31, 187 EX/Decision 6 (VI))

1.   Geoparks are areas of internationally significant geological heritage with active communities and ideas implementing an innovative strategy of sustainable development by:

- educating on geological hazard awareness and the development of disaster response strategies within geopark communities;

- informing on the climate change debate by looking at the record of past climate change in geoparks;

- encouraging debate on sustainable natural resource use and management, and conserving and using the geological heritage of geoparks, in association with natural, cultural and intangible heritages, for sustainable development;

- operating in a spirit of local community empowerment and networking in an integrated way, respectful of local culture, knowledge and needs.

2.   The Global Geoparks Network (GGN) is a voluntary network essentially based on the input of its members and their funding organizations. Today based in 27 countries, it has grown to 88 member sites and is triggering growing worldwide interest. Geoparks have been part of UNESCO's work plans since 2001, following the decision of the Executive Board (161 EX/Decision 3.3.1) to "support ad hoc efforts within individual Member States as appropriate". However, geoparks are not a *bona fide* programme of UNESCO and there is no such term as "UNESCO geopark". The current *ad hoc* arrangement does not allow UNESCO and geoparks to capitalize upon many of the potential benefits of a more formalized relationship

3.   UNESCO's Member States have discussed geoparks during previous meetings, many showing very strong support for formalizing the relationship of UNESCO with the GGN, while a few expressed concern regarding financial implications. Many Member States especially in Africa, the Arab region and Latin America and the Caribbean expressed their wish to strengthen capacity-building to establish geoparks in countries not currently represented in the network.

4.   In May 2012, the Assembly of the GGN issued a declaration endorsing a formalization of the cooperation between it and UNESCO under a UNESCO geoparks programme or initiative.

5.   Following 36 C/Resolution 31, the Director-General undertook consultations to explore with Member States the possibilities of formalizing the current geoparks initiative, *inter alia*, by examining the possibility of transforming it into an international UNESCO geoparks programme or initiative, including the financial and administrative implications thereof. Consultations included meetings with the GGN Assembly, GGN specialists, the International Union of Geological Sciences (IUGS), the International Union for Conservation of Nature (IUCN), the Man and the Biosphere Programme (MAB) Secretariat, the UNESCO Legal Office and UNESCO Member States.

6.   The above-mentioned consultations considered various options. The consultations clearly underscored that the link between the GGN and UNESCO should be strengthened through a UNESCO global geoparks initiative while ensuring accountability and retaining its bottom-up, stakeholder-led approach. In accordance with 36 C/Resolution 31, the possible budgetary and administrative elements of this initiative compared with other options are presented in the annex.

7.   The Director-General welcomes the cooperation with the GGN and takes note with satisfaction of the progress made towards an even closer cooperation with the Network. She also acknowledges the strong support across all groups of Member States for formalizing the relationship between UNESCO and the GGN and wishes to make the following observations:

(a) At previous sessions of the Executive Board attention has been drawn to the fact that the three existing UNESCO programmes dealing with nature conservation or geology (MAB, World Heritage Convention and the International Geoscience Programme) have all clear mandates of their own (e.g. 187 EX/6 Part VI paragraph 6), and do not cover geoparks. Nevertheless cooperation between these different programmes, including geoparks, already exists and will be further enhanced to ensure convergence of UNESCO activities at the operational level.

(b) Geoparks are concordant with the Strategic Direction One recommendation of the Independent External Evaluation of UNESCO which stated that "UNESCO needs to further focus its efforts to address challenges consistent with its mandate for international cooperation ("peace") and development ("common welfare"). Focusing should ensure that all activities contribute to UNESCO's priorities and that barriers to collaborative working across the Organization are eliminated."

(c) UNESCO is the only United Nations organization working in the field of earth science, giving the Organization a unique portfolio within the United Nations system. Upon the request of many Member States to establish geoparks, it is therefore timely that UNESCO strengthens the Organization's link with the GGN through a UNESCO global geoparks initiative (see Option 2, Annex). This would allow UNESCO to focus on its strengths in this area of strategic importance.

(d) While adding no additional costs to UNESCO's regular programme, such an initiative would, if an appropriate legal framework can be devised, continue to be driven by the highly valued bottom-up nature of geoparks. They currently are managed by the lightest possible administrative structure, already established by the GGN, by which all costs relating to operational logistics are borne by the geoparks themselves. The initiative would therefore have low budget implications (staff time and travel costs) and avoid a heavy administrative burden (see comparisons in the Annex).

(e) The proposed initiative must be supported within the framework of legal, financial and administrative implications in the current C/5 document, with no additional staff costs to UNESCO. The main financial resources for the Initiative would continue to be based on voluntary contributions from its members and their funding organizations.

(f) We propose to explore the possibility to introduce the brands "UNESCO geopark" and "UNESCO global geoparks initiative" as labels of excellence for areas that meet the criteria of, and join, the UNESCO global geoparks initiative.

(g) Such "UNESCO geopark" branding would strongly contribute to raising UNESCO's visibility in the world and add value to UNESCO's work. It would allow UNESCO to take the lead in a high quality network of public outreach on sustainable development linked to issues including the environment, geohazards, climate change and the sustainable use of natural resources, thus supporting the delivery of some of UNESCO's core objectives. Moreover it has been identified that this branding would also be of clear advantage for the development of geoparks in those regions where none currently exist and for the Secretariat's fundraising scheme which will be the main source to assist countries in the development of geoparks.

Proposed draft decision

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

The Executive Board,

1. Recalling 36 C/Resolution 31 on cooperation between UNESCO and the Global Geoparks Network (GGN),

2. Taking into account the relevance for UNESCO of geoparks and of cooperation with the Global Geoparks Network,

3. Having examined document 190 EX/5 Part I Add., the report of the Director-General on the consultations undertaken during the first half of 2012 on how to improve cooperation between UNESCO and the Global Geoparks Network and the related budgetary and administrative elements,

4. Encouraged by the progress made on defining a potential structure and mechanism for a UNESCO global geoparks initiative,

5. Requests the Director-General to submit a more comprehensive proposal concerning such an initiative and formalization of the relationship with the Global Geoparks Network;

6. Decides that the proposal should address such issues as:

    (a) an analysis which clearly entails no additional budgetary implications for UNESCO and which outlines efforts to secure external funding partners for further capacity-building and for additional Global Geoparks Network activities;

    (b) a mapping of UNESCO's work relevant to geoparks in order to identify areas of potential duplication and added value and how a UNESCO global geoparks initiative would improve on current practice;

    (c) mechanisms for strengthening UNESCO's oversight role and for maintaining the current strong quality control;

    (d) presentation of the possible operational guidelines of the Global Geoparks Network for review and endorsement by the Executive Board ensuring the highest selection standards and allowing for equitable geographical distribution;

7. Invites the Director-General to review the implications of accepting sites already designated under the existing Global Geoparks Network criteria, and to propose any adjustments that may be considered necessary;

8. Requests the Director-General to report back to the Executive Board at its 191st session on the progress made in this regard.

ANNEX

MATRIX COMPARING ADMINISTRATIVE AND BUDGETARY IMPLICATIONS OF THE DIFFERENT OPTIONS FOR RELATIONSHIPS BETWEEN UNESCO, GEOPARKS AND THE GLOBAL GEOPARKS NETWORK (GGN)

	Internal models in UNESCO	Additional costs to UNESCO	Role of UNESCO Member States	Administration of GGN	on UNESCO	Benefit to geoparks and local people	Funding potential	Fulfilment of UNESCO priorities
Options								
1. No change: *ad hoc* **support to the GGN**	none	None beyond the current RP costs of $25,000 and P5, P3 and G4 part-time.	Request *ad hoc* support	No change	Weakens UNESCO's role, weak support to the development of geoparks, confusion within GGN, public and among Member States	Low	Low	Not Sufficient
2. International UNESCO Geoparks Initiative	Earth Science Education Initiative	None beyond the current RP costs of $25,000 and P-5, P-3 and G-4 part-time staff costs	Nominations to GGN endorsed through optional National Committees	Minimal change but enhanced role for Member States[1]	Large positive impact for UNESCO in Member States	Strong	Strong	Yes
3. International UNESCO Geoparks Programme	IGCP, IBSP, MOST	Substantial: $25,000 RP and P-5, P-3 and G-4 part-time plus statutory meeting costs	Nominations to GGN endorsed through National Committees	Significant change with enhanced role for Member States but need for statutory meetings[1]	While significantly strengthening role of geoparks within UNESCO it creates another international programme to fund and administer.	Strong	Strong	Yes
4. Inter-governmental Geoparks Programme	MAB, IHP	Substantial: $25,000 RP and P-5, P-3 and G-4 part-time plus inter-governmental meeting costs	Inter-governmental coordination council and National Committees nominate new geoparks	Very significant with loss of existing structure and replacement by an inter-governmental council[1]	While significantly strengthening the role of geoparks within UNESCO it creates another intergovernmental programme to fund and administer	Strong	Strong	Yes

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[1]   With appropriate legal safeguards to minimize UNESCO legal liabilities and with appropriate notices to the public that UNESCO has no responsibility for the management of the geoparks.

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

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

PART II

PERIODIC REPORT ON INTERNAL OVERSIGHT SERVICE (IOS) EVALUATIONS

SUMMARY

This report combines two papers that were previously submitted separately. It presents a summary of recently completed IOS evaluations, as well as a summary of IOS field office reviews (formerly presented as a report on decentralized bodies). It also includes, at the request of the Executive Board, a summary of significant evaluation recommendations.

In accordance with 186 EX/Decision 6 (VI), Part I provides a short report on recently completed evaluations including the evaluation of UNESCO's Priority Africa; Part II provides an update on ongoing evaluations.

Pursuant to 35 C/Resolution 82(II) and 182 EX/Decision 6 (Annex), Part III presents a progress report on reviews of field offices.

Finally, in accordance with 189 EX/Decision 16 paragraph 11, Part IV lists a number of high-impact evaluation recommendations. This summary is also intended to come forward to 189 EX/Decision 4 requesting the status of implementation of the recommendations of IOS in order to enhance monitoring and reporting.

This report does not provide a full summary of audits (as opposed to evaluation findings) which are reported to the spring session of the Executive Board.

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

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

INTRODUCTION

1. At its 186th session, the Executive Board requested that the Director-General continue to report periodically on evaluations completed (186 EX/Decision 6 (VI)). The Internal Oversight Service (IOS) herewith presents an overview of evaluations completed in Part I, including (i) the evaluation of Priority Africa, and (ii) the review of the Secretariat of IOC Sub-Commission for the Caribbean and Adjacent Regions (IOCARIBE). It also presents an update on the review of category 2 institutes/centres. Part II presents the status of ongoing evaluations, including the evaluation of UNESCO's education category 1 institutes/centres and the evaluation of the pilot phase of the International Fund for Cultural Diversity. An update of IOS findings from evaluations and audits of UNESCO's field offices is presented in Part III (as required by 35 C/Resolution 82(II) and 182 EX/Decision 6 (Annex, paragraph 10). Finally, following a new decision (189 EX/Decision 16, paragraph 11), a summary of the status of high-impact evaluation recommendations are presented in Part IV.

PART I – EVALUATIONS COMPLETED

PRIORITY AFRICA[1]

2. In 1989, UNESCO established the "Priority Africa Programme" and thereby expressed its commitment to accompany Africa in its development, echoing the pledge of the wider international community. Since then, several policy and institutional frameworks have underpinned UNESCO's work in Africa resulting in "Priority Africa" being formalized as one of the two global priorities of the Organization in the 34 C/4 Medium-Term Strategy. The priority framework had so far not been the object of a formal evaluation. The evaluation of Priority Africa was requested by the Executive Board following the Independent External Evaluation.

3. The evaluation covers the progress achieved in the execution of UNESCO's programmes linked to Priority Africa, as well as the contribution of the different mechanisms dedicated to the coordination, implementation and monitoring of the Priority. It also aims to highlight lessons drawn from past achievements and challenges and to inform the future operational strategy supporting the implementation of Priority Africa.

OVERALL CONCLUSION

Despite many signs of positive economic development in Africa, the region still lags behind on the attainment of the EFA goals and the MDGs, justifying a continued prioritization of UNESCO's action, resources and capacities towards the region. The evaluation found that, during the twenty years of UNESCO's prioritization of Africa, the Organization has generated successful interventions in all sectors, and that the Africa Department has strengthened its role over time. In spite of these promising elements, a consistent finding has been the differing views on what Priority Africa exactly means and how it should be implemented. While the proportion of financial and human resources decentralized to Africa within the framework of the regular programme has increased and is now the highest among regions, the capacities decentralized to Africa need to be further strengthened to achieve a significant impact.

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[1] At the time of the preparation of this paper, the evaluation was still in draft and an Information Meeting was scheduled to take place for Member States on 26 July, 2012.

FINDINGS

Some of the most prominent findings of the evaluations are presented below:[2]

4.   Despite more than two decades of existence, there is a different understanding among key stakeholders of what exactly Priority Africa means and there is not a clear set of objectives or an operational plan for the achievements of results. In addition, the accountability for the delivery of results and the respective roles within the Organization of different entities (e.g., Sectors, Field Offices, Platforms, Africa Department) are not always clear and may overlap in some cases.

5.   The resources decentralized to Africa have increased during the 34 C/4 period (between 2008 and 2012), and the region has benefited from the highest portion of decentralized human and financial resources as compared to other regions. Nevertheless, capacities in Africa still need to be strengthened to achieve significant impact. Despite a marked increase in staff budget in the approved 36 C/5 document, the actual number of posts that are Africa-based has not yet significantly increased. So far, much of the staff mobility observed has been taking place within the region rather than from Headquarters or from other regions to Africa.

6.   Recent successful fundraising initiatives illustrate the potential for new extrabudgetary partnerships that UNESCO can foster "in the region, by the region, for the region". Despite these noticeable examples, the actual funds raised for the benefit of the region cannot be specifically attributed to a specific organizational set-up or mechanism.

7.   Africa remains the region with a low implementation rate of extrabudgetary resources. Africa ranks second in the regions benefiting from extrabudgetary resources accounting for 14% of the total. Some of the systemic challenges that UNESCO faces in all regions are even more pressing in the African region (limited capacity of staff in the field and lack of qualified project management staff). In addition, while good practices recommend that programme management (from programme design to implementation and monitoring) take place at the local level, for many of UNESCO's programmes in Africa, decision-making and management authority often rest with Headquarters.

8.   The added value of the institutional framework put in place to coordinate and drive Priority Africa, has been limited. The Africa Department has been strengthened and has been playing an important role especially to enhance UNESCO's strategic focus in the region by, for instance, reinforcing the cooperation between UNESCO, the African Union and the Regional Economic Communities. At the same time, the Department does not have the capacities to fulfil its envisaged programmatic functions. Furthermore, the tendency to locate some programmatic functions for Africa within the Africa Department may lead to inefficiencies or duplication and the roles and responsibilities need to be clarified. In addition, the Intersectoral Platform (IP) on Priority Africa, in existence since 2008, has not been very effective in the past in designing and managing intersectoral programmes for the benefit of the region. Some progress has been noted recently.

9.   UNESCO's presence in Addis Ababa is essential to work closely with the African Union and the United Nations Economic Commission for Africa. However, due to currently insufficient staffing capacities, the Addis Ababa Office has not yet been able to fully assume its liaison function. In certain instances the Africa Department currently compensates for this.

RECOMMENDATIONS

10.   On the basis of the evaluation's findings, and taking into account the current budgetary constraints and the upcoming field reform in Africa, the evaluation recommends action along the following main themes:

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[2]   The entire set of findings and recommendations of the evaluation are presented in the report available on the IOS website.

1. **Strengthen capacities in the region**: Capacities will need to be increased by decentralizing posts, including through the implementation of UNESCO's Global Mobility Policy.

2. **Clarify roles and responsibilities**: Roles and responsibilities within the Organization regarding the coordination and monitoring of programmes and activities in the Africa region, results-reporting, and liaising with Member States and international organizations should be clarified.

3. **Increase resources decentralized to the region**, including through extrabudgetary funding.

4. **Enhance the strategic focus in the region**: implementation will need to include identification of regional priorities and their inclusion in the 37 C/4 strategy and 37 C/5 work plans, including alignment with AU, NEPAD, RECs, UNDAFs and cooperation with the United Nations. Comparative advantages of the Organization's role in the region as well as regional priorities should be identified.

5. **Improve the implementation rate of extrabudgetary projects.**

6. **Develop a vision and operational plan for the Africa region**: The overall goals, objectives, roles, responsibilities, modalities and targets for UNESCO's work in the region should be specified.

11. **Management response**: The Director-General strongly supports the Organization's work in Africa as a priority, and she is highly committed to this global priority. A number of initiatives are under way to strengthen the role of the Organization in Africa. The decentralization policy will start in Africa with the objective to be completed by 2013. Under this initiative more staff capacities will be located in Africa, under a multisectoral and regional structure. The reporting lines are being clarified and efforts are ongoing to strengthen our partnership strategy. The Africa Department's role has been strengthened for coordinating, monitoring, advocating and promoting programmes addressing specific development needs in Africa (ref. DG/Note/11/22 of 21 June 2011). These activities are expected to start yielding significant results, including through the support of Member States.

CATEGORY 2 INSTITUTES/CENTRES

12. Institutes and centres under the auspices of UNESCO (category 2 institutes) form an important part of UNESCO's network. A joint IOS audit and evaluation of the management framework for category 2 institutes concluded that these institutions contribute to the achievement of UNESCO's objectives and represent an important partnership model. The category 2 framework, as adopted by the 35th session of the General Conference, provides clear and constructive principles for engagement. Nevertheless, these principles need to be put into operation more effectively in several regards. Improvements are being introduced, most notably with the recent establishment of a Review Committee to:

- improve the screening of proposals and feasibility studies;

- provide a platform for sectors to learn and share experiences; and

- coordinate the renewal process, including a review of UNESCO's programme priorities and activities to ensure the continued relevance of all category 2 institutes and centres.

Specific conclusions of the IOS review, which are at different stages of implementation, centred around (i) finalizing sectoral strategies, (ii) more effective engagement, monitoring and reporting,

(iii) formalizing methodology for renewal and the review process, and arrangements for the feasibility study, and (iv) ensuring independent oversight at the centres.

REVIEW OF SECRETARIAT OF IOCARIBE

13.   At the request of the Intergovernmental Oceanographic Commission (IOC) Secretariat at Headquarters, IOS conducted a review of the Secretariat of IOCARIBE (a sub-commission of the IOC). The review was based on a desk study and staff and stakeholder interviews (including visits to Kingston and Cartagena). The review pointed out the Secretariat's shortage of technical staff as a key constraint, undermining the effectiveness and sustainability of its operations. An important recommendation of the review was that the IOCARIBE Secretariat be granted a trial period of two years to demonstrate enhanced performance, effectiveness and develop a strong basis for financial sustainability of its operations in the region, including through a fundraising effort. After the trial period, the future of the Secretariat should be determined on the basis of its achievements against a set of specific performance and effectiveness criteria and corresponding targets.

PART II – ONGOING EVALUATIONS

EVALUATION OF UNESCO'S EDUCATION CATEGORY 1 INSTITUTES/CENTRES

14.   This review responds to a commitment during the 36th session of the General Conference to undertake an internal evaluation of all Education Sector category 1 institutes to ensure that they contribute to UNESCO's education programme in an integrated way while maintaining their functional autonomy (36 C/18 Add., para. 7). The Education Sector has initiated a strategic reflection process on the role of category 1 institutes within the overall mandate of the Education Sector and the findings of the present review are intended to feed into this process.

15.   The review follows up on the implementation of the recommendations of the previous evaluation of these institutes conducted some six years ago and assists in the determination of the potential of category 1 institutes as key contributors to UNESCO's mandate in education. Data collection on the six institutes (IIEP, Paris; IBE, Geneva; UIL, Hamburg; IESALC, Caracas; IITE, Moscow; IICBA, Addis Ababa) is being finalized. Additional data collection on the recently established Mahatma Gandhi Institute for Peace and Sustainable Development in India is scheduled for early 2013 and will also feed into this exercise.

16.   The review is still ongoing but preliminary findings show that education category 1 institutes are found to be well-appreciated by external stakeholders for their specialized mandates which continue to be highly relevant in the post-MDG debate. The institutes' functional autonomy is considered one of their main assets, providing the required responsiveness and flexibility to deliver on their mandate. However, the institutes also face challenges to various degrees.

17.   In light of the Organization's increasing budgetary constraints, financial sustainability is a major concern for most of the institutes. This includes aspects such as extrabudgetary fundraising, finding the right balance between core funding and extrabudgetary resources, and obtaining a critical level of host country support. Another recurrent challenge is linked to assuring and maintaining a critical mass of expertise in the areas of the institutes' specialized mandates. The operational capacity of the six institutes varies considerably. The review will also seek to identify good practices in view of the institutes' governance and accountability arrangements, as well as results-based management practices. Finally, it will seek to identify opportunities for improving the quality of interaction and complementarity with Headquarters and other entities of the UNESCO family.

18.   The findings and recommendations of the review, together with a response from the Education Sector, will be presented to the respective governing bodies of the institutes in late 2012 and early 2013. The key findings and recommendations of the review will be presented to the

191st session of the Executive Board in the spring of 2013. Detailed summary reports for each institute, as well as the synthesis report, will be posted on the IOS website.

REVIEW OF THE PILOT PHASE OF THE INTERNATIONAL FUND FOR CULTURAL DIVERSITY (IFCD)

19.   The International Fund for Cultural Diversity (IFCD) was established under Article 18 of the 2005 Convention on the Protection and Promotion of the Diversity of Cultural Expressions (thereafter "the Convention") as a mechanism for parties to provide financial support for projects and programmes that aim to foster the emergence of dynamic cultural sectors in developing and least-developed countries that are parties to the Convention. The use of its resources is decided by the Intergovernmental Committee of the Convention on the basis of the Guidelines on the use of the resources of the International Fund for Cultural Diversity (hereafter "the Guidelines"), which was approved by the Conference of Parties at its Second Ordinary Session in June 2009.

20.   The Guidelines set out the objectives and the fields of activity of the IFCD and define its beneficiaries and the procedures for the submission, selection and approval of funding requests. Furthermore, the Guidelines stipulate that an evaluation of the management mechanisms of the IFCD must be carried out six months before the end of the 36-month long pilot phase of the IFCD. The Terms of Reference for a review of the pilot phase were approved by the Intergovernmental Committee at its Fifth Ordinary Session in December 2011 (Decision 5.IGC 7).

21.   The review, which has an evaluation and audit component, specifically seeks to determine to what extent (1) the provisions of the current Guidelines and the additional criteria adopted by the Committee have been successful in meeting the programmatic objectives of the Convention, achieving concrete and sustainable results, clarity and impact on the management of the pilot phase; (2) the management mechanisms put in place by the Secretariat were successful in ensuring effective implementation of the first two years of the pilot phase and supporting project output delivery. This part includes a review of the process for the submission, selection and approval of projects, the effectiveness of the projects funded, the financial accountability and sustainability, and other issues. The findings are to be submitted to the Convention's Intergovernmental Committee at Sixth 6th Ordinary Session in December 2012.

22.   This exercise will provide lessons learned and recommendations for the future direction of the IFCD and provide an input to the upcoming evaluation of UNESCO's normative work of the Culture Sector which will look at several culture conventions, including the 2005 Convention on the Protection and Promotion of the Diversity of Cultural Expressions.

PART III – EVALUATIONS AND AUDITS OF UNESCO's FIELD STRUCTURE AND NETWORK

INTRODUCTION

23.   One of the criteria for the implementation of UNESCO's decentralization reform is that field entities be subject to regular evaluations (35 C/Resolution 82 (II)). IOS conducts these evaluations and audits of UNESCO's field entities and provides biennial reports on the activities and results of decentralized bodies to the Executive Board. The previous such report (185 EX/6 Part V) presented the systemic issues that have a bearing on how UNESCO's field presence is structured and operated.

24.   During the 2010-2011 biennium and the first half of 2012 IOS conducted 21 field office audits and evaluations and again concluded that many field offices faced similar issues. The following table summarizes the current situation vis-à-vis the challenges identified and provides a general update on the progress achieved since the last report on those systemic issues.

SOME PROGRESS, BUT CHALLENGES REMAIN

CHALLENGE	STATUS OF IMPLEMENTATION
1. Developing and applying criteria for establishing and maintaining a field office	The field reform policy has been defined and elaborated by BFC including the revised basic criteria for the rational implementation of decentralization (36 C/27). Concrete implementation in certain cases is still to be decided.
2. Contributing to policy development	Some reflection is taking place in several field offices on how to take this issue forward. UCPDs have been developed in many offices that are instrumental in focusing on policy advisory work.
3. Increasing the level of experience and seniority of international staff	Some progress has been made in this area and there is some improvement in quality and seniority in this field. The current financial situation and the freezing of many posts may affect this. A new contractual modality for project appointments may help the Organization improve the expertise for extrabudgetary projects.
4. Adapting to United Nations reforms	Notable progress has been made in this area as field offices are for the most part active participants in United Nations Country Teams, UNDAF processes and Delivering as One initiatives.
5. Developing resource mobilization strategies	With a number of notable exceptions, limited progress has been achieved. UCPDs are being used as resource mobilization tools in some countries. Some programmes have also undertaken initiatives to develop resource mobilization strategies. Better guidance and a clearer formulation of expectations for resource mobilization could further assist in this regard.
6. Communication of results	While more progress can be made, a significant improvement in compliance with reporting in SISTER that supports the EX/4 and C/3 was noted.
7. Development of exit strategies	Some progress can be observed for extrabudgetary projects. In addition, at the policy level and in the allocation of funding for work plans in the current document 36 C/5 there are signs of prioritization as well as gradual descaling from specific programme areas.
8. Clarifying reporting lines	Reporting lines present ongoing challenges in the implementation of the new field office reform. Liaison Offices' reporting lines were clarified to improve effectiveness and accountability.
9. Improving human resource management	Some progress has been made, as the Roadmap urges a higher proportion of human resources to be transferred to the field. However, the current financial situation and the resulting frozen vacancies are creating additional challenges.
10. Improving specific control monitoring and RBM practices	Progress has been made as control self-assessments by field offices are heightening awareness of their responsibilities. Field offices are also now equipped with SAP, MM and Sharepoint which has helped strengthen controls. Reporting to donors on extrabudgetary projects is also ongoing. Compliance with SISTER has increased.

PART IV – IOS RECOMMENDATIONS WHICH IMPACT UNESCO's POLICIES AND STRATEGIES

25.   Further to 189 EX/Decision 16, paragraph 11, the number of open recommendations, as well as high impact recommendations resulting from earlier evaluations, are presented in the annex to this report. Since 2009, IOS evaluations have produced 153 recommendations of which 45 remain open.

PROPOSED DECISION

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

The Executive Board,

1.   Recalling 182 EX/Decision 6 (Annex paragraph 10), 35 C/Resolution 82(II), 186 EX/Decision 6 (VI) and 189 EX/Decision 16 paragraph 11,

2.   Having examined document 190 EX/5 Part II,

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

ANNEX

OUTSTANDING HIGH IMPACT EVALUATION RECOMMENDATIONS

No.	Evaluation Title	Main Responsible Unit	Executive Board to which report submitted or Year Published	Total No. of Open Recs	Key high-impact recommendations still outstanding[3]	Actions taken to date
1	Leveraging scientific knowledge for the benefit of the environment and the management of natural resources (SPO 3)	SC	182 EX/24 (Sept 2009)	3	No high-impact recommendations requiring Executive Board consideration	
2	Fostering policies and capacity-building in science, technology and innovation (SPO 4)	SC	184 EX/6 (Feb 2010)	2	Develop a clear strategic vision on fostering policies and capacity-building in STI.	First draft of the vision document developed but will be further revised to integrate new programmes related to basic sciences.The vision document will be finalized in the context of the science-policy interface announced by the Director-General at UNCSD, by which the United Nations Secretary General called upon UNESCO to take the lead in the implementation of the Global Sustainability Panel Report and the Future Earth Initiative, both announced in spring 2012.
3	Contributing to disaster preparedness and mitigation (SPO 5)	SC	185 EX/6 (Sept 2010)	8	No high-impact recommendations requiring Executive Board consideration.	

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[3]   The recommendations are abbreviated and the full recommendations can be found in the evaluations reports posted on the IOS website.

4	Strengthening the contribution of culture to sustainable development; demonstrating the importance of exchange and dialogue among cultures to social cohesion and reconciliation in order to develop a culture of peace (SPO 9 &10)	CLT	186 EX/6 (April 2011)	2	CLT needs to reconsider terms of engagement vis-à-vis the Award of Excellence in Handicrafts in the context of empowering and building the capacity and sustainability of its national and regional partners so that they may administer and manage the awards to the advantage of their stakeholders.	Regional and subregional reviews of impact and sustainability of the programme 10 years after its inception were conducted by Bangkok Office, and plan to be replicated in other regions. *(As of latest update, submitted September 2011.)*
5	Enhancing universal access to information and knowledge; fostering pluralistic free and independent media and infostructures (SPO 12 & 13)	CI	185 EX/6 (Sept 2010)	4	Reconsider IFAP, its goals and objectives, and its alignment with CI Regular Programme and WSIS follow-up.	Review process is under way, including online questionnaire for stakeholders; results will be discussed at the Executive Board spring 2013 session.
6	Evaluation of the Abdus Salam International Centre for Theoretical Physics	SC	187 EX/6 (Sept 2011)	5	No high impact recommendations requiring Executive Board consideration.	
7	Review of the cooperation of UNESCO's Secretariat with National Commissions for UNESCO	ERI	189 EX/Dec. 16 (Mar 2012)	6	The Executive Board at its last session (March 2012) endorsed the setting-up of an open-ended tripartite working group composed of representatives of Permanent Delegations, National Commissions and the Secretariat to follow up on the IOS review of the cooperation of UNESCO's Secretariat with National Commissions and requested that the forthcoming regional consultations of Member States and National Commissions produce proposals concerning the remit and terms of reference of this working group.	A document on the remit and terms of reference of this working group will be submitted to the 190th session of the Executive Board (190 EX/37).

8	Evaluation of UNESCO Prizes	ERI	189 EX/6 (Feb 2012)	1	Develop new Prizes strategy.	A revised Prizes Strategy (190 EX/17) will be presented to the 190th session of the Executive Board.
9	Desk review of UNESCO Culture Sector's work on intercultural dialogue	CLT	189 EX/6 (Feb 2012)	9	Reconsider the Slave Route project and develop proposals for a new generation of initiatives, building on the Slave Route achievements. Reconsider the Plan Arabia. Explore funding options for project 1, the Anthology.	ADG/CLT established an intersectoral task force in February 2012, co-chaired with ADG/AFR to review progress to date and propose orientations, including a fundraising strategy, for the future of the Slave Route project in the context of planning document 37 C/4 (2014-2021) and document 37 C/5. The International Scientific Committee is represented on this task force.
10	Reinforcement of results-based monitoring and reporting, in particular C/3	BSP + Sectors	35 C/3 36 C/3	5	No high-impact recommendations requiring Executive Board consideration.	A time-bound action plan for implementing the recommendations will be presented to the Executive Board at its 190th session.
			TOTAL	**45**		

PARIS, 13 August 2012
Original: English

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

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

PART III

MANAGEMENT ISSUES

SUMMARY

The purpose of this document is to inform the Members of the Executive Board of the progress achieved in the follow-up to the decisions and resolutions adopted by the Board and the General Conference at their previous sessions.

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

A. Annual report (2011) by the International Civil Service Commission (ICSC): Report by the Director-General

Article 17 of ICSC's Statute provides that "(ICSC) shall submit an annual report to the General Assembly including information on the implementation of its decisions and recommendations. The report shall be transmitted to Governing Organs of the other Organizations through their Executive Heads".

In 114 EX/Decision 8.5, the Executive Board approved a proposal by the Director-General to submit all future ICSC annual reports to the Executive Board at the Spring session following publication of the report, and subsequently endorsed by the General Conference in 22 C/Resolution 37.

Furthermore, the General Conference in 36 C/Resolution 95 invited the Director-General to report to the Executive Board about measures adopted either by the General Assembly or ICSC before its 37th session.

The present document submits ICSC's 2011 report to the Executive Board for information and describes the measures affecting UNESCO staff which have been implemented following ICSC's recommendations and the adoption of General Assembly Resolution A/Res/66/235.

The financial and administrative implications of the reported activities fall within the parameters of the current 36 C/5 (see paragraphs 44 to 46).

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

B. Implementation of the Participation Programme and emergency assistance

Pursuant to 36 C/Resolution 69 (II), paragraphs 2 (c) and 3, adopted by the General Conference, the Director-General submits to the Executive Board a report on requests approved under the Participation Programme and emergency assistance for 2012-2013, including those submitted by international non-governmental organizations (NGOs) which maintain official partnerships with UNESCO and indicating the amounts approved to finance them. The lists are posted online at **http://unesdoc.unesco.org/images/0021/002171/217131m.pdf**.

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

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

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

C. Possibility of Open Access policy for all UNESCO publications

This document outlines UNESCO's plan to implement an Open Access policy for its own publications. Open Access policy envisages that, as the rights holder, UNESCO grants worldwide irrevocable right of access to copy, use, distribute, transmit, and make derivative works in any format within certain constraints.

The present document has financial implications that do not fall within the parameters of the present C/5 document.

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

D. Running costs of the management of the governing bodies.

No decision is proposed.

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**A.   Annual report (2011) by the International Civil Service Commission (ICSC):
Report by the Director-General**
(Follow-up to 114 EX/Decision 8.5, 22 C/Resolution 37, 35 C/Resolution 92)

Introduction

1.   The **thirty-seventh annual report of ICSC (2011)** contains measures which affect the conditions of service of United Nations Common System staff. The General Assembly examined this report and recommendations during its 66th session and approved resolution A/Res/66/235 in December 2011 (set out in Annex I).

2.   These measures were applied to staff in UNESCO in accordance with 36 C/Res 95, which "authorizes the Director-General to continue to apply to the staff of UNESCO measures … which might be adopted either by the United Nations General Assembly or, by virtue of the authority conferred upon it, the ICSC".

A.   Conditions of service applicable to both categories of staff

(i)   Review of the level of the Mobility and Hardship (M&H) allowance

3.   The M&H allowance is designed to encourage operationally-needed staff mobility between duty stations and to compensate staff for the difficult living and working conditions that they may face when assigned to some locations.

4.   The M&H allowance comprises three elements:

- *Mobility* – recognizes geographical reassignment of staff from one duty station to another, for a period of one year or more.

- *Hardship* – assesses the overall quality of life at a duty station, taking account of local conditions of safety and security, health care, education, housing, climate, isolation and availability of basic amenities.

- *Non-removal* – compensates staff not entitled to full removal of household goods and who effect a limited shipment of personal effects on appointment/transfer.

The *additional Hardship Allowance* is also payable to staff members serving in non-family duty stations. These duty stations are designated by the ICSC Chairman and comprise locations where the United Nations Department of Safety and Security (DSS) decides that for reasons of safety and security, eligible family dependents are restricted from being present at the duty station for a period of six months or longer.

5.   ICSC decided to increase the payments for each of these elements by 2.5% from 1 January 2012. The revised amounts are set out in Annex II.

6.   ICSC maintained the current five-year ceiling on the payment of mobility allowances in the same duty station, but decided to allow, in the exceptional cases of staff who remained in the same duty station at the explicit request of an Organization, or for compelling humanitarian reasons, payment of the mobility allowance for a maximum period of one additional year, that is, for an overall period of six years.

Follow-up action

7.   The new provision for payment of the mobility allowance, and the revised amounts, were implemented in UNESCO with effect from 1 January 2012.

(ii) Introduction of Danger Pay (to replace hazard pay)

8.   Hazard pay was an allowance payable to international and locally recruited staff required to work in locations where very dangerous conditions prevail.

9.   ICSC decided to discontinue the hazard pay allowance and to introduce <u>danger pay</u> on the basis of new criteria, which will reduce the number of eligible locations (see Annex III). Danger pay is paid monthly for each day spent at the duty station and is also payable for up to seven consecutive calendar days spent away from the duty station on Rest and Recuperation travel or official duty travel. Danger pay is authorized by the Chairman of ICSC for periods of three months at a time.

10.   ICSC set the level of danger pay for international professional staff at $1,600 per month. It also decided, pending a review, and as an interim measure, to set danger pay for locally recruited GS and NPO staff at 25% of the mid-point of the prevailing GS net salary scale for the duty stations concerned.

11.   The changes were planned for January 2012. But to allow DSS more time to review duty stations against the new criteria, implementation was delayed until April 2012.

Follow-up action

12.   The new danger pay allowance was introduced on 1 April 2012. On the basis of the revised criteria set out in Annex III, staff in UNESCO's Kabul Office were eligible for the new allowance at the time this document was prepared.

(iii) Performance management

13.   The Commission concluded its review of its performance management framework. This set out a number of *enablers* to be considered by organizations if performance management was to be successfully implemented, which included a results oriented culture in which staff understood what they were required to do and were given the opportunity to make decisions about their work, and a system of governance where staff are managed through fair and transparent processes. With respect to financial rewards and merit steps, the Commission decided to postpone its discussion on the use of merit steps to a later session.

Follow-up action

14.   UNESCO will be reviewing its performance management framework starting in 2013 in the context of the implementation of the HR Management Strategy for 2011-16. The review will take account of the new framework promulgated by ICSC.

(iv) Education grant: minimum age for receipt of grant

15.   Under existing provisions, the child of a staff member in full-time attendance at a primary or higher level educational institution is eligible for an education grant. Education is deemed primary if the child was 5 years of age or more at the start of the school year or if the child reached the age of 5 within three months of the start of the school year. ICSC recommended a change in the eligibility requirements in the exceptional case where the laws at specific locations mandate an earlier start of formal education.[1] This amendment came into effect in the academic year in progress on 1 January 2012.

Follow-up action

16.   The new provision was introduced in UNESCO with effect 1 January 2012.

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[1]   This was the case, for instance, for public schools in the Geneva canton of Switzerland.

B.   Conditions of service of the Professional and higher categories

(i)   Identifying the highest paying civil service

17.   The conditions of service of international professional staff are established on the basis of the "**Noblemaire**" principle, which states that the international civil service should be able to recruit staff from all its Member States, including the highest paid.

18.   ICSC launched a study in 2010 to compare the compensation packages of national civil services which could potentially replace the current comparator used in the United Nations Common System – the United States Federal Civil Service. Possible comparator national civil services are selected on the basis of established criteria and compared, initially in terms of net cash compensation and, if required, in terms of total compensation. 10 national civil services were selected for study: Australia, Belgium, Canada, France, Germany, the Netherlands, Norway, the Republic of Korea, Spain and the United Kingdom.

19.   The initial study showed that the current comparator was paying the highest level of cash compensation and that the differences with other civil services were too large to be offset by other compensation elements. The Commission decided, therefore, that phase II of the study would not proceed (comparison of total compensation); and that the current comparator (United States Federal Civil Service) would be retained.

(ii)   Base/floor salary scale and review of staff assessment

20.   The United States Federal Civil Service had implemented a pay freeze during 2011, although the net pay of comparable staff had increased by 0.13% in 2011 as a result of slight changes in federal taxes. The Commission, therefore, decided to recommend a 0.13% increase in the net base salary scale of United Nations Professional and higher category staff, with effect 1 January 2012. This would be introduced on the usual *no loss, no gain* basis, where increases in the net salary scale are offset by a reduction in Post Adjustment, leaving the net salaries of staff unchanged. However, these changes increase slightly the level of the repatriation grant and of termination indemnities.

21.   Staff assessment is a form of internal tax administered by Organizations. The base salary scale is established in gross: by deducting staff assessment from the gross amount, at single or dependent rate, the net salary scale is obtained. Staff are paid on the basis of the <u>net</u> salary scale.

22.   In order to address surpluses in the Tax Equalization Fund, the Commission revised downwards the staff assessment rates used in the calculation of net base salaries of Professional and higher category staff from 1 January 2012. This does not affect the take-home pay of the staff concerned, who are paid against the appropriate net base salary scale.

Follow up action

23.   The new salary scale was implemented in UNESCO on 1 January 2012 (Annex 4).

(iii)   Evolution of the United Nations/United States net remuneration margin

24.   The General Assembly has often reaffirmed a margin between net remuneration of United Nations Professional and higher categories staff and comparable United States federal staff in the range 110 to 120, with a desirable midpoint of 115, on the understanding that this is maintained at a level around the desirable midpoint over a period of time.

25.   The Commission estimated the margin for the period 1 January to 31 December 2011 at 114.9, with a 5-year (2007-2011) average of 114.1.

(iv) Survey and report on diversity in the United Nations Common System

26.   Further to a request by the General Assembly, the Commission reviewed measures taken by organizations concerning implementation of Article 101 of the United Nations Charter.[2]

27.   The Commission noted that organizations had implemented a variety of policies to create diversified workforces, including gender parity, employment of individuals with disabilities, HIV/Aids awareness and geographical balance. It reiterated its view that professional qualifications were the paramount consideration in employment of staff, who were key to the capacity of organizations to deliver on their mandates. It reaffirmed support for the Young Professionals programme, recruiting missions and recruitment through competitive examinations; and decided that studies would be conducted into recruitment practices in Organizations with a view to identifying any barriers to obtaining wider geographical representation.

Follow up action

28.   UNESCO is reviewing its recruitment policy and practices in 2012, in the context of implementation of the HR Management Strategy for 2011-16, and will take account of ICSC's report.

(v) Level of Post Adjustment in Paris

29.   In accordance with the approved methodology, ICSC carries out an annual review of Post Adjustment to check that international Professional salaries in duty stations away from New York (i.e. the base of the salary system) have the same purchasing power as those received by equivalent staff in New York; and to make adjustments, where necessary.

30.   ICSC's review in April 2012 indicated that staff in Paris required an increase in post adjustment of 5.4% to re-establish purchasing power parity with New York: this can largely be attributed to the significant fall in the euro against the US dollar since the previous review in April 2011.

31.   ICSC also increased the level of post adjustment for Italy (affecting Venice, Perugia and Trieste offices) and Montreal (UIS) by 4.8% and 3.5% respectively in April 2012 as part of the annual review.

Follow up action

32.   The new post adjustment index for Paris was implemented in April 2012.

Conditions of service of GS and other locally recruited categories

(i) Review of GS salary survey methodology

33.   In accordance with Article 11 of its statute, the Commission reviewed the Headquraters and non-Headquarters methodologies for the surveys of best prevailing conditions of employment following the last round of Headquarters surveys.

34.   The Commission decided that salary movements' data bought from specialist firms could be used if the required minimum number of employers could not be surveyed. If necessary, salary movement data will be combined with data from the surveyed employers to determine the final adjustment to apply to the salary scales.

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[2]   In particular Para 3, Article 101 of the Charter, which reads "The paramount consideration in the employment of the staff and in the determination of the conditions of service shall be the necessity of securing the highest standards of efficiency, competence, and integrity. Due regard shall be paid to the importance of recruiting the staff on as wide a geographical basis as possible."

35.   The General Assembly had asked the Commission, when reviewing the GS survey methodologies, to give higher consideration to the national civil service among the retained employers. The Commission decided that the Ministry of Foreign Affairs, or its equivalent, should be used to represent the national civil service; and that this employer would, in future, receive a higher weight in the overall analysis.

36.   The Commission also agreed to change the periodicity with which the surveys were conducted. Under the present methodologies, the periodicity of surveys was five years (Headquarters) and three to five years (non-Headquarters). The Commission decided that the periodicity for Headquarters surveys would be eight to 10 years, and for non-Headquarters surveys every five years.

Follow up action

37.   The next GS salary survey in Paris will take place in September 2012, on the basis of the new methodology. The Commission will approve the results in Spring 2013, which will be submitted to the Executive Board.

(ii)   Changes in salaries and allowances at Headquarters

38.   The methodology for setting GS salaries provides a mechanism for adjusting pay in the years between comprehensive salary surveys; such interim increases are based on the changes in two salary indices produced by the Ministère français du Travail, de l'Emploi, de la Formation professionnelle et du Dialogue social. Consequently, the Director-General approved an increase of 2.05%, effective 1 October 2011, in the net salaries of GS staff in Paris, and related increases in pensionable pay and language allowances. The revised salary scales in Paris are in Annex V, while the language allowances payable are as follows:

–   A first language allowance of €1,871 per year. A second language allowance of €935 per year is also payable.

Follow up action:

39.   The new salary scale and allowances were implemented on 1 October 2011.

D.   Conditions of service in the field

(i)   Harmonization of the conditions of service for staff serving in non-family duty stations in the common system

Rest and Recuperation framework

40.   The Commission agreed a revised framework for granting Rest and Recuperation breaks, and the corresponding frequencies (see Annex 6). This was originally to be implemented on 1 January 2012, although this was subsequently delayed until the summer of 2012.

41.   For the purposes of interpreting the revised framework, and for determining related allowances in non-family duty stations, ICSC decided:

(a)   To adopt the following definition for designating non-family duty stations:

The Chairman of the International Civil Service Commission may designate a duty station as a non-family duty station for the purposes of the additional hardship allowance for service in non-family duty stations. This will apply to those duty stations where the United Nations Department of Safety and Security decides that for reasons of safety and security all eligible dependents are restricted from being present at the duty station for a period of six months or

longer. The additional hardship allowance is payable to internationally recruited staff assigned to non-family duty stations;

(b)   To delegate to the Chairman of ICSC the authority to decide when to declare a duty station non-family, after consultation with the ICSC Working Group for the Review of Conditions of Life and Work in Field Duty Stations.

42.   In addition, ICSC decided to recommend to the General Assembly that the period of authorized absence on Rest and Recuperation breaks would be five consecutive <u>calendar</u> days, plus approved travel time.

Follow up action

43.   UNESCO's policy on Rest and Recuperation on authorized absence was already in line with the revised ICSC framework. Revisions to the list of duty stations qualifying for Rest and Recuperation breaks, and the corresponding frequencies of travel, will be implemented as soon as they are promulgated by ICSC.

Financial and administrative implications

44.   The measures described above were implemented in the STEPS payroll system, within the available budgetary provisions in the 36 C/5.

45.   The new Rest and Recuperation framework and the replacement of hazard pay by danger pay may result in a reduction in actual costs, although the overall financial impact should be minimal as UNESCO has few staff serving in these duty stations.

46.   Any extra costs will be covered within existing budget provisions.

Proposed decision

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

The Executive Board,

1.   <u>Recalling</u> 114 EX/Decision 8.5 and 22 C/Resolution 37, and 36 C/Resolution 95,

2.   <u>Having examined</u> document 190 EX/5 Part III (A),

3.   <u>Takes note</u> of its content;

4.   <u>Invites</u> the Director-General to continue to ensure UNESCO's participation in the work of the International Civil Service Commission (ICSC) and to take into account its report.

United Nations

General Assembly

Sixty-sixth session
Agenda item 141

Resolution adopted by the General Assembly

[*on the report of the Fifth Committee (A/66/644)*]

66/235. United Nations common system: report of the International Civil Service Commission

The General Assembly,

Recalling its resolutions 44/198 of 21 December 1989, 51/216 of 18 December 1996, 52/216 of 22 December 1997, 53/209 of 18 December 1998, 55/223 of 23 December 2000, 56/244 of 24 December 2001, 57/285 of 20 December 2002, 58/251 of 23 December 2003, 59/268 of 23 December 2004, 60/248 of 23 December 2005, 61/239 of 22 December 2006, 62/227 of 22 December 2007, 63/251 of 24 December 2008, 64/231 of 22 December 2009 and 65/248 of 24 December 2010,

Having considered the report of the International Civil Service Commission for 2011,[1]

Reaffirming its commitment to a single, unified United Nations common system as the cornerstone for the regulation and coordination of the conditions of service of the common system,

Reiterating the importance of maintaining and strengthening the salaries, allowances and personnel standards of the organizations of the United Nations common system,

Convinced that the United Nations common system constitutes the best instrument through which to secure staff with the highest standards of efficiency, competence and integrity for the international civil service, as stipulated in the Charter of the United Nations,

1. *Takes note with appreciation* of the work of the International Civil Service Commission;

2. *Takes note* of the report of the Commission for 2011;[1]

3. *Encourages* the Commission to continue to coordinate and regulate the conditions of service of staff of the organizations of the United Nations common

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[1] *Official Records of the General Assembly, Sixty-sixth Session, Supplement No. 30* (A/66/30 and Corr.2).

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A/RES/66/235

system, bearing in mind the limitations imposed by Member States on their national civil services;

4.   *Reaffirms* the role of the General Assembly in approving conditions of service and entitlements for all staff serving in the organizations of the United Nations common system, bearing in mind articles 10 and 11 of the statute of the Commission;[2]

5.   *Recalls* articles 10 and 11 of the statute of the Commission, and reaffirms the central role of the Commission in regulating and coordinating conditions of service and entitlements for all staff serving in the organizations of the United Nations common system;

A.   Conditions of service applicable to both categories of staff

1.   Mobility and hardship scheme

1.   *Recognizes* the hardship conditions under which staff members are often required to perform their official duties and the disruption that operationally required mobility may impose on staff;

2.   *Endorses* the decisions of the Commission relating to the mobility and hardship scheme as contained in paragraph 38 of its report;[1]

3.   *Reaffirms* the importance of mobility as a means of developing a more versatile, multi-skilled and experienced international civil service that is capable of fulfilling complex mandates, and requests the Commission to provide an overview of the different existing mobility schemes in the organizations of the United Nations common system;

4.   *Takes note* of the decisions of the Commission contained in paragraph 47 of its report and annex III thereto, and decides, with effect from 1 January 2012, that a 2.5 per cent increase shall be granted for the hardship, mobility and non-removal allowances, while the additional non-family hardship elements for staff serving in non-family duty stations shall be adjusted by the same percentage;

5.   *Also takes note* of the conclusions of the Commission with respect to the establishment of danger pay as contained in paragraph 59 of its report;

6.   *Further takes note* of paragraph 56 of the report of the Commission regarding the United Nations system-wide financial implications of the establishment of danger pay;

2.   Performance management

Recalling its resolutions 51/216 and 63/251,

Recognizing the differing organizational strategies and cultures prevailing in the United Nations common system, and considering that a flexible approach to performance management would be desirable,

1.   *Welcomes with appreciation* the work of the Commission with regard to the performance management framework, which would assist organizations of the United Nations common system in securing and retaining staff of the highest standard of efficiency, competency and integrity as stipulated in the Charter;

_____
[2] Resolution 3357 (XXIX), annex.

2.   *Notes* that the Commission will continue its work on rewards and incentives, and requests it to take the lead in analysing new approaches in human resources management;

3.   *Approves* the performance management framework contained in annex IV to the report of the Commission,[1] which should be taken into account by the organizations of the United Nations common system in furthering their policies on this matter, and requests the Commission to report to the General Assembly at its sixty-eighth session on the implementation by the organizations of measures taken in response to the recommendations of the Commission;

4.   *Recalls* paragraph 90 of the report of the Commission, notes the intention of the Commission to consider the use of merit steps, and requests the Commission to report on its conclusion to the General Assembly at its sixty-seventh session;

3.   Education grant methodology

1.   *Endorses*, with effect from the school year in progress on 1 January 2012, the amendment to the current eligibility requirements for the receipt of the education grant, as contained in paragraph 96 (*a*) of the report of the Commission;[1]

2.   *Invites* the governing bodies of the organizations of the United Nations common system to harmonize the education grant eligibility criteria with respect to the minimum age, as specified in paragraph 96 (*a*) of the report of the Commission;

B.   Conditions of service of staff in the Professional and higher categories

1.   Post adjustment matters

Recalls paragraphs 103 and 123 of the report of the Commission[1] and paragraph 2 of section I.A of its resolution 51/216, and requests the Commission to explore the feasibility and suitability of possible measures to reflect in the administration of the post adjustment system the pay freeze of the comparator civil service; to determine whether the implementation of such measures falls under its authority; to exercise such authority, as appropriate; and to report thereon to the General Assembly at its sixty-seventh session;

2.   Base/floor salary scale

Recalling its resolution 44/198, by which it established a floor net salary level for staff in the Professional and higher categories by reference to the corresponding base net salary levels of officials in comparable positions serving at the base city of the comparator civil service (the United States federal civil service),

1.   *Approves*, with effect from 1 January 2012, as recommended by the Commission in paragraph 120 (*a*) of its report,[1] the revised base/floor salary scale of gross and net salaries for staff in the Professional and higher categories, as contained in annex V.A to the report;

2.   *Also approves*, with effect from 1 January 2012, as recommended by the Commission in paragraph 120 (*b*) of its report, the revised rates of staff assessment used in conjunction with gross base salaries for the Professional and higher categories of staff, as contained in annex V.B to the report;

3.   *Endorses* the decision of the Commission, stated in paragraph 121 of its report, to review the staff assessment rates used in conjunction with gross salaries every three years, for revision as appropriate;

3.   Evolution of the margin

Recalling section I.B of its resolution 51/216 and the standing mandate from the General Assembly, in which the Commission is requested to continue its review of the relationship between the net remuneration of United Nations staff in the Professional and higher categories in New York and that of the comparator civil service (the United States federal civil service) employees in comparable positions in Washington, D.C. (referred to as "the margin"),

1.   *Reaffirms* that the range of 110 to 120 for the margin between the net remuneration of officials in the Professional and higher categories of the United Nations in New York and officials in comparable positions in the comparator civil service should continue to apply, on the understanding that the margin would be maintained at a level around the desirable midpoint of 115 over a period of time;

2.   *Notes* that the margin between net remuneration of the United Nations staff in grades P-1 to D-2 in New York and that of officials in comparable positions in the United States federal civil service in Washington, D.C., for the period from 1 January to 31 December 2011 is estimated at 114.9 and that the average margin level for the past five years (2007–2011) stands at 114.1;

4.   Identification of the highest paid national civil service

Takes note of the decision of the Commission contained in paragraph 106 of its report[1] to terminate its current Noblemaire study to identify the highest paid national civil service and to undertake the next study in 2016;

5.   Diversity in the United Nations common system

1.   *Notes* the status of geographical distribution in the organizations of the United Nations common system and actions being taken by the organizations to achieve equitable geographical balance;

2.   *Endorses* the decision of the Commission to conduct studies on recruitment policies and to revert to discussing the issue with recommended measures that would be more favourable to diversity;

3.   *Requests* the Commission, when preparing proposals on measures for diversity in the United Nations common system, to bear in mind that the paramount consideration in the employment of staff is professional qualifications, which are key to the capacities of the organizations to deliver on their mandates;

C.   Conditions of service in the field

1.   Harmonization of the conditions of service of staff of the organizations of the United Nations common system serving in non-family duty stations

1.   *Recalls* section C of its resolution 65/248, and requests the Commission, in the context of its annual report, to report to the General Assembly on the implementation of its decisions regarding the harmonization of the conditions of service in non-family duty stations during the transition period;

2.   *Requests* the Commission and the Secretary-General, as Chair of the United Nations System Chief Executives Board for Coordination, to give due regard to the process of timely implementation of its decisions on the harmonization of the conditions of service of staff of the organizations of the United Nations common system serving in non-family duty stations;

4

2.   Rest and recuperation framework

Recalling paragraph 19 of section C of its resolution 65/248, requesting the Commission to regulate the rest and recuperation framework,

Approves, with effect from 1 January 2012, the revised set of criteria for the granting of rest and recuperation travel and the corresponding frequencies of travel as contained in paragraph 238 and annex VIII of the report of the Commission.[1]

93rd plenary meeting
24 December 2011

ANNEX II

Mobility Allowance
Effective from 1 January 2012

<div align="right">(annual amounts in USD)</div>

P-1 to P-3					**P-1 to P-3**			
Dependency Status					**Single Status**			
		Number of assignments				**Number of assignments**		
Duty station category	**1**	**2-3**	**4-5-6**	**7+**	**1**	**2-3**	**4-5-6**	**7+**
H	-	-	2 700	3 370	-	-	2 020	2 520
A	-	7 130	9 640	13 010	-	5 350	7 240	9 760
B	-	7 130	9 640	13 010	-	5 350	7 240	9 760
C	-	7 130	9 640	13 010	-	5 350	7 240	9 760
D	-	7 130	9 640	13 010	-	5 350	7 240	9 760
E	-	7 130	9 640	13 010	-	5 350	7 240	9 760

P-4 to P-5					**P-4 to P-5**			
Dependency Status					**Single Status**			
		Number of assignments				**Number of assignments**		
Duty station category	**1**	**2-3**	**4-5-6**	**7+**	**1**	**2-3**	**4-5-6**	**7+**
H	-	-	3 060	3 830	-	-	2 310	2 870
A	-	8 200	11 070	14 940	-	6 160	8 310	11 210
B	-	8 200	11 070	14 940	-	6 160	8 310	11 210
C	-	8 200	11 070	14 940	-	6 160	8 310	11 210
D	-	8 200	11 070	14 940	-	6 160	8 310	11 210
E	-	8 200	11 070	14 940	-	6 160	8 310	11 210

D-1 and above					**D-1 and above**			
Dependency Status					**Single Status**			
		Number of assignments				**Number of assignments**		
Duty station category	**1**	**2-3**	**4-5-6**	**7+**	**1**	**2-3**	**4-5-6**	**7+**
H	-	-	3 440	4 310	-	-	2 580	3 230
A	-	9 270	12 520	16 900	-	6 950	9 390	12 670
B	-	9 270	12 520	16 900	-	6 950	9 390	12 670
C	-	9 270	12 520	16 900	-	6 950	9 390	12 670
D	-	9 270	12 520	16 900	-	6 950	9 390	12 670
E	-	9 270	12 520	16 900	-	6 950	9 390	12 670

Hardship Allowance						
Effective 1 January 2012						
						(annual amounts in USD)
	P-1 to P-3		**P-4 and P-5**		**D-1 and above**	
Duty station category	**Dependency status**	**Single status**	**Dependency status**	**Single status**	**Dependency status**	**Single status**
H	-	-	-	-	-	-
A	-	-	-	-	-	-
B	5 810	4 360	6 970	5 230	8 140	6 100
C	10 470	7 840	12 780	9 590	15 110	11 340
D	13 950	10 470	16 280	12 210	18 590	13 950
E	17 440	13 080	20 920	15 690	23 250	17 440

Non-removal Allowance						
Effective 1 January 2012						
						(annual amounts in USD)
	P-1 to P-3		**P-4 and P-5**		**D-1 and above**	
Duty station category	**Dependency status**	**Single status**	**Dependency status**	**Single status**	**Dependency status**	**Single status**
H	2 150	1 620	2 700	2 020	3 230	2 420
A	2 150	1 620	2 700	2 020	3 230	2 420
B	2 150	1 620	2 700	2 020	3 230	2 420
C	2 150	1 620	2 700	2 020	3 230	2 420
D	2 150	1 620	2 700	2 020	3 230	2 420
E	2 150	1 620	2 700	2 020	3 230	2 420

Additional Hardship Allowance for service in non-family duty stations		
Effective 1 January 2012		
Group 1 (P-1 to P-3)	**Group 2 (P-4 and P-5)**	**Group 3 (D-1 and above)**
With dependant 17 440	20 920	23 250
Single 6 540	7 845	8 720

ANNEX III

DANGER PAY: DEFINITION AND CRITERIA

Danger pay is a non-pensionable allowance payable to staff members who are required to work in duty stations where very dangerous conditions prevail. The Chairman of the International Civil Service Commission (ICSC) is responsible for authorizing the application of danger pay to a duty station based on the recommendations from the **United Nations Department of Safety and Security (DSS)** and WHO.

The duty stations where very dangerous conditions prevail comprise the following:

(a)   duty stations where United Nations staff members owing to the very fact of their association with, or employment by, an organization of the United Nations Common System, are clearly, persistently and directly targeted or where premises are clearly, persistently and directly targeted, thus presenting an imminent and constant threat to staff and activities;

(b)   duty stations where United Nations staff or premises are at high risk of becoming collateral damage in a war or active armed conflict;

(c)   non-protected environments where medical staff are specifically at risk to their life when deployed to deal with public health emergencies as declared by WHO.

ANNEX IV

Salary scale for staff in the Professional category and above, showing annual gross salaries and net equivalents after deduction of staff assessment

(in US dollars – effective from 1 January 2012)

	Grade	1	2	3	4	5	6	7	8	9	10	11	12	13	14	15
DDG	**Gross**	**189 349**														
	Net Dependant	146 044														
	Net Single	131 432														
ADG	**Gross**	**172 071**														
	Net Dependant	133 950														
	Net Single	121 297														
D-2	**Gross**	**141 227**	**144 223**	**147 221**	**150 227**	**153 351**	**156 476**									
	Net Dependant	112 096	114 283	116 471	118 659	120 846	123 033									
	Net Single	102 981	104 827	106 666	108 500	110 329	112 147									
D-1	**Gross**	**129 047**	**131 678**	**134 304**	**136 936**	**139 568**	**142 197**	**144 830**	**147 459**	**150 093**						
	Net Dependant	103 204	105 125	107 042	108 963	110 885	112 804	114 726	116 645	118 565						
	Net Single	95 394	97 062	98 728	100 388	102 047	103 702	105 349	106 996	108 638						
P-5	**Gross**	**106 718**	**108 955**	**111 195**	**113 430**	**115 670**	**117 905**	**120 147**	**122 384**	**124 622**	**126 860**	**129 099**	**131 336**	**133 575**		
	Net Dependant	86 904	88 537	90 172	91 804	93 439	95 071	96 707	98 340	99 974	101 608	103 242	104 875	106 510		
	Net Single	80 734	82 186	83 633	85 079	86 524	87 963	89 402	90 838	92 272	93 703	95 132	96 556	97 981		
P-4	**Gross**	**87 933**	**89 929**	**91 924**	**93 919**	**95 916**	**97 910**	**99 908**	**102 059**	**104 219**	**106 377**	**108 540**	**110 696**	**112 856**	**115 018**	**117 178**
	Net Dependant	72 467	74 044	75 620	77 196	78 774	80 349	81 927	83 503	85 080	86 655	88 234	89 808	91 385	92 963	94 540
	Net Single	67 483	68 918	70 354	71 784	73 215	74 645	76 074	77 500	78 924	80 349	81 770	83 191	84 612	86 030	87 447
P-3	**Gross**	**72 267**	**74 114**	**75 962**	**77 808**	**79 657**	**81 503**	**83 348**	**85 199**	**87 046**	**88 892**	**90 742**	**92 586**	**94 437**	**96 282**	**98 128**
	Net Dependant	60 091	61 550	63 010	64 468	65 929	67 387	68 845	70 307	71 766	73 225	74 686	76 143	77 605	79 063	80 521
	Net Single	56 091	57 433	58 777	60 118	61 462	62 803	64 143	65 488	66 828	68 170	69 508	70 847	72 182	73 521	74 859
P-2	**Gross**	**59 267**	**60 920**	**62 571**	**64 225**	**65 877**	**67 528**	**69 182**	**70 832**	**72 485**	**74 139**	**75 790**	**77 443**			
	Net Dependant	49 821	51 127	52 431	53 738	55 043	56 347	57 654	58 957	60 263	61 570	62 874	64 180			
	Net Single	46 730	47 915	49 096	50 279	51 461	52 645	53 847	55 046	56 251	57 452	58 650	59 854			
P-1	**Gross**	**46 399**	**47 878**	**49 348**	**50 891**	**52 476**	**54 063**	**55 653**	**57 243**	**58 827**	**60 415**					
	Net Dependant	39 439	40 696	41 946	43 204	44 456	45 710	46 966	48 222	49 473	50 728					
	Net Single	37 202	38 359	39 516	40 671	41 827	42 982	44 138	45 280	46 416	47 553					

In addition, staff in the Professional category and above receive a post adjustment amount that varies according to the duty station.

ANNEX V

General Service Category at Headquarters

ANNUAL SALARY SCALE
showing gross and net amounts after application of staff
assessment and amounts of pensionable remuneration
applicable to staff on board on 31 December 1999

Effective 1 October 2011

In Euros

Cadre du personnel de service et de bureau au Siège

BAREME DES TRAITEMENTS ANNUELS
indiquant les montants bruts et nets après retenues au titre du régime
d'imposition et les montants considérés aux fins de la pension
applicable au personnel en service au 31 décembre 1999

A dater du 1er octobre 2011

En Euros

Level/Grade		I	II	III	IV	V	VI	VII	VIII	IX	X	XI	XII	XIII	XIV	XV	XVI
									Steps/Echelons								
G1	Brut	31384	32519	33654	34789	35924	37058	38193	39328	40464	41599	42734	43869				
	Net	24694	25534	26374	27214	28054	28893	29733	30573	31413	32253	33093	33933				
	Pensionnable	30736	31827	32915	34006	35096	36188	37278	38366	39460	40549	41640	42730				
G2	Brut	35034	36293	37553	38811	40070	41330	42589	43847	45181	46531	47881	49231	50582	51933		
	Net	27395	28327	29259	30190	31122	32054	32986	33917	34849	35781	36712	37644	38576	39508		
	Pensionnable	34243	35454	36663	37874	39085	40294	41505	42714	43925	45135	46345	47556	48764	49977		
G3	Brut	39091	40485	41881	43277	44716	46211	47708	49205	50702	52198	53695	55192	56689	58185		
	Net	30397	31429	32462	33495	34528	35560	36593	37626	38659	39691	40724	41757	42790	43822		
	Pensionnable	38141	39483	40825	42170	43513	44855	46197	47542	48883	50226	51577	52974	54371	55767		
G4	Brut	43583	45207	46868	48529	50189	51852	53513	55174	56834	58495	60156	61817	63478	65139	66800	
	Net	33721	34867	36013	37159	38305	39452	40598	41744	42890	44036	45182	46328	47474	48620	49766	
	Pensionnable	42460	43950	45441	46930	48420	49906	51397	52948	54496	56046	57596	59146	60697	62245	63796	
G5	Brut	48897	50740	52585	54429	56274	58117	59962	61805	63650	65495	67339	69184	71027	72872	74716	76560
	Net	37413	38685	39958	41230	42503	43775	45048	46320	47593	48866	50138	51411	52683	53956	55228	56501
	Pensionnable	47253	48906	50558	52244	53960	55679	57400	59118	60835	62554	64273	65995	67712	69428	71148	72867
G6	Brut	54834	56879	58926	60971	63016	65062	67107	69152	71198	73243	75288	77334	79379	81424	83471	
	Net	41510	42921	44333	45744	47155	48567	49978	51389	52801	54212	55623	57035	58446	59857	61269	
	Pensionnable	52622	54531	56436	58341	60247	62156	64063	65969	67876	69781	71689	73596	75502	77435	79479	
G7	Brut	61420	63689	65958	68226	70495	72763	75033	77301	79571	81839	84108	86376	88646	90914		
	Net	46054	47620	49185	50750	52316	53881	55447	57012	58578	60143	61709	63274	64840	66405		
	Pensionnable	58763	60880	62997	65113	67230	69346	71462	73580	75696	77869	80137	82410	84678	86947		

The exchange rate used for the conversion of net salary amounts to gross is US $1 = €0.7348, being the average of exchange rates for the previous 36 months,
including the month of adjustment.

General Service Category at Headquarters

Cadre du personnel de service et de bureau au Siège

Annex 5 cont

ANNUAL SALARY SCALE
showing gross and net amounts after application of staff
assessment and amounts of pensionable remuneration
applicable to staff on board as from 1 January 2000

BAREME DES TRAITEMENTS ANNUELS
indiquant les montants bruts et nets après retenues au titre du régime
d'imposition et les montants considérés aux fins de la pension
applicable au personnel recruté à partir du 1er janvier 2000

Effective 1 October 2011

A dater du 1er octobre 2011

In Euros

En Euros

		I	II	III	IV	V	VI	VII	VIII	IX	X	XI	XII (*)
							Steps/Echelons						
Level/Grade													
G1	Brut	31384	32519	33654	34789	35924	37058	38193	39328	40464	41599	42734	43869
	Net	24694	25534	26374	27214	28054	28893	29733	30573	31413	32253	33093	33933
	Pensionnable	30736	31827	32915	34006	35096	36188	37278	38366	39460	40549	41640	42730
G2	Brut	35034	36293	37553	38811	40070	41330	42589	43847	45181	46531	47881	49231
	Net	27395	28327	29259	30190	31122	32054	32986	33917	34849	35781	36712	37644
	Pensionnable	34243	35454	36663	37874	39085	40294	41505	42714	43925	45135	46345	47556
G3	Brut	39091	40485	41881	43277	44716	46211	47708	49205	50702	52198	53695	55192
	Net	30397	31429	32462	33495	34528	35560	36593	37626	38659	39691	40724	41757
	Pensionnable	38141	39483	40825	42170	43513	44855	46197	47542	48883	50226	51577	52974
G4	Brut	43583	45207	46868	48529	50189	51852	53513	55174	56834	58495	60156	61817
	Net	33721	34867	36013	37159	38305	39452	40598	41744	42890	44036	45182	46328
	Pensionnable	42460	43950	45441	46930	48420	49906	51397	52948	54496	56046	57596	59146
G5	Brut	48897	50740	52585	54429	56274	58117	59962	61805	63650	65495	67339	69184
	Net	37413	38685	39958	41230	42503	43775	45048	46320	47593	48866	50138	51411
	Pensionnable	47253	48906	50558	52244	53960	55679	57400	59118	60835	62554	64273	65995
G6	Brut	54834	56879	58926	60971	63016	65062	67107	69152	71198	73243	75288	77334
	Net	41510	42921	44333	45744	47155	48567	49978	51389	52801	54212	55623	57035
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G7	Brut	61420	63689	65958	68226	70495	72763	75033	77301	79571	81839	84108	86376
	Net	46054	47620	49185	50750	52316	53881	55447	57012	58578	60143	61709	63274
	Pensionnable	58763	60880	62997	65113	67230	69346	71462	73580	75696	77869	80137	82410

(*) Long-service step/Echelon au titre de la longévité

The exchange rate used for the conversion of net salary amounts to gross is US $1 = €0.7348, being the average of exchange rates for the previous 36 months, including the month of adjustment.

ANNEX VI

REVISED FRAMEWORK FOR REST AND RECUPERATION BREAKS

Frequency cycle	Conditions
4 weeks	Extreme emergency situations • Where danger pay is authorized by the Chairman of ICSC.
6 weeks	Exceptional and temporary situations in non-family/restricted duty stations • Active conflict; • Natural disasters and other similar extreme situations.
8 weeks	Non-family/restricted duty stations • All duty stations declared by the Department of Safety and Security as restricted for all eligible dependants for security reasons; • All duty stations designated as non-family by the Chairman of ICSC.
12 weeks	Duty stations with high levels of hardship • Non-capital duty stations with a hardship classification of D or E; • Exceptional cases of category E capital cities.

B.   Implementation of the Participation Programme and emergency assistance
(Follow-up to 177 EX/Decision 56, 187 EX/Decision 6 (VIII), 36 C/Resolution 69)

1.   This document reports on requests approved by the Director-General as at 11 July 2012 in respect of Member States and international NGOs for the 2012-2013 biennium and on results expected from the implementation of this Programme. Of the requests received during the biennium, only those relating to the priorities set by the Organization have been approved by the Director-General, following evaluation and recommendation by the Intersectoral Committee on the Participation Programme.

2.   Under the Participation Programme, **1,263 requests** amounting to a total of US $**33,250,266** have been received for the current biennium from Member States, Associate Members and international NGOs. To date, **191 requests** amounting to US $**4,196,158** have been **approved** by the Director-General, including four requests for emergency assistance. This amount, which represents **34% of the overall appropriation** for the Programme under document 36 C/5 (US $12,055,000 dollars), is broken down as follows:

–   **Member States**: US $3,776,939 for 179 requests;

–   **NGOs**: US $132,400 for eight requests;

–   **Emergency assistance** – US $198,000 for four requests for emergency assistance.

3.   The Intersectoral Committee has met three times since the beginning of the biennium, and the first meeting was dedicated to Africa because it is a global priority at UNESCO. Particular attention was paid to refining the evaluation of projects by the programme sectors. The Committee took particular care to ensure that the approved projects were linked to the Organization's global priorities and strategic programmes and thus of particular benefit to Africa, least developed countries and small island developing States (SIDS). Moreover, given the substantial reduction in the regular-budget appropriation for the Participation Programme, the Committee has considered it appropriate to reduce the amounts requested for heads of expense such as travel costs, equipment, consultants' fees and publications.

4.   The improvement of communication with the permanent delegations and national commissions continued to be given priority by the Participation Programme Section throughout the preparation of requests, project evaluation and preparation for meetings of the Intersectoral Committee on the Participation Programme and after approval of requests. In that regard, a special effort was made to assist Member States in preparing and submitting their requests by sending guidelines (30 benchmarks) to them under cover of the Director-General's circular letter for the current biennium, which was much appreciated by Member States.

5.   Furthermore, the Assistant Director-General for External Relations and Public Information (ADG/ERI) explained Participation Programme criteria and modalities during the Director-General's regional consultations of Member States and national commissions on the preparation of documents 37 C/4 and 37 C/5 in Abidjan (Côte d'Ivoire) and Than Hoa (Viet Nam). Similar explanations were made at the subregional seminar of national commissions in Accra (Ghana) last April and are also to be made at the regional consultations in September 2012.

6.   Despite these efforts, some weaknesses remain in the quality of the requests submitted under the Participation Programme such as incomplete forms, failure to submit pro forma invoices for equipment purchases, projects inconsistent with the Organization's fields of competence, an insufficient description of the project and budget that do not meet the criteria laid down in the General Conference resolution on the Participation Programme (36 C/Resolution 69). In that regard, ERI has engaged in regular dialogue with the national commissions to obtain further information as required to re-evaluate the requests.

7.   Despite many reminders, several national commissions have still not submitted financial and activity reports or made reimbursements following an audit by UNESCO's Internal Oversight Service (IOS) and therefore may not receive Participation Programme funds, despite approval of their requests. Although some progress has been made in unblocking these cases, the issue still raises concern in accounting terms and will be included in the audit of the administration and management of the Participation Programme that will be conducted by the External Auditor in September 2012.

8.   As to the submission of financial reports and their compliance with 35 C/Resolution 67, some Member States submitted financial reports in which fund allocations were not fully consistent with those initially approved. Moreover, many reports were not dated and stamped, and the names and titles of the signatories were often not provided. Beneficiary countries are requested to comply strictly with the approved heads of expenses as set forth in the letter of approval and to ensure that reports are duly submitted.

9.   Further to an appeal by the Director-General, inviting the Members of the Organisation for Economic Cooperation and Development (OECD) to reserve the Participation Programme for developing countries, the following Member States of the OECD's Development Assistance Committee (DAC) have refrained from submitting requests under the Participation Programme, as have some countries with an annual per capital gross domestic product of more than US $10,000 according to World Bank criteria: Australia, Belgium, Canada, Finland, France, Germany, Ireland, Italy, Japan, Luxembourg, Netherlands, New Zealand, Norway, Republic of Korea, Spain, United Kingdom and United States of America. These countries were joined by Barbados, Brazil, Estonia, India, Kuwait, Russian Federation, Saudi Arabia, Thailand, Turkey and United Arab Emirates.

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, the least developed countries (LDCs), developing countries, small island developing States (SIDS), post-conflict or post-disaster (PCPD) countries, middle-income countries (MICs) and transition countries. They also contain data on emergency assistance.

(a)   Breakdown of requests approved by programme sector

Sector	Number of requests	Amount approved in US $
ED	85	1,870,308
SC	31	608,061
SHS	11	225,620
CLT	27	545,000
CI	19	410,350
ODG/GE (gender equality)	3	52,600
ERI	1	26,000
BSP	2	39,000
Sub-total	**179**	**3,776,939**

(b)   Breakdown of requests approved, by region

Region	Number of requests	Funds approved in US $
Africa	95	2,072,839
Asia and the Pacific	38	816,446
Latin America and the Caribbean	23	450,108
Europe (Group II)	14	250,546
Arab States	9	187,000
NGOs	8	132,400
Sub-total	187	3,909,339
Emergency assistance	4	198,000
IIEP funds carried forward*		88,819
Total	191	4,196,158
Unallocated balance		7,832,542
Total		**12,028,700**

* funds not used in 2011 and carried forward to 2012

(c)   Breakdown, by priority group mainstreamed in all UNESCO programmes

Group	Number of requests	Amount approved US $$
Africa	95	2,072,839
Women	20	448,263
Youth	22	433,888
Least developed countries	78	2,196,852
small island developing States (SIDS)	30	546,608

11.   In the following tables, requests from **international NGOs** are broken down by region of project implementation, by UNESCO field of competence and by UNESCO priority group:

(a)   Breakdown of requests from international non-governmental organizations in official partnership with UNESCO, by region of project implementation

Region	Number of requests	Amount approved in US $
Africa	4	61,000
Latin America and the Caribbean	1	20,000
Asia and the Pacific	2	35,000
Europe (Group I)	1	16,400
Total	**8**	**132,400**

(b) Breakdown of requests approved for international non-governmental organizations in official partnership with UNESCO, by programme sector

Sector	Number of requests	Amount approved in US $
ED	5	76,000
SHS	2	40,000
ODG/GE (Gender Equality)	1	16,400
Total	**8**	**132,400**

12. **Requests approved under emergency assistance**

	Number of requests	Amount approved in US $
Congo	1	50,000
Comoros	1	50,000
Madagascar	1	48,000
Palestine	1	50,000
Total	**4**	**198,000**

Proposed decision

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

The Executive Board,

1. Having examined document 190 EX/5, Part III (B)

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

3. Invites the Secretariat and the Member States to make sustainable efforts to optimize this programme further in order to improve its efficiency and relevance for the benefit of the Member States' priority groups, as defined in 36 C/Resolution 69 on the Participation Programme.

C. Possibility of open access policy for all UNESCO publications
(Follow-up to 187 EX/Decision 10)

1. In response to the decision of the 187th session of the Executive Board (187 EX/Decision 10) requesting the Director-General to submit a report on UNESCO Open Access policy to the 190th session of the Executive Board an overview of UNESCO's internal policy for implementing Open Access is described in this document. The policy has been reviewed by the Publications Board in collaboration with the CI sector including all legal implications for the Organization.

2. As funds are not foreseen in the current C/5 document, extrabudgetary funding would have to be found to finance this project. The Sector for External Relations and Public Information would seek extrabudgetary funding, in collaboration with the Sector for Communication and Information, as part of the capacity-building strategy for Open Access. Several funding options would be made available to the Executive Board once exact costs are known.

Policy rationale

3. In pursuance with the objective of the Organization to maintain, increase and diffuse knowledge, UNESCO affirms that all its publications (e.g. print, audio, video, and multimedia) shall be made, where legally possible, available for free online access all through its website.

4. UNESCO will adopt an Open Access (OA) policy providing for free access to peer-reviewed, scholarly and research information to all. This OA policy envisages that UNESCO as the rights holder grants worldwide irrevocable right of access to copy, use, distribute, transmit, and make derivative works in any format for any lawful activities with proper attribution to the original author.

Scope and Constraints

5. This item may be read in conjunction with the item 13.5 of the Administrative Manual on publications.

6. In general, all UNESCO published works and those external publications that receive financial support from UNESCO, should be made available in Open Access with rights to copy, distribute and transmit the work, for non-commercial purpose with appropriate attribution to UNESCO.

7. The policy shall be applicable to all publications of UNESCO, including those published prior to adoption of this policy (where legally possible).

8. The policy will not be applicable for works resulting out of projects where the Organization has entered into special agreement with donor or external agencies to release publications in non-Open Access routes, including through co-publishing and licensing agreements.

9. Publications may also be made available through other value-added routes such as print, CD, DVD, ePub, apps. etc.

Licensing system

10. Open Access requires shifting from an "All rights reserved" approach to the sharing of rights to a "Some rights reserved" system where UNESCO invites certain uses of its content by others without the requirement to request rights. Under such a system UNESCO can choose a set of conditions that we wish to apply to each publication or other type of content (to allow or not for derivatives or commercial use for example).

11. UNESCO will use a Creative Commons (CC) "Some rights reserved" licensing system as soon as an agreement is made with Creative Commons for a version that can used by

intergovernmental organizations. Discussions are currently ongoing between CC and United Nations organizations.

Open Access repository

12.   UNESCO will maintain an Open Access repository of all UNESCO publications with relevant metadata elements to enable easy retrieval of the publications by the public in general.

Responsibilities

13.   The Publications Board will be responsible for interpreting this policy, resolving disputes concerning its interpretation and application, and recommending changes to senior management. The Publications Board will review the policy after 18 months and will present a report to senior management.

Proposed decision

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

The Executive Board,

1.   Recalling Decision 187 EX/10, requesting the Director-General "to explore the possibility of defining and adopting an open access policy for all publications published by UNESCO or with its support";

2.   Welcomes the initial proposal contained in 190 EX/5 Part III (C);

3.   Invites the Director-General to present to the 191st session of the Executive Board a draft Open Access policy concerning UNESCO publications, providing all necessary details about the implications of such a policy, especially in legal and financial terms.

D.   Running costs of the management of the governing bodies
      (Follow-up to 189 EX/Decision 14 (III))

1.   In accordance with the roadmap, and as requested in 189 EX/Decision 14 (III), the Director-General has examined the manner in which additional proposals could be presented to the Board for further reducing the running costs of the management of the governing bodies, without jeopardizing the quality of the work, based upon the concrete experience of the implementation of 184 EX/Decision 17 and 185 EX/Decision 20 and also the discussions at the 189th session.

2.   As indicated previously, much has already been done over recent biennia, against the overall backdrop of Member States' preference not to implement radical reforms, steadily to rationalize Governing Body expenditure (previous reports to the General Conference and Executive Board have shown this), notably through reduction in print-runs, rationalization of documentation and agenda, reduction in meeting/session lengths, tight control of temporary assistance and overtime, etc. Furthermore, Member States have repeatedly indicated that the quality of service to Member States in the Governing Bodies should not be jeopardized.

3.   Following the Board's decision on this subject at the last session, it has been calculated that the impact of the cost-saving measures decided upon concerning particularly travel and DSA entitlements would be around $420,000 for the remainder of the biennium. In addition, the operating budgets of the Executive Board and General Conference Secretariats have been analysed once again (notably in the light of experience at the 189th session of the Board) and small further downward adjustments planned. On the staff complement of GBS, it should be recalled that the initial C/5 proposals of GBS already reflected a 10% reduction in staff costs. Given the size of GBS (10 staff members) and its cyclical recourse to temporary assistance instead, no further rationalization measures are being taken at this stage, although by the end of the biennium two posts will become vacant and will therefore be frozen or abolished, in accordance with current directives, and corresponding functions reassigned. All these adjustments have been reflected accordingly in the revised work plans of GBS, which now show a likely budget deficit of around $1.3 million instead of the initial estimate of $1.8 million.

4.   GBS is working on further attempts at rationalization and economy, focusing on two main areas: (i) in line with the Board's decision at its 189th session, a letter has been sent to all Members requesting them to forego on a voluntary basis travel and DSA payments to which they are still entitled, as well as to contribute to language expenses; a similar letter will be sent to all Member States in the run-up to the General Conference in 2013 requesting Member States' assistance to contribute to the cost of participation by LDC representatives in the Conference and to language services; (ii) documentation restrictions have been tightened, with a gradual introduction of an *absolute* document maximum length, even for reports, of 12-15 pages, as practiced in the United Nations. GBS will analyse the results of these efforts after the 190th session, in time for the end-2012 review, and, without raising undue expectations, hopes to achieve further economies of $200,000-300,000 (Board and Conference combined).

5.   In short, beyond the actions and objectives set out above, there are no further proposals to be made at this stage.

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Item **5** of the provisional agenda

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

PART III

MANAGEMENT ISSUES

ADDENDUM

COMMENTS BY THE UNESCO STAFF UNION (STU)

Pursuant to Item 2805.7 of the UNESCO Administrative Manual, the UNESCO Staff Union (STU) submits its comments on this report by the Director-General.

STU welcomes this document and, in regard to staff questions, namely Part A (annual report by the International Civil Service Commission (ICSC)), encourages the Director-General to continue to implement ICSC decisions transparently at UNESCO and, naturally, in consultation with the staff associations.

PARIS, 8 October 2012
Original: French

Item **5** of the agenda

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

PART III

MANAGEMENT ISSUES

ADDENDUM 2

**IMPLEMENTATION OF THE PARTICPATION PROGRAMME
AND EMERGENCY ASSISTANCE**

SUMMARY

This document provides additional information on the implementation of the Participation Programme and emergency assistance following the publication last August of document 190 EX/5 Part III.

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1.   Since the publication last August of document 190 EX/5 Part III, the Intersectoral Committee on the Participation Programme has held two meetings during which it recommended 87 requests for a total amount of $1,848,203. These requests are posted online at **http://unesdoc.unesco.org/images/0021/002171/217131m.pdf#page=19**.

2.   To date, a total of 278 requests have been approved by the Director-General for a total amount of $6,052,482, including emergency assistance. The approval rate is thus 50% of the budget reserved for Member States under the direct costs of the Participation Programme (PP). This approval rate, which is higher than those of previous biennia, is the result of concerted efforts to optimize the Secretariat's request handling process. The expenditure rate, which is 21%, does not take into account the last meeting of the Intersectoral Committee on 14 September 2012. At this stage, the Secretariat has only been able to pay the approved funds to beneficiary countries having provided up-to-date financial and evaluation reports for all of the funds paid to these States for projects carried out before 31 December 2011.

3.   Funding for other projects approved under the PP for 2012-2013 will be made available to Member States as and when they submit the reports on the previous biennia, in accordance with 35 C/Resolution 67. It should be recalled that, for the first time, the resolution stipulated that financial and evaluation reports must be submitted by 30 April 2012 at the latest. It must be noted,

however, that the Secretariat was still receiving reports in September, which will delay the payment of the funds approved for 2012-2013 by the Committee in June and July.

4.   The Secretariat will take the necessary measures to ensure that the entire budget envelope reserved for the PP for this biennium is approved by February 2013 at the latest, so as to allow the beneficiaries sufficient time to implement their projects and submit the required financial and evaluation reports in time.

UNESCO
United Nations
Educational, Scientific and
Cultural Organization

PARIS, 27 August 2012
Original: English

Item **5** of the provisional agenda

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

PART IV

HUMAN RESOURCES ISSUES

SUMMARY

The purpose of this document is to inform the Members of the Executive Board of the progress achieved in the follow-up to the decisions and resolutions adopted by the Board and the General Conference at their previous sessions.

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

A. Report by the Director-General on the use of consultant contracts in 2011

Pursuant to 171 EX/Decision 35 and 186 EX/Decision 6 Part VIII, the Director-General submits her report on the use of consultant contracts by the Secretariat in 2011.

In 186 EX/Decision 6 Part VIII, the Executive Board encouraged the Director-General to continue her efforts to provide further information on the content of consultancy contracts and the services to be delivered and to accelerate the implementation of the External Auditor's recommendations relating to competitive bids (waivers only issued for exceptional and justified reasons); development of a single roster for consultants and a single database for all temporary contract-holders; analysis of tasks to be assigned to permanent staff, and those to be performed by temporary assistance; and staff training.

In its decision, the Executive Board also recalled the need to ensure wider geographical distribution and a better gender balance in the hiring of consultants where qualifications are equal.

Finally, the Executive Board invited the Director-General when submitting her next report on the Secretariat's use of consultant contracts, to include information on contracts for individual authors, photographers and film and video producers, as well as contracts for services with commercial organizations;

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

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

B. First progress review of the human resources management strategy and Action Plan (2011-2016)

At its 36th session, the General Conference endorsed the human resources management strategy for 2011-2016 presented by the Director General, and invited the Director-General to implement it, taking into account the Organization's strategy and programmes within the limits of future budgets.

The General Conference also requested the Director-General to submit the first progress review of the human resources management strategy to the Executive Board at its 189th session. Subsequently, and given the short timeframe for reporting (less than three months between the General Conference and the advanced Executive Board session), it was decided to postpone the report on the Human Resources Management Strategy to the 190th session.

Action expected of the Executive Board: Decision in paragraph 10.

C. Geographical distribution and gender balance of the staff of the Secretariat

Pursuant to 36 C/Resolution 97 and 187 EX/Decision 6 (IX), the Director-General submits an information note on the situation of the geographical distribution and on the gender balance of staff.

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Page

A. Report by the Director-General on the use of consultant contracts in 2011
(Follow-up to 186 EX/Decision 6 (VIII))

Introduction

1.   There are three types of standard Contracts for Service used by UNESCO; those with-profit organizations (which subsumes the discontinued fee contract), with non-profit organizations, and with individual consultants and other specialists. The present report covers contracts awarded to individual consultants and other specialists and, further to 186 EX/Decision 6 Part VIII; information on contracts with "with-profit" organizations will be presented to the Executive Board in an INF. document, reference 190 EX/INF.13.

2.   Individual contracts are awarded to consultants and other specialists hired by UNESCO in an advisory/consultative capacity or to provide the skills, expertise and knowledge required for a specific service or product. The with-profit contract is used for institutions/companies and is subject to UNESCO's procurement rules regarding competitive tendering.

3.   Pursuant to the Executive Board's request for extra information, Annex II provides data on the thematic areas of contracts in 2011. Development work to improve this information was delayed during the last 12 months as IT resources were allocated in priority to development of a new online contract management tool. However, the work has now resumed and data on the type of expertise engaged and the products they deliver should be available for next year's report.

4.   Further to 179 EX/Decision 33, a list of consultant contracts awarded by UNESCO is published online.

Section I. Policy developments

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5.   The Director-General approved a new policy for individual consultants and other specialists in February 2012 which, *inter alia*, addressed recommendations in External Auditor reports [1] relating, in particular, to strengthened competitive bidding and clarity on the use of waivers.

6.   For contracts of $20,000 or more, managers must now request at least three written proposals from suitably qualified candidates to ensure competition and transparency in the selection process. Contracts of $100,000 or more require clearance by the Headquarters Contracts Committee.

7.   The new policy sets out the exceptional cases where waivers may be granted, for example, where the individual is the only available source of the required expertise at an acceptable level of quality and cost, or in emergency situations (e.g. post-conflict, post-disaster), where time is often critical and the search for three candidates may impact on service delivery.

8.   The new policy incorporates separate contracts for individual authors, photographers and film/video production specialists. These contain specific text dealing with copyright and the ownership of intellectual property rights, and are consistent with the UNESCO Publications' Policy. As these new contracts were only implemented in 2012, it is not possible to present statistics on the use of other individual specialists in this document.

9.   A series of information sessions for staff in Headquarters, and tele/video conferences for staff in field offices and institutes, accompanied implementation of this new policy. A list of Frequently Asked Questions has also been made available to hiring managers and staff.

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[1]   182 EX/46: Report by the External Auditor on temporary contracts awarded by the Organization
185 EX/32 Part II: Audit report on the Division of Water Sciences.

10.   A single database to facilitate the tracking of individuals on temporary contracts, and which addresses the Executive Board's decision taken at its 184th session (184 EX/Decision 6, Part I) became operational in 2012. In addition, a new consultant roster is planned for introduction in the fourth quarter of 2012, as part of UNESCO's new online e-recruitment tool.

Section II. Individual consultant contracts in Headquarters and the field

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11.   Section II presents data on consultant contracts issued in 2010/2011, both at Headquarters and in the field. Key points are set out below, while detailed tables and charts are set out in **Annex I**. As in previous reports, <u>data on contracts awarded by Brasilia Office are set out separately</u> (**Annex III**) to allow a clearer picture of the contracts awarded by field offices as a whole.

Key points

12.   The key points concerning the contracts awarded by UNESCO in 2010-2011 were:

- The number of contracts awarded by Headquarters <u>fell by 20%</u> compared to 2008-09;

- The number of contracts awarded by field offices rose by 20% during the same period: field offices now account for two-thirds of all contracts awarded by UNESCO;

- Almost 60% of consultant contracts were financed from extrabudgetary sources;

- Over three-quarters of contracts are for less than $10,000;

- Over 70% of contracts are for less than three months.

Number and spending on consultant contracts (Headquarters and field, excluding Brasilia)

Overall

- The number of contracts awarded in 2010-2011 was 7% higher than 2008-2009, while the number of consultants hired was 6% higher (Annex I, Tables 1 and 2).

- Overall spending on consultants in 2010-2011 was 18% higher than 2008-2009 (Table 3).

- At $19.8 million, spending on consultant contracts in 2010-2011 from the regular budget represented about 3% of UNESCO's overall regular budget.

Headquarters/Field distribution

- Field offices accounted for 71% of the individual consultants hired in 2010-2011, for 66% of the contracts awarded and 61% of the overall spending.

Headquarters

- The number of contracts awarded in 2010-2011 fell by 20% compared to 2008-2009, while the number of individual consultants hired fell by 22%;

- Total spending at Headquarters decreased by 10% in 2010-2011 compared to 2008-2009;

- The average amount per contract increased by 8% between the two biennia (Table 4).

Field (excluding Brasilia Office)

- The number of contracts awarded in 2010-2011 increased by 20% compared to 2008-2009, while the number of individual consultants hired increased by 18%;

- Total spending in field offices increased by 36% in 2010-2011 compared to 2008-2009;

- The average amount spent per contract increased by 20% between the two biennia.

Source of funding of contracts

13. Extrabudgetary funds accounted for 59% of overall spending on consultant contracts in 2010-2011, compared to 55% in 2008-2009 (Table 5).

Contracts by amount

14. Table 6 shows that most consultants contracts at Headquarters and in field offices continue to be for less than $10,000: 74% and 81% respectively in 2011, compared to 73% and 79% in 2010. 26 contracts over $50,000 were awarded in 2011 (1% of the total), 12 at Headquarters and 14 in the field.

Duration of contracts

15. Most consultant contracts are for very short periods, typically under three months. Table 7 shows that 77% of contracts awarded at Headquarters in 2011 and 70% in the field were for less than three months, compared with 72% and 71% respectively in 2010. In 2011, 7% of contracts at Headquarters and 10% in the field were for over six months.

Contracts by Sector/Bureau at Headquarters

16. Most spending at Headquarters on consultants continues to support directly UNESCO's programme. Table 8 shows that the Programme sectors (Education, Science, Culture, Communication and Information, Social and Human Sciences) accounted for 85% of total spending in Headquarters in 2011, compared to 83% in 2010. Three of the sectors (Culture, Education, and Science) accounted for 64% of the contracts awarded in 2011, and for 78% of the total spending.

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

Gender, nationality and retired staff

18. The new consultant policy requires hiring managers to give proper consideration to gender and geographical balance where there is equal competence among candidates. Managers are also encouraged to seek local expertise for local projects wherever possible. Moreover, the approval of the ADG, Director of Bureau/Field Office is required if the contract is to be awarded to a former UNESCO staff member.

19. Table 9 shows that in Headquarters and the field combined, Group 1 consultants accounted for 32% of contracts in 2010-2011 (35% in 2008-09) and 41% of overall spending (47% in 2008-2009). Consultants from Group V (Africa) accounted for 19% of contracts, Group III 17%, Group IV 14%, Group V (Arab States) 13% and Group II 5%.

20. At Headquarters, 65% of consultants granted contracts in 2010-2011 were from Group I countries (the same as 2008-2009); they accounted for 65% of total spending, compared with 67% in 2008-2009. In the field, 18% of consultants granted contracts in 2010-2011 were Group I (compared with 17% in 2008-2009); they accounted for 26% of overall spending (24% in 2008-

2009). 23% of consultants in 2010-2011 were from Group V Africa, 20% Group III, 17% Group V Arab States, 16% Group IV and 6% Group II.

21.   Table 10 shows the nationality of consultants hired by the Secretariat in 2011 by the Group in which the awarding office is located, and confirms the practice of offices recruiting locally for local projects. 65% of consultants hired by offices in Group I countries were nationals of Group I countries. The percentages range from 58% to 89% in the other regions: in Group III, for example, 89% of consultants hired were nationals of Group III countries, while 58% of the consultants hired by Group IV offices were nationals of Group IV countries.

22.   Table 11 shows that 45% of the consultants hired in Headquarters in 2011 were women, compared to 47% in 2010. The corresponding figure for the field was 35%, compared to 36% in 2010. Overall, 38% of the consultants hired in 2011 were women (40% in 2010).

Retired staff

23.   Table 12 shows that 47 retired staff were awarded contracts at Headquarters in 2011, at a total cost of $0.696m. In the Field, 46 retired staff were awarded contracts ($0.712m). Overall, at Headquarters and the field, retired staff represented 3% of all consultants hired and 6% of total spending in 2011, compared to 3% and 5% respectively in 2010.

Section III. One-dollar consultant contracts

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24.   One-dollar contracts are awarded to individuals hired for special representational duties or to former staff to ensure a smooth transition of expertise and institutional memory. All one-dollar contracts must have the prior approval of the Office of the Director-General.

25.   A total of 16 individuals were granted one dollar contracts in Headquarters during 2011 (24 in 2010), of whom eight were former UNESCO staff members. No overall spending on these contracts (i.e. travel and subsistence expenses) was incurred in 2011. Table 13 shows the individuals awarded contracts in 2011 by sector/bureau.

Section IV. Contracts for Service

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26.   In 186 EX/Decision 6 Part VIII, the Executive Board invited the Director-General, when submitting her next report on the use of consultant contracts, to include some information on contracts for services with commercial organizations.

27.   Contracts for Service are awarded to institutions, commercial organizations and other legal entities. These data could not be finalized at the time this document was prepared; and the analyses of the contracts awarded at Headquarters and in the field will, therefore, be submitted to the Executive Board at its 190th session in an INF. document, reference 190 EX/INF.13.

Section V. Financial and administrative implications

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28.   The activities mentioned in this report were foreseen in C/5 work plans. The development work required to incorporate the new arrangements into the Contract Management System and to collect additional data on contract deliverables is carried out under existing budget provisions.

Decision

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

The Executive Board,

1.   Recalling 171 EX/Decision 35 and 186 EX/Decision 6 Part VIII,

2.   <u>Having examined</u> document 190 EX/5 Part IV (A),

3.   <u>Takes note</u> of the new policy introduced by the Director-General on contracts for individual consultants and other individual specialists (authors, photographers and film and video production specialists);

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

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

6.   <u>Requests</u> the Director-General to accelerate implementation of recommendation 7 of the External Auditor's report (182 EX/46) relating to an analysis of tasks to be assigned to permanent staff and those to be performed by temporary assistance

7.   <u>Invites</u> the Director-General to report at its 192nd session on the implementation of the modified policy on individual consultants and other specialists.

ANNEX I

Information on consultant contracts awarded at Headquarters and the field (excl. Brasilia)

1.   Table 1 shows the number of individual consultant contracts awarded at Headquarters and field offices (excluding Brasilia Office) in 2008-2009 and 2010-2011. The histogram also includes data for 2007.

Table 1: Numbers of individual consultant contracts: 2008-2009 and 2010-2011

	Biennium 2008/2009			Biennium 2010/2011			Evolution 2008/09-2010/11
	2008	2009	Total 2008/2009	2010	2011	Total 2010/2011	
HQ	1267	1523	2790	1248	1084	2332	-20%
% HQ	*41%*	*46%*	*44%*	*37%*	*31%*	*34%*	
Field*	1808	1807	3615	2107	2417	4524	20%
% Field	*59%*	*54%*	*56%*	*63%*	*69%*	*66%*	
Total	3075	3330	6405	3355	3501	6856	7%

*excluding data for Brasilia Office

% of Consultant Contracts: HQ and Field

	2007	2008	2009	2010	2011
Field*	70%	59%	54%	63%	69%
HQ	30%	41%	46%	37%	31%

■ HQ ■ Field*
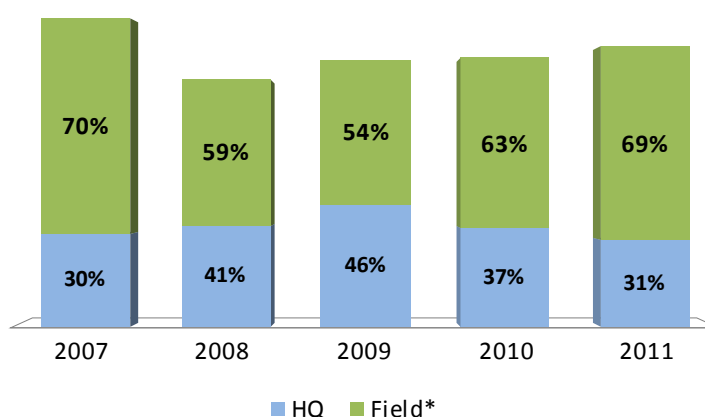
2.   Table 2 shows the number of individual consultants awarded contracts at Headquarters and the field offices (excluding Brasilia Office) in 2008-09 and 2010-2011. The histogram also includes data for 2007.

Table 2: Numbers of individual consultants: 2008-2009 and 2010-2011

	Biennium 2008/2009			Biennium 2010/2011			Evolution 2008/09-2010/11
	2008	2009	Total 2008/2009	2010	2011	Total 2010/2011	
HQ	825	1001	1826	800	699	1499	-22%
% HQ	*35%*	*40%*	*38%*	*32%*	*26%*	*29%*	
Field*	1509	1512	3021	1689	1981	3670	18%
% Field	*65%*	*60%*	*62%*	*68%*	*74%*	*71%*	
Total	2334	2513	4847	2489	2680	5169	6%

*excluding data for Brasilia Office

%of individual Consultants: HQ and Field
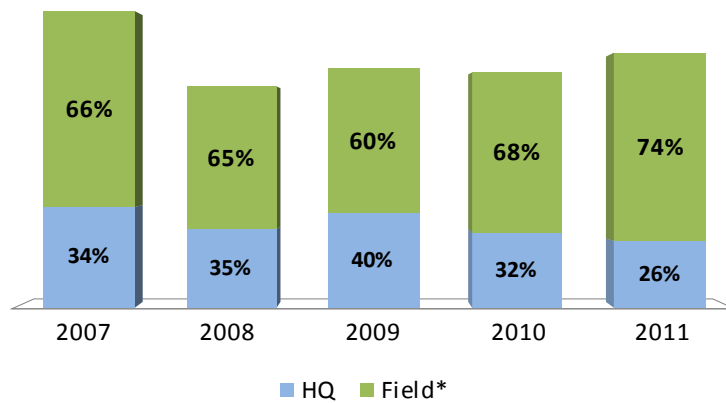
3. Table 3 shows the overall spending on individual consultant contracts awarded at Headquarters and in field offices (excluding Brasilia Office) in 2008-09 and 2010-2011. The histogram also includes data for 2007.

Table 3: Spending on consultant contracts: 2008-2009 and 2010-2011 ($ million)

	Biennium 2008/2009			Biennium 2010/2011			Evolution 2008/09-2010/11
	2008	2009	Total 2008/2009	2010	2011	Total 2010/2011	
HQ	9.550	11.192	20.742	10.150	8.743	18.893	-10%
% HQ	*53%*	*51%*	*52%*	*42%*	*36%*	*39%*	
Field*	8.437	10.752	19.189	14.210	15.747	29.957	36%
% Field	*47%*	*49%*	*48%*	*58%*	*64%*	*61%*	
Total	17.987	21.944	39.931	24.360	24.490	48.850	18%

*excluding data for Brasilia Office

Spending on Consultant Contracts
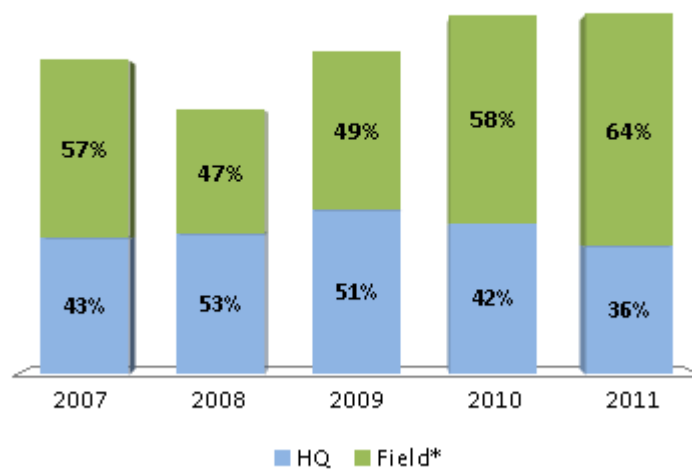
4.   Table 4 shows the average spending on individual consultant contracts awarded at Headquarters and in field offices (excluding Brasilia Office) in 2008-09 and 2010-2011.

Table 4: Average amount of consultant contracts: 2008-2009 and 2010-2011 (US dollar)

	Biennium 2008/2009			Biennium 2010/2011			Evolution 2008/09-2010/11
	2008	2009	Total 2008/2009	2010	2011	Total 2010/2011	
HQ	7 537	7 349	7 434	8 133	8 066	8 102	8%
Field*	4 666	5 950	5 308	6 744	6 515	6 622	20%
Total	**5849**	**6590**	**6234**	**7261**	**6995**	**7125**	**13%**

*excluding data for Brasilia Office

5.   Table 5 shows the overall spending on individual consultant contracts awarded at Headquarters and in the field (excluding Brasilia Office) in 2008-09 and 2010-11 by source of funding. Data for 2010-2011 is presented graphically below.

Table 5: Spending on consultant contracts by source of funding: 2008-2009 and 2010-2011 ($ million)

	2008-09					2010-11				
	RP	%RP	ExB	%ExB	Total	RP	%RP	ExB	%ExB	Total
HQ	10.430	50%	10.312	50%	**20.742**	8.786	47%	10.107	53%	**18.893**
Field*	7.591	40%	11.598	60%	**19.189**	11.032	37%	18.925	63%	**29.957**
Total	**18.021**	**45%**	**21.910**	**55%**	**39.931**	**19.818**	**41%**	**29.032**	**59%**	**48.850**

*excluding data for Brasilia Office

Spending on Consultant Contracts 2010-2011: by Source of Funds
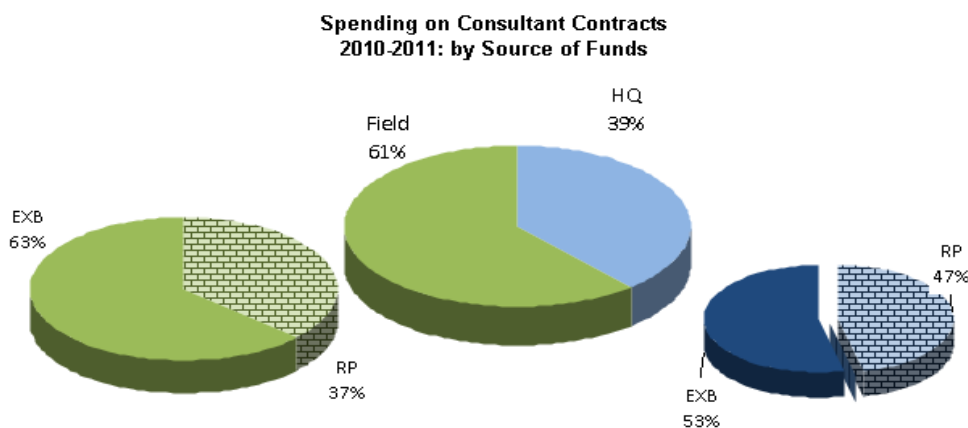
6.   Table 6 and the two related pie-charts show overall spending on individual consultant contracts awarded at Headquarters and the field (excl. Brasilia Office) in 2010 and 2011, by size of contract.

Table 6: Number of consultant contracts by size of contract: 2010 and 2011

	HQ				Field*			
	2010	%	2011	%	2010	%	2011	%
Less than 5000	640	51%	568	52%	1259	60%	1426	59%
5000 to 9999	271	22%	234	22%	394	19%	529	22%
10000 to 24999	259	21%	216	20%	361	17%	365	15%
25000 to 49999	62	5%	54	5%	77	4%	83	3%
50000 and over	16	1%	12	1%	16	1%	14	1%
Total	**1248**	**100%**	**1084**	**100%**	**2107**	**100%**	**2417**	**100%**

*excluding data for Brasilia Office

% of contracts by size of contract (US$): HQ
2011

20000-49999
5%

>=50000
1%

10000-24999
20%

<5000
52%

5000-9999
22%

% of contracts by size of contract (US$): Field
2011

20000-49999
3%

>=50000
1%

10000-24999
15%

<5000
59%

5000-9999
22%
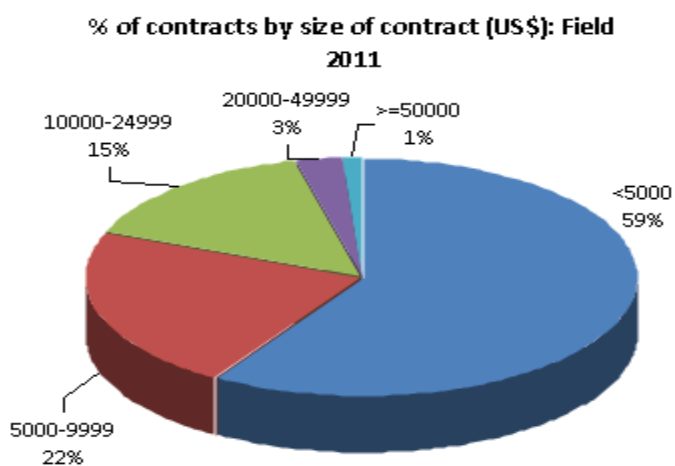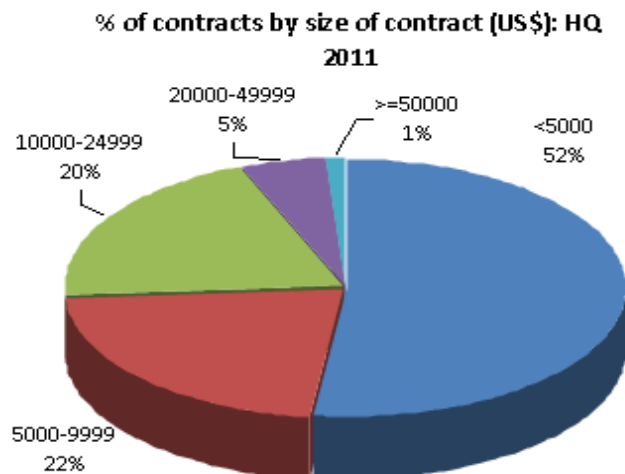
7.   Table 7 and the two related pie-charts show overall spending on individual consultant contracts awarded at Headquarters and the field (excl. Brasilia Office) in 2010 and 2011, by duration of contract.

Table 7: Number of consultant contracts by duration of contract: 2010 and 2011

	HQ				Field*			
	2010	**%**	**2011**	**%**	**2010**	**%**	**2011**	**%**
Under 1 month	504	40%	454	42%	666	32%	710	29%
1 to 3 months	391	31%	378	35%	819	39%	985	41%
3 to 6 months	239	19%	177	16%	426	20%	484	20%
Over 6 months	114	9%	75	7%	196	9%	238	10%
Total	**1248**	**100%**	**1084**	**100%**	**2107**	**100%**	**2417**	**100%**

*excluding data for Brasilia Office

Number of contracts by duration: HQ
2011
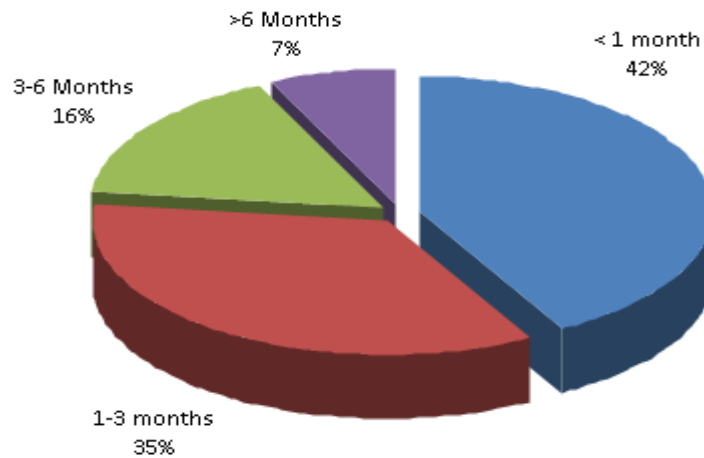
Number of contracts by duration: Field
2011

8.   Table 8 shows the number and spending on consultant contracts at Headquarters in 2010-2011, by sector.

Table 8: Number and spending on consultant contracts by sector/bureau: 2010-2011

	2010					2011			
	Number	%	Amount ($mill)	%		Number	%	Amount ($mill)	%
CI	48	3.8%	0.339	3.3%	CI	22	2.0%	0.173	2.0%
CLT	318	25.5%	2.661	26.2%	CLT	315	29.1%	2.565	29.3%
ED	221	17.7%	2.214	21.8%	ED	167	15.4%	1.824	20.9%
SC	233	18.7%	2.653	26.1%	SC	212	19.6%	2.434	27.8%
SHS	105	8.4%	0.535	5.3%	SHS	52	4.8%	0.412	4.7%
ERC	5	0.4%	0.049	0.5%	ERI	169	15.6%	0.275	3.1%
AFR	10	0.8%	0.114	1.1%	AFR	12	1.1%	0.129	1.5%
ADM	60	4.8%	0.187	1.8%	ADM	37	3.4%	0.079	0.9%
CENT[1]	248	19.9%	1.397	13.8%	CENT[1]	98	9.0%	0.853	9.8%
Total	1248	100%	10.150	100%	Total	1084	100%	8.743	100%

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

9.   Table 9 shows the number and spending on individual consultant contracts issued at Headquarters and field offices in 2008-2009 and 2010-2011, by the regional group of the individual consultant.

Table 9: Number and spending on Contracts, by Consultant Region: 2008-09 and 2010-11

Regional Group	HQ							
	Number 2010-11	%	Number 2008-09	%	Amt $m 2010-11	%	Amt $m 2008-09	%
I	979	65%	1191	65%	12.283	65%	13.998	67%
II	52	3%	78	4%	0.650	3%	0.824	4%
III	119	8%	128	7%	1.781	9%	1.316	6%
IV	110	7%	147	8%	1.559	8%	1.703	8%
V AFR	163	11%	143	8%	1.644	9%	1.129	5%
V arab	76	5%	89	5%	0.976	5%	1.243	6%
Not known	0	0%	50	3%	0.000	0%	0.528	3%
Total	1499	100%	1826	100%	18.893	100%	20.741	100%

Regional Group	Field*							
	Number 2010-11	%	Number 2008-09	%	Amt $m 2010-11	%	Amt $m 2008-09	%
I	652	18%	504	17%	7.889	26%	4.637	24%
II	229	6%	87	3%	0.703	2%	0.300	2%
III	746	20%	831	28%	5.954	20%	4.795	25%
IV	592	16%	487	16%	4.076	14%	2.517	13%
V AFR	842	23%	651	22%	6.436	21%	4.249	22%
V arab	609	17%	459	15%	4.899	16%	2.672	14%
Not known	0	0%	2	0%	0.000	0%	0.018	0%
Total	3670	100%	3021	100%	29.957	100%	19.188	100%

*Excluding data for Brasilia Office

Regional Group	HQ and Field*							
	Number 2010-11	%	Number 2008-09	%	Amt $m 2010-11	%	Amt $m 2008-09	%
I	1631	32%	1695	35%	20.172	41%	18.635	47%
II	281	5%	165	3%	1.353	3%	1.124	3%
III	865	17%	959	20%	7.735	16%	6.111	15%
IV	702	14%	634	13%	5.635	12%	4.22	11%
V AFR	1005	19%	794	16%	8.080	17%	5.378	13%
V arab	685	13%	548	11%	5.875	12%	3.915	10%
Not known	0	0%	52	1%	0.000	0%	0.546	1%
Total	5169	100%	4847	100%	48.850	100%	39.931	100%

*Excluding data for Brasilia Office

10.   Table 10 shows the percentage of consultant contracts (based on number) issued in 2011, by the regional group of the individual consultant and the regional group of the awarding office (Headquarters and field combined).

Table 10: Nationality of Consultants hired in 2011 by Regional Group of awarding field office

Regional Group of Consultant	Group in which Field Office is located						
	I	II	III	IV	V Afr	V Arab	Total
I	62%	13%	10%	22%	17%	21%	30%
II	8%	85%	0%	3%	0%	1%	6%
III	7%	0%	89%	0%	1%	0%	16%
IV	7%	1%	1%	58%	2%	3%	13%
V Afr	9%	1%	0%	16%	69%	3%	22%
V Arab	6%	0%	0%	1%	11%	72%	13%
Total	100%	100%	100%	100%	100%	100%	100%

11.   Table 11 shows the number of individual consultants hired in 2010 and 2011 at Headquarters and the field, by gender.

Table 11: Number of individual consultants by gender: 2010 and 2011

	HQ				Field*				HQ and Field*			
	2010	% of total	2011	% of total	2010	% of total	2011	% of total	2010	% of total	2011	% of total
Male	421	53%	384	55%	1080	64%	1280	65%	1501	60%	1664	62%
Female	379	47%	315	45%	609	36%	701	35%	988	40%	1016	38%
Total	800	100%	699	100%	1689	100%	1981	100%	2489	100%	2680	100%

Excluding data for Brasilia Office

12.   Table 12 shows the number and spending on consultant contracts issued at Headquarters and the field in 2010 and 2011 to former UNESCO staff.

Table 12: Number and spending on consultant contracts of retired staff: 2010 and 2011

		Number	Retired staff	%	$ million		%
					Total spending	Spending Retired staff	
2010	**HQ**	800	53	7%	10.150	0.707	7%
	Field*	1689	21	1%	14.210	0.453	3%
	Total	2489	74	3%	24.360	1.160	5%
2011	**HQ**	699	47	7%	8.743	0.696	8%
	Field*	1981	46	2%	15.747	0.712	5%
	Total	2680	93	3%	24.490	1.408	6%

*Excluding data for Brasilia Office

13.   Table 13 shows the number of $1 consultant contracts issued at Headquarters in 2011, by sector.

Table 13: Number of Individuals awarded $1 consultant contracts in Headquarters in 2011: by sector

BSP	1
CI	1
CLT	4
ODG	9
SHS	1
Total	16

ANNEX II

Headquarters spending on consultant contracts by thematic area of activity

An analysis of spending on consultant contracts by the thematic area of the activity in the five programme sectors (who accounted for 85% of spending on individual consultant contracts at Headquarters in 2011) is set out below, based on information extracted from the FABS system. Several of the sectors were restructured during 2011 and the raw data used to construct the pie-charts has been adjusted to reflect as closely as possible the new structures.

Education

ED Sector spent $1.824m on consultant contracts in 2011 ($2.214m in 2010): 50% related to Basic/Higher education/Learning activities, 21% to the Planning and Development of education systems and 12% to Peace and Sustainable Development.

Executive Office 6%

EFA/GMR/ERF 11%

Basic to Higher Education and Learning 50%

Peace and Sustainable Development 12%

Education systems: Planning and Development 21%

Total Amount $1.824 mill
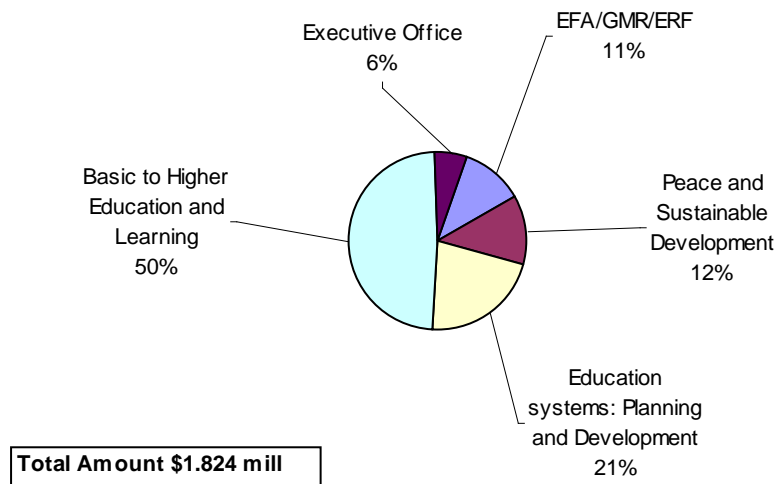
Communication and Information (CI)

CI spent $173,000 on individual consultant contracts in 2011 ($339,000 in 2010). 61% related to Freedom of Expression and Media Development and 29% to Knowledge Societies.

Coordination and Evaluation 10%

Knowledge Societies 29%

Freedom of Expression, Media Dev.t 61%

Total Amount = $0 .173 mill
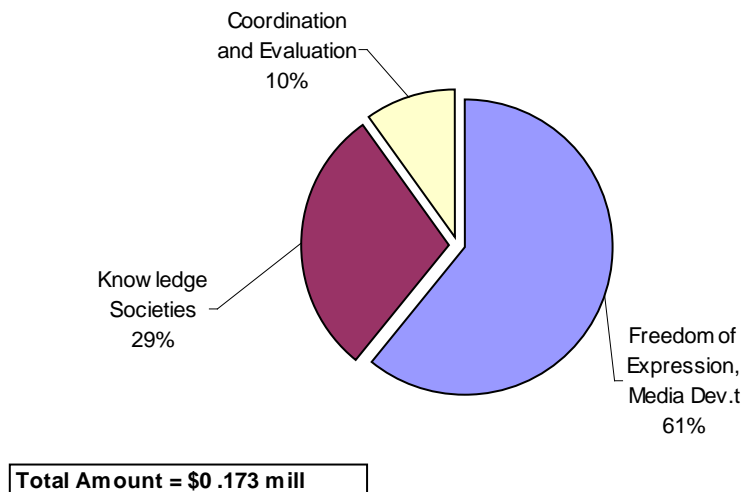
Culture (CLT) and World Heritage Centre (WHC)

CLT spent $1.427m on individual consultant contracts in 2011 ($0.976m in 2010) of which 48% related to Cultural Expressions and Heritage and 37% to Diversity, Development and Dialogue.

Programme Coordination Monitoring and Evaluation 15%

Diversity Development Dialogue 37%

Cultural Expressions and Heritage 48%

Total Amount $ 1.427 mill
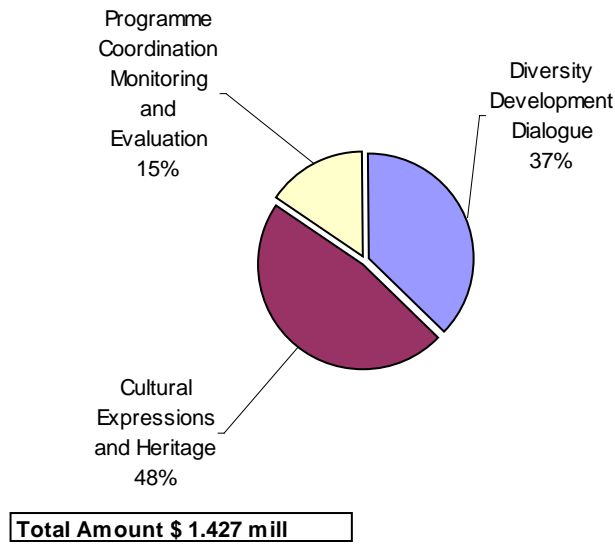
WHC spent $1.138m on consultant contracts in 2011 ($1.685m in 2010), of which 52% related to regional projects and 48% to policy, statutory meetings and communication, education and partnership activities.

Africa 17%

Asia & Pacific 18%

Policy, Statutory Meetings, Comms, Educ.n & Partnership 48%

Arab States 3%

Europe & North Am. 4%

Latin Am. & Caribbean 10%

Total Amount $1.138 mill
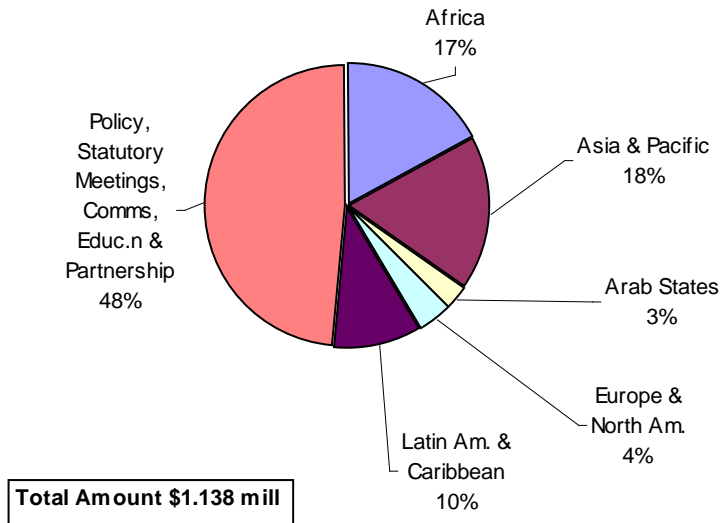
Science (SC and IOC)

SC sector spent $1.839m on consultant contracts in 2011 ($1.745m in 2010, of which 48% related to Science Policy/Capacity Building, 41% to Water Sciences and 11% to Ecological and Earth Sciences.

Water Sciences
41%

Science Policy &
Capacity Building
48%

Ecological &
Earth Sciences
11%

Total Amount $1.839 mill
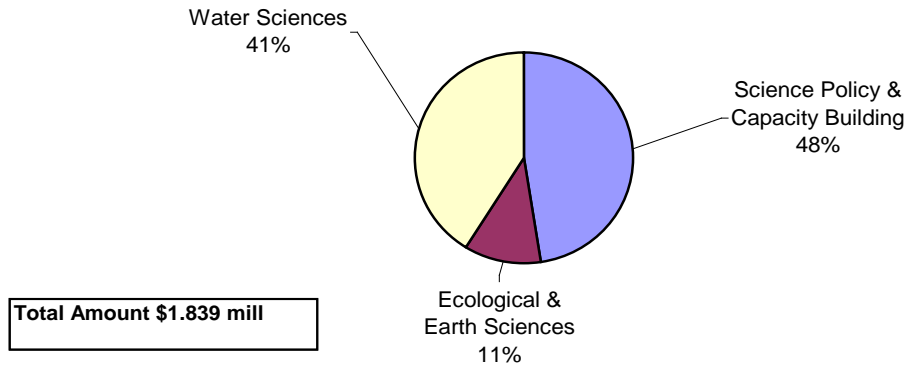
IOC spent $0.595m on individual consultant contracts in 2011 ($0.909 m in 2010), of which 54% related to Ocean Sciences and Observation and 31% to Policy activities.

Education &
Mutual
Assistance
3%

Ocean
Observation &
Services
12%

Policy
31%

Ocean Sciences
54%

Total Amount $0.595 mill
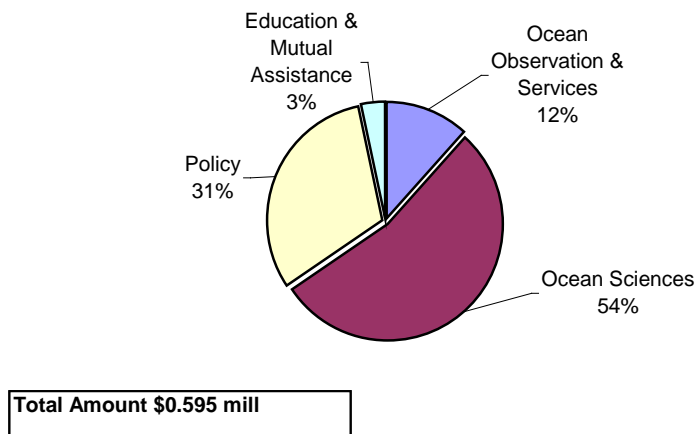
Social and Human Sciences (SHS)

SHS spent $412,000 on consultant contracts in 2011 ($535,000 in 2010), of which 41% related to Inclusive Societies and Social Innovation and 32% to Ethics and Sustainable Development.

Youth and Sport
6%

EO: Comms, Inform.n and Publications
21%

Ethics and Sustainable Development
32%

Inclusive Societies and Social Innovation
41%

Total Amount = $0.412 mill
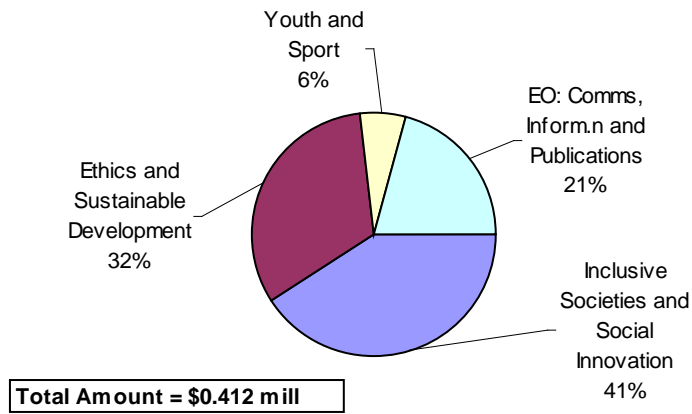
ANNEX III

Consultant contracts in UNESCO Brasilia Office

Number and amount

1.   Table A shows that 1,954 consultant contracts were awarded by Brasilia Office in 2010-11, 25% fewer than in 2008-09. Overall spending was 26% higher, at $50.003 million.

Table A
Number and amount of consultant contracts
Brasilia Office 2008-09 and 2010-11

	Individual Consultant Contracts			
	Number	*% change*	$ mill	*% change*
2008-09	2614		39.619	
2010-11	1954	*-25%*	50.003	*26%*

2.   1,843 individual consultants were hired during in 2010-11. 98% were nationals of countries in Group III, while 63% were female.

Source of Funds

3.   Table B shows that 95% of total spending on consultant contracts in 2010-11 was funded from extra-budgetary sources, compared with 98% in 2008-09.

Table B
Spending on consultant contracts by source of funding
Brasilia Office 2008-09 and 2010-11

	Amount ($ million)				
	RP	*% RP*	ExB	*% ExB*	Total
2008-09	0.919	*2%*	38.700	*98%*	39.619
2010-11	2.591	*5%*	47.412	*95%*	50.003

Contracts by amount

4.   Table C shows that 44% of consultant contracts awarded in 2011 were less than $25,000 compared to 53% in 2010, while 9% of the contracts were for over $50,000 (3% in 2010).

Table C
Number of consultant contracts by amount
Brasilia Office 2010-2011

	Individual Contracts			
Amount ($ mill)	2010	*%*	2011	*%*
Less Than 5000	80	*7%*	76	*10%*
5000 to 9999	130	*11%*	82	*10%*
10000 to 24999	405	*35%*	191	*24%*
25000 to 49999	514	*44%*	367	*47%*
50000 and over	36	*3%*	73	*9%*
Total	1165	*100%*	789	*100%*

Duration of contracts

5.   Table D shows that 21% of consultant contracts awarded in 2011 were for less than three months, compared with 17% in 2010, while 56% were for over six months (58% in 2010).

Table D
Number of consultant contracts by duration
Brasilia Office 2010-2011

	Individual Contracts			
	2010	**%**	**2011**	**%**
Less than 1 month	39	*3%*	36	*5%*
1 to 3 months	167	*14%*	127	*16%*
3 to 6 months	286	*25%*	183	*23%*
Over 6 months	673	*58%*	443	*56%*
Total	1165	*100%*	789	*100%*

B. **First progress review of the human resources management strategy and Action Plan (2011-2016)**
(Follow-up to 187 EX/Decision 6 (X), 36 C/Resolution 96, 189 EX/Decision15 (II))

Introduction

1.   The Human Resources Management Strategy for 2011-2016 and its Action Plan were adopted by the General Conference at its 36th session in November 2011. The HR Strategy addresses critical aspects of HR management, such as recruitment, mobility, staff development, geographical and gender diversity, flexibility and effective management. It is centered on three objectives:

- Improving UNESCO's delivery capacity;

- Strengthening the field presence and the intersectoral way of functioning;

- Setting up an effective human resource planning.

2.   At its 189th session, in the context of the Roadmap, the Executive Board invited the Director-General to devote enhanced attention to the HR strategy in the implementation of the Roadmap, and also invited the Director-General to include proposals for adapting the strategy, in the light of the circumstances, while paying particular attention to the development of a more flexible policy on contracts, the possible need to review of Staff Regulations and Staff Rules, the strengthening of UNESCO's field presence, and innovative staff training and learning approaches, performance evaluation, career development and mobility.

Progress report

3.   The status of progress against each Action is indicated in the Action Plan (Annex II). Given the financial situation and the freeze on recruitment, activities which aimed at increasing outreach and enlarging pools of applicants were temporarily suspended. Recruitment missions to non- and under-represented Member States have not occurred.

4.   In light of the above, work in the recruitment and planning area has therefore focused on the processes and improvement of tools, so as to streamline and address the issue of timeliness. The following progress has been achieved at the time of the drafting of this report:

- Successful launch of "**Careers**", the **new E-recruitment system** in June 2012. All Director, Professional and Headquarters General Service posts are henceforth advertised in "Careers"; the new system facilitates the management and the screening of applications thereby reducing the processing time of recruitment. This contributes to a more rapid and efficient recruitment process. By end 2012, consultant and internships applications will also be included in this new E-recruitment system, thus allowing for a transparent and effective staffing and the abolition of two stand-alone systems.

- Implementation of Generic Job Descriptions for Programme Specialists in the Education Sector. Implementation to other Sectors is planned for 2013. The use of Generic Job Descriptions facilitates the recruiting manager's task and reduces the processing time of recruitment. It also ensures consistency in the way that duties/responsibilities are set out within the same occupational group.

- A new "off the shelf" **Succession Planning and Competency Assessment and Performance Assessment tool** (which allows for the development of 90°, 180° and 360° feedback, as required) has been purchased. Implementation will be phased, starting with

the Succession Planning and Performance Assessment modules to be operational in 2013, followed by the Competency Assessment module to be operational by 2014.

- **Mobility**, in particular in support of the Field Reform in Africa, continues. A total of 49 moves took place from June 2011 to June 2012 (11 from Headquarters, 23 Field to Field, and 15 Field to Headquarters).

- Launching of a new user-friendly **HRM Website** planned for the third quarter of 2012.

5. **A realigned HRM structure** has been put in place, with two Sections instead of six; by grouping strategic/operational functions together, the new structure increases synergies and contributes to an efficient service delivery. Renewed service standards will be implemented by 2012, to monitor and improve time/quality of service delivery.

6. Most of the **Training and Development** activities set out in the HR Strategy are planned for 2014-2015. In 2012/2013, training activities per se will be limited, as the budget allocation has been suspended at this time due to the financial situation. However, in the meantime, innovative initiatives are being reviewed.

7. A more flexible policy on contracts has been developed with the implementation of the Project appointments in May 2012 while remaining within the framework of the ICSC contractual framework as these are fixed-term contracts. The strengthening of UNESCO's field presence, innovative staff training and learning approaches, performance evaluation, career development and mobility, all are key objectives/or priority action areas of the current HR strategy.

8. Proposals to amend Staff Rules and Staff Regulations, as required, are initiated by HRM in the context of HR policy reviews which are ongoing, and within the consultative framework and established procedure.

Adaptation of the HR Strategy

9. The Executive Board invited the Director-General to include proposals for adapting the HR strategy, in the light of the circumstances. In the immediate future, the Director-General proposes that, given the reduced budget, a number of activities in the Action Plan (notably those related to recruitment) be rescheduled. The three main objectives of the HR strategy (improving the delivery capacity, strengthen the field presence and human resource planning) remain valid, and thus the focus on the activities detailed in the above Action Plan. By the end 2012/spring 2013, a review of the Action Plan will be undertaken in the light of the outcome of the C/4 preparation, to ensure that it effectively supports the new medium-term strategy and takes on board the trends/priorities set out for the next eight years.

Decision of the Executive Board

10. The Executive Board,

1. <u>Recalling</u> 36 C/Resolution 96 and 189 EX/Decision 15 (II),

2. <u>Having examined</u> document 190 EX/5 Part IV (B),

3. <u>Takes note</u> of the progress in the implementation of the human resources strategy for 2011-2016;

4. <u>Invites</u> the Director-General to pursue the implementation of the human resources strategy, and to adjust it, in due course, to the strategic priorities outlined in the C/4.

ACTION PLAN - UNESCO HR Strategy for 2011-2016 (updated)

OBJECTIVE 1: IMPROVING THE DELIVERY CAPACITY OF UNESCO							
Expected Result	**Action**	**KPI (Key Performance Indicator)**	**Time frame _(Revised)_**	**Responsible**			**Progress Status (30 June 2012)**
				HRM	**Managers**	**Staff**	
1. More qualified candidates attracted and recruited in UNESCO	1. Enhance outreach for qualified candidates (through job fairs, Universities, UN networks)	Candidates pools set up	2nd Q.2012 _suspended_	X			Nil. Specific outreach efforts suspended (objective of 100 % Recruitment Freeze)
	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	1st Q.2012	X	X		Competency-based interview protocols developed.
	4. Check references systematically and ensure traceability		1st Q.2011	X	X		Implemented
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	3rd Q.2011	X			Implemented
	6. Set up more attractive, informative and user-friendly web-site (intranet/internet)		4st Q.2011 _3rd Q.2012_	X			In progress. Launch planned 3rd Q 2012.
	7. Implement E-recruitment for pre-selection and rosters		4st Q. 2011/1st Q.2012	X			Implemented
	8. Revise JDs, implement Generic JDs where appropriate and provide training/advice on JD writing		2st Q.2012 _3rd Q.2013_	X	X		Generic JDs implemented for ED. To be extended to other Sectors.

ACTION PLAN – UNESCO HR Strategy for 2011-2016 (updated)

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		
	10. Conduct needs assessment an re-focus training offer on key generic skills needed for programme delivery (managerial skills, project management, partnering skills)	Nr 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			
	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		**2014-2015**	X			
	12. Review role of L§D Commission		**2014-2015**	X			
	13. Review allocation mechanisms of training budget to Sectors/Bureaux and FOs		**2013-2014**	X			
	14. Evaluate induction training for new recruits and improve as required		**2013-2014**	X	X		
	15. Implement mentoring scheme		**2013-2014**	X	X		
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	
	17. Develop skills assessment tool	% of staff who have consulted TCD for career development advise; feedback through global staff survey	**2013-2014**	X	X		Tool being developed, for implementation in 2014.
	18. Reinforce counseling role of career service; provide career advise/briefings to staff			X	X		

ACTION PLAN – UNESCO HR Strategy for 2011-2016 (updated)

5. Enhanced mobility (geographical, functional, and inter-sectoral)	19. Update and implement geographical mobility policy	% of staff in hardship duty stations re-assigned in time (SDA); % of staff remaining in same duty station/position for more than 5 years; Nr of inter agency moves per biennium	2012-2013	X	X	X	Ongoing. The Mobility Policy is being implemented particularly in support of Field Reform. An update of the existing policy and processes is ongoing (for issuance 1st Q 2013)
	20. Recognize mobility as an asset for promotion to P-4/5		2012	X	X		Implemented
	21. Implement pilot programme of inter-sectoral exchanges and functional mobility		**2015-2016**	X	X	X	
	22. Enhance inter-agency mobility		2012	X	X	X	Ongoing
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	
	24. Develop a Programme that recognizes for outstanding performance for individuals		**2013**	X	X	X	
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; % of P-4 staff and above who actually report; % of staff satisfied by development objectives (through global staff survey)	2012-2013 <mark>_suspended_</mark>	X			**Suspended for 2012 given training budget.**
	26. P-4 and above supervisors identify, implement their staff development objectives and report on progress.		2013-2014			X (P-4)	
	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	**Competency assessment tool purchased, to be operational in 2014; will allow for 180° feedback. .**
	28. Performance of senior managers assessed against key expectations	% of D staff assessed by the end of 2012;	2012		Directors and above		Implemented. The Compact for senior managers and a revised on-line performance

ACTION PLAN – UNESCO HR Strategy for 2011-2016 (updated)

							appraisal system for Directors/Heads of Field Office were launched in May 2011.
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. It needs to be further detailed and communicated.
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 included in induction and management training.
	31. Develop and implement policies on conflicts of interest, gifts, financial disclosure.		2012	X and Ethics Office	X	X	In progress. Draft policy on financial disclosure and conflicts of interest developed. Consultations underway.
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		
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; % of staff recruited from non and under - represented countries.	2012-2016	X	X		
	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.						
	35. Continue and support the YPP programme.						10 YPP were hired in 2011. Campaign for the next intake will take place in the 4th Quarter of 2012.

ACTION PLAN – UNESCO HR Strategy for 2011-2016 (updated)

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 Gvts, 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
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 Note issued on 25 June 2012.
	38. Update service standards		2012	X			Workflows development in process.
	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, townhalls at HQs and Field)	Enhanced compliance with the rules (audit reports); feedback though global staff survey	2011-2012	X			In progress. HRM Website launch planned 3rd Q.2012.
	41. De-bureaucratize HR processes/procedures: conduct a systematic review of processes, in particular when implementing workflows; 42. Increase delegation of authority within HRM and to Sectors	Time for service delivery decreased; % of staff satisfaction (global staff survey)	2012-2013	X			Workflows development in process. Planned implementation by end 2012.
	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			
	44. Conduct global staff surveys every 2 years	Staff surveys conducted in 2012, 2014, 2016	2012 onwards	X			

ACTION PLAN – UNESCO HR Strategy for 2011-2016 (updated)

OBJECTIVE 2: STRENGTHEN THE FIELD PRESENCE AND THE INTER-SECTORALITY							

Expected Result	Action	KPI (Key Performance Indicator)	Time frame	Responsible			Progress Status (30 June 2012)
				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 and Arab States Regions (Phase I) adequately staffed (90 % posts filled) % of HFOs with performance assessed	2011 onwards	X	X		
	2. Develop policies § guidelines to support the redeployment of staff, the separation § hiring of local staff.		2011 onwards	X with BFC			Guidelines developed. To be approved and communicated.
	3. Ensure that there are clear lines of accountability/reporting within Field Offices, between Field Offices and between Field and HQs		2011 onwards	X with BFC			
	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.		2011 onwards	X with BFC			Implemented on an ongoing basis
	6. see action 21 (Obj.1(5)) Implement pilot programme of inter-sectoral exchanges and functional mobility		**2015-2016**	X	X	X	
2. Enhanced integration into the UN 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			Project Plan approved by HLCM. To be implemented end 2012/2013.
	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

ACTION PLAN – UNESCO HR Strategy for 2011-2016 (updated)

	OBJECTIVE 3: IMPLEMENT AN EFFECTIVE HR PLANNING					
Expected Result	**Action**	**KPI (Key Performance Indicator)**	**Time frame**	**Responsible**		**Progress Status (as at 30 June 2012)**
				HRM		
1. HR Planning process in place	1. Set up HR planning process	Vacancy rate reduced	4th Q. 2012 _**June 2013**_	X		In progress. Tool purchased; to be operational in 2013.
	2. Implement succession planning for key targeted posts, specific profiles and skills		2012-2013	X		
	3. Put knowledge transfer mechanism in place		2012-2013	X		

C. Geographical distribution and gender balance of the staff of the Secretariat
(Follow-up to 187 EX/Decision 6 (IX))

Section I. Geographical distribution of staff

1. Pursuant to 36 C/Resolution 97 and 187 EX/Decision 6 (IX), the Director-General submits an information note on the situation of the geographical distribution, including on the implementation of the Action Plan to improve geographical balance in the staff of the Secretariat.

2. Geographical distribution applies to international professional staff occupying geographical posts, i.e. established posts financed from UNESCO's regular programme.

Overall situation of the geographical distribution for the period from 1 January 2010 to 1 June 2012

3. As at 1 June 2012, 161 Member States are represented in the Secretariat representing <u>83%</u> of UNESCO's 195 Member States. Two new Member States (Palestine and South Sudan) joined the Organization in November 2011.

4. Table 1 below shows that 76 (39%) Member States are normally represented; 27 (14%) are over-represented, 58 (30%) are under-represented and 34 (17%) are non-represented. A detailed list of the situation **by country** is attached as Annex I.

Table 1:
Situation of the geographical distribution as at 1 June 2012 and evolution since 1 January 2010

Status of representation	Number of Member States as at 1 January 2010	Number of Member States as at 1 June 2012	Variation since 1 January 2010
Normally represented	79 (41%)	76 (39%)	**-3**
Over-represented	27 (14%)	27 (14%)	**Nil**
Under-represented	49 (25%)	58 (30%)	**+9**
Total number of Member States represented	**155 (80%)**	**161 (83%)**	**+6**
Non-represented	38 (20%)	**34 (17%)**	**-4**
Total number of Member States	**193**	**195**	**+2**

5. The Human Resource Management Strategy has set a target of 85% represented Member States as an objective to attain by 2016. Since January 2010, the level of representation in the Secretariat has improved significantly, with 6 additional Member States represented, resulting in an overall increase from 80% to 83%. The number of normally represented Member States has decreased by three units, while non-represented countries have decreased by four units. The number of under-represented countries has increased by 9 units mostly as a result of staff retirements.

6. From 1 January 2010 to 1 June 2012 from 104 geographical posts filled externally, 33 (32%) were filled by candidates from under- and non-represented countries, including by 11 Young Professionals (seven from non-represented countries and four from under-represented countries).

Progress on the Action Plan to improve geographical balance in the Secretariat (2010-2015)

7.   Measures to attain the 85% target are set out in the Action Plan to improve geographical balance,[2] which also includes measures to increase the number of normally represented countries, to reduce the number of under-represented countries and to improve the geographical balance at Director level. An update of the Action Plan is included in 190 EX/INF.4.

8.   Measures of the Action Plan that are implemented on an ongoing basis include the advertisement of Director posts internally/externally, the inclusion of a candidate from non- and under-represented country in shortlists.

9.   Since November 2011, given the financial situation of the Organisation and the recruitment freeze, pro-active measures aiming at increasing candidates from non- and under-represented Member States (such as recruitment missions, information forums with NatComs, targeted vacancy advertisement, etc.), have been suspended temporarily. A limited number of posts are now under recruitment and initiatives are continued.

Geographical distribution by Regional Group

10.   While the presentation of the situation by Regional Group is a usual practice in the report by the Director-General on geographical distribution, such presentation is for indicative purposes only. The principle of individual quotas for each Member State is the sole official criterion of the Organization (detailed list by country in <u>Annex I</u>).

11.   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. With the exception of Group III (GRULAC) and Group IV (ASPAC) which are below their minimum indexes (by 14 and 23 units respectively), all other four Regional groups are "within index", as of June 2012. Since January 2010, GRULAC's and ASPAC's representation has decreased by three and 17 units respectively due to staff retirements and resignations.

Table 2:
Evolution of the geographical distribution by Regional Group since 1 January 2010

Regional Group*	Status as at 1 Jan. 2010	Status as at 1 June 2012	Variation since 1 January 2010	Indexes		Status
				Min	Max	
Group I	267	271	+4	184	312	Within index
Group II	62	67	+5	60	110	Within index
Group III	68	65	-3	79	148	Below minimum index
Group IV	147	130	-17	153	268	Below minimum index
Group V(a)	122	127	+5	97	190	Within index
Group V(b)	59	64	+5	44	79	Within index
Total	**725**	724	-1	**617**	**1107**	

(*) **Electoral groups**: Group I: Europe and North America; Group II: Eastern Europe; Group III: GRULAC; Group IV: ASPAC; Group V(a): Africa and Group V(b): Arab States

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2   EB 184 EX/5 Action Plan for the improvement of the Geographical Distribution in the Secretariat (2010-2015).

Representation at Director level and above by Regional Group

12. Group I has the largest representation at Director level and above (40%), followed by Group V(a) (Africa) with 23% and Group IV (ASPAC) with 17%. Group III (GRULAC), Group V(b) (Arab States) and Group II have 7%, 7% and 6% respectively.

Table 3:
Geographical distribution by Regional Group (*) of staff at Director and above level

Regional Group [(a)]	1 January 2010		1 June 2012		Variation since 1 January 2010
	D and above	%	D and above	%	
Group I	38	41%	34	40%	-4
Group II	4	4%	5	6%	+1
Group III	9	10%	6	7%	-3
Group IV	15	16%	14	17%	-1
GroupV (a)	19	20%	19	23%	0
GroupV (b)	8	9%	6	7%	-2
Total	**93**	100%	**84**	100%	**-9**

(*) Electoral groups: Group I: Europe and North America; Group II: Eastern Europe; Group III: GRULAC; Group IV: ASPAC; Group V (a): Africa and Group V(b): Arab States.

Retirement trends

13. From June 2012 to December 2015, 136 international Professional staff and above are expected to retire, including 48 Director staff. Among these, the number of expected retirements on geographical posts is 107 of which 41 are Directors.

14. The retirements until December 2013 of staff on geographical posts would impact the number of over-represented countries (6 should become normally represented); however 3 countries are at risk of becoming non-represented and 5 of becoming under-represented. These trends will be closely monitored.

Section II. Gender balance of staff

15. This section of the report presents an update on the gender balance in the Secretariat, and a progress report on UNESCO Action Plan for Gender Parity [3] which aims at achieving 50% representation of women at senior management levels (D-1 and above) by 2015.

Data used for gender statistics

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

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[3] UNESCO Action Plan for Gender Parity was presented at the 179th session of the Executive Board (April 2008). The full text is available in 179 EX/5 Part I (VI).

Gender balance at Director level and above

17.   The Action Plan sets out measures in three areas: recruitment, training/mentoring and work/life balance, with the objective of achieving parity at senior management level by 2015.

18.   Since 1 January 2010, significant progress has been made in the representation of women at senior management level, with an increase of 6 % of the percentage of women Directors (from 24% to **30%,** as of 1 June 2012).

Table 4:
Situation of the gender balance at Director level by grade
From 1 January 2010 to 1 June 2012
(Regular Programme and Extrabudgetary funds)

	1 January 2010					1 June 2012					Difference %F
	F	*%F*	M	*%M*	Total	F	*%F*	M	*%M*	Total	
DDG	-	*0%*	1	*100%*	**1**	0	*0%*	1	*100%*	**1**	0%
ADG	2	*20%*	8	*80%*	**10**	5	*45%*	6*	*55%*	**11**	+25%
D-2	7	*28%*	18	*72%*	**25**	10	*40%*	15	*60%*	**25**	+12%
D-1	16	*23%*	54	*77%*	**70**	14	*23%*	47	*77%*	**61**	0%
Total D	**25**	**24%**	**81**	**76%**	**106**	**29**	**30%**	**69**	**70%**	**98**	**+6%**

(*) Including ADG/ICTP

Gender balance at Professional level and above

19.   Overall, UNESCO has achieved <u>gender parity</u> among professional staff (P/D). At the more junior levels, women are more represented than men: 67% at P-1/P-2 levels and 54% at P-3 level. At P-4 and P-5 levels, women represent 46% and 38% respectively.

Table 5:
Situation of the gender balance at Professional level by grade
from January 2010 to June 2012
(regular programme and extrabudgetary funds)

	January 2010					June 2012					Difference %F
	F	*%F*	M	*%M*	Total	F	*%F*	M	*%M*	Total	
Total D	**25**	**24%**	**81**	**76%**	**106**	**29**	**30%**	**69**	**70%**	**98**	**+6%**
P-5	61	*40%*	92	*60%*	153	57	*38%*	92	*62*	149	-2%
P-4	97	*44%*	122	*56%*	219	105	*46%*	121	*54%*	226	+2%
P-3	143	*54%*	122	*46%*	265	151	*54%*	129	*46%*	280	0%
P-1/2	137	*66%*	71	*34%*	208	116	*67%*	56	*33%*	172	+1%
Total P	**438**	**52%**	**407**	**48%**	**845**	**429**	**52%**	**398**	**48%**	**827**	**0%**
Total D/P	**463**	**49%**	**488**	**51%**	**951**	**458**	**50%**	**467**	**50%**	**925**	**+1%**

20.   By end 2015, 48 Directors will retire, including 10 women and 38 men. This represents an opportunity to improve the gender balance at senior management levels.

CONCLUSION

21.   The paramount consideration in staff appointments is to secure the highest standards of integrity, efficiency and technical competence, as prescribed by Article VI of UNESCO's Constitution. Subject to this paramount consideration, appointments shall be on as wide a geographical basis as possible. The objective of gender parity is to be achieved within this framework, and without detriment to the principle of geographical distribution of staff.[4]

22.   UNESCO, with 161 nationalities represented (83% of the Member States) has one of the highest rates of representation among United Nations specialized agencies. Since 2000, the number of normally represented countries has increased from 67 in 2000 to 76 in June 2012.

23.   As of June 2012, gender parity has been achieved in the Professional and above category (P/D) (50% women/50% men). The number of women Directors has increased, since the beginning of the implementation of UNESCO Action Plan for Gender Parity, from 24% to 30%. The challenge remains significant, particularly at the D-1 level, where women represent 23%.

24.   Although the level of recruitment is expected to be lower than in previous years, HRM will continue to monitor closely the geographical distribution among the staff, as well as the gender levels at senior management of posts under recruitment, and ensure that sustained efforts are being made in this regard, though the implementation of the Action Plans on Geographical Distribution and Gender Parity.

Action expected of the Executive Board

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

The Executive Board,

1.   <u>Recalling</u> 185 EX/Decision 6 (VIII) and 36 C/Resolution 97,

2.   <u>Having examined</u> document 190 EX/5 Part IV (C),

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

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[4]   34 C/Resolution 82 (para. 4).

ANNEX I

Geographical distribution (1 June 2012)

Member States	Sigle	DDG	ADG	D2	D1	P5	P4	P3	P2	P1	Total	Max.	Min.	Situation
Afghanistan	AFG							2			2	4	2	=
Albania	ALB				1			1			2	4	2	=
Algeria	DZA					2	1		4		7	4	3	+
Andorra	AND						1				1	4	2	-
Angola	AGO											4	2	O
Antigua and Barbuda	ATG								1		1	4	2	-
Argentina	ARG			1		3	1		1		6	5	3	+
Armenia	ARM							2			2	4	2	=
Australia	AUS					3	2	1	2		8	10	6	=
Austria	AUT					2	1	1	1		5	6	4	=
Azerbaijan	AZE											4	2	O
Bahamas	BHS							1			1	4	2	-
Bahrain	BHR								1		1	4	2	-
Bangladesh	BGD						1		1		2	5	3	-
Barbados	BRB					1					1	4	2	-
Belarus	BLR					1	1				2	4	2	=
Belgium	BEL			3	1	3	2	2			11	7	4	+
Belize	BLZ								1		1	4	2	-
Benin	BEN				2		1	1	1		5	4	2	+
Bhutan	BTN						1	1			2	4	2	=
Bolivia (Plurinational State of)	BOL								1		1	4	2	-
Bosnia and Herzegovina	BIH							2			2	4	2	=
Botswana	BWA				1				1		2	4	2	=
Brazil	BRA			1			1	3			5	10	6	-
Brunei Darussalam	BRN											4	2	O
Bulgaria	BGR					3	2	3	1		9	4	2	+
Burkina Faso	BFA					1	2	1			4	4	2	=
Burundi	BDI				2		1	2			5	4	2	+
Cambodia	KHM						2		1		3	4	2	=
Cameroon	CMR				1		4	2			7	4	2	+
Canada	CAN		1		2	3	5	2	5		18	14	8	+
Cape Verde	CPV							1			1	4	2	-
Central African Republic	CAF											4	2	O
Chad	TCD						1				1	4	2	-
Chile	CHL						1	1	1		3	4	3	=
China	CHN		1		1	2	3	1	1		9	24	15	-
Colombia	COL					1	1	1	1		4	4	3	=
Comoros	COM						1		1		2	4	2	=
Congo	COG				1	1		3			5	4	2	+
Cook Islands	COK							1			1	4	2	-
Costa Rica	CRI			1		1	1				3	4	2	=
Côte d'Ivoire	CIV						1	1	3		5	4	2	+
Croatia	HRV						1		1		2	4	2	=
Cuba	CUB						1	1			2	4	2	=
Cyprus	CYP							1	1		2	4	2	=
Czech Republic	CZE					1		1	1		3	5	3	=
Democratic People's Republic of Korea	PRK					2					2	4	2	=

Member States	Sigle	DDG	ADG	D2	D1	P5	P4	P3	P2	P1	Total	Max.	Min.	Situation
Democratic Republic of the Congo	COD						1	1	1		3	4	2	=
Denmark	DNK			1	1	3	4				9	6	4	+
Djibouti	DJI					1					1	4	2	-
Dominica	DMA					1					1	4	2	-
Dominican Republic	DOM									1	1	4	2	-
Ecuador	ECU						1		1		2	4	2	=
Egypt	EGY						2	1	1		4	4	3	=
El Salvador	SLV											4	2	O
Equatorial Guinea	GNQ											4	2	O
Eritrea	ERI							1			1	4	2	-
Estonia	EST						1				1	4	2	-
Ethiopia	ETH	1				1	1	2	1		6	4	3	+
Fiji	FJI								1		1	4	2	-
Finland	FIN				1	1	1	1	2		6	5	3	+
France	FRA		1	1	5	10	11	20	7		55	24	14	+
Gabon	GAB								1		1	4	2	-
Gambia	GMB			1			1	1	1		4	4	2	=
Georgia	GEO							1	1		2	4	2	=
Germany	DEU		1			6	11	6			24	30	18	=
Ghana	GHA				1	1			1		3	4	2	=
Greece	GRC				1		1	2	2		6	6	3	=
Grenada	GRD						1				1	4	2	-
Guatemala	GTM											4	2	O
Guinea	GIN						1	2			3	4	2	=
Guinea-Bissau	GNB						1				1	4	2	-
Guyana	GUY											4	2	O
Haiti	HTI											4	2	O
Honduras	HND							1	1		2	4	2	=
Hungary	HUN					1				1	2	5	3	-
Iceland	ISL											4	2	O
India	IND			1	2	2	5				10	14	9	=
Indonesia	IDN							3			3	6	4	-
Iran (Islamic Republic of)	IRN							1			1	5	3	-
Iraq	IRQ							1			1	4	2	-
Ireland	IRL				1	3		1	2		7	5	3	+
Israel	ISR						1	2			3	5	3	=
Italy	ITA		1		1	8	7	6	1		24	20	12	+
Jamaica	JAM							1	2		3	4	2	=
Japan	JPN			1	2	3	6	21	4		37	44	27	=
Jordan	JOR					1	1		3		5	4	2	+
Kazakhstan	KAZ						1				1	4	2	-
Kenya	KEN						1	1			2	4	2	=
Kiribati	KIR											4	2	O
Kuwait	KWT											4	3	O
Kyrgyzstan	KGZ							1			1	4	2	-
Lao People's Democratic Republic	LAO							1	1		2	4	2	=
Latvia	LVA		1					1	1		3	4	2	=
Lebanon	LBN				1	2	5	1			9	4	2	+
Lesotho	LSO											4	2	O
Liberia	LBR											4	2	O

Member States	Sigle	DDG	ADG	D2	D1	P5	P4	P3	P2	P1	Total	Max.	Min.	Situation
Libya	LBY								1		1	4	2	-
Lithuania	LTU						1	1	1		3	4	2	=
Luxembourg	LUX											4	2	O
Madagascar	MDG				1	1		1			3	4	2	=
Malawi	MWI					1	1	1			3	4	2	=
Malaysia	MYS						1	1	1		3	5	3	=
Maldives	MDV					1			1		2	4	2	=
Mali	MLI		1			1	1	2			5	4	2	+
Malta	MLT								1		1	4	2	-
Marshall Islands	MHL											4	2	O
Mauritania	MRT			1			1	1			3	4	2	=
Mauritius	MUS				1	1		1			3	4	2	=
Mexico	MEX		1			4	2	3	1		11	12	7	=
Micronesia (Federated States of)	FSM											4	2	O
Monaco	MCO				1						1	4	2	-
Mongolia	MNG				1			1			2	4	2	=
Montenegro	MNE											4	2	O
Morocco	MAR				1	2	3	3	1		10	4	2	+
Mozambique	MOZ				2		2				4	4	2	=
Myanmar	MMR						1				1	4	2	-
Namibia	NAM							1			1	4	2	-
Nauru	NRU											4	2	O
Nepal	NPL						3	2			5	4	2	+
Netherlands	NLD			1	2		2	3	1		9	10	6	=
New Zealand	NZL			1		2		1			4	4	3	=
Nicaragua	NIC				1			1			2	4	2	=
Niger	NER				1	2		1	1		5	4	2	+
Nigeria	NGA						2	1			3	5	3	=
Niue	NIU											4	2	O
Norway	NOR				1		3	1			5	6	4	=
Oman	OMN				1						1	4	2	-
Pakistan	PAK						1	1	1		3	5	3	=
Palau	PLW											4	2	O
Palestine	PSE							1			1	4	2	-
Panama	PAN							1			1	4	2	-
Papua New Guinea	PNG						1				1	4	2	-
Paraguay	PRY											4	2	O
Peru	PER					1	1	2			4	4	2	=
Philippines	PHL						1	1	3		5	5	3	=
Poland	POL				1	1		1		1	4	6	4	=
Portugal	PRT							1	1		2	5	3	-
Qatar	QAT									1	1	4	2	-
Republic of Korea	KOR			1	1		1	4	3		10	11	7	=
Republic of Moldova	MDA							1	1		2	4	2	=
Romania	ROU						2	6	1		9	4	3	+
Russian Federation	RUS				2	1	2	1	1		7	10	6	=
Rwanda	RWA							1			1	4	2	-
Saint Kitts and Nevis	KNA						1		1		2	4	2	=
Saint Lucia	LCA				1				2		3	4	2	=
Saint Vincent and the Grenadines	VCT											4	2	O

Member States	Sigle	DDG	ADG	D2	D1	P5	P4	P3	P2	P1	Total	Max.	Min.	Situation
Samoa	WSM											4	2	O
San Marino	SMR						1				1	4	2	-
Sao Tome and Principe	STP						1				1	4	2	-
Saudi Arabia	SAU							1			1	6	4	-
Senegal	SEN					1	2	4	5		12	4	2	+
Serbia	SRB						1				1	4	2	-
Seychelles	SYC						1	1			2	4	2	=
Sierra Leone	SLE				2		1				3	4	2	=
Singapore	SGP								1		1	5	3	-
Slovakia	SVK								2		2	4	2	=
Slovenia	SVN									1	1	4	2	-
Solomon Islands	SLB											4	2	O
Somalia	SOM						1				1	4	2	-
South Africa	ZAF			1			2	2	1		6	5	3	+
South Sudan	SSD											4	2	O
Spain	ESP					6	7	2	2		17	14	8	+
Sri Lanka	LKA				1	1					2	4	2	=
Sudan	SDN						1		1	1	3	4	2	=
Suriname	SUR											4	2	O
Swaziland	SWZ						1				1	4	2	-
Sweden	SWE						3				3	7	4	-
Switzerland	CHE						1	1	1		3	7	4	-
Syrian Arab Republic	SYR					2		2			4	4	2	=
Tajikistan	TJK											4	2	O
Thailand	THA								2		2	5	3	-
The former Yugoslav Republic of Macedonia	MKD					1	1				2	4	2	=
Timor-Leste	TLS											4	2	O
Togo	TGO					3	1				4	4	2	=
Tonga	TON				1						1	4	2	-
Trinidad and Tobago	TTO								1		1	4	2	-
Tunisia	TUN		1		1	3		5	1		11	4	2	+
Turkey	TUR			1			1				2	6	4	-
Turkmenistan	TKM							1			1	4	2	-
Tuvalu	TUV											4	2	O
Uganda	UGA							3			3	4	2	=
Ukraine	UKR							2	1		3	4	3	=
United Arab Emirates	ARE											5	3	O
United Kingdom of Great Britain and Northern Ireland	GBR			3		3	5	5			16	25	15	=
United Republic of Tanzania	TZA											4	2	O
United States of America	USA		1		2	8	13	11	5		40	76	46	-
Uruguay	URY					1	1	1			3	4	2	=
Uzbekistan	UZB						2	1			3	4	2	=
Vanuatu	VUT											4	2	O
Venezuela (Bolivarian Republic of)	VEN											5	3	O
Viet Nam	VNM							2			2	4	3	-
Yemen	YEM							1			1	4	2	-
Zambia	ZMB						1	1			2	4	2	=
Zimbabwe	ZWE							1	1		2	4	2	=
Total		**1**	**10**	**20**	**53**	**122**	**183**	**213**	**117**	**5**	**724**			

ANNEX II

Over-represented

Group I: Belgium, Canada, Denmark, Spain, Finland, France, Ireland, Italy

Group II: Bulgaria, Romania

Group III: Argentina

Group IV: Nepal

Group Va: Burundi, Benin, Côte d'Ivoire, Cameroon, Congo, Ethiopia, Mali, Niger, Senegal, South Africa

Group Vb: Algeria, Jordan, Lebanon, Morocco, Tunisia

In Balance

Group I: Austria, Cyprus, Germany, United Kingdom of Great Britain and Northern Ireland, Greece, Israel, Netherlands, Norway

Group II: Albania, Armenia, Bosnia and Herzegovina, Belarus, Czech Republic, Georgia, Croatia, Lithuania, Latvia, Republic of Moldova, The former Yugoslav Republic of Macedonia, Poland, Russian Federation, Slovakia, Ukraine, Uzbekistan

Group III: Chile, Colombia, Costa Rica, Cuba, Ecuador, Honduras, Jamaica, Saint Kitts and Nevis, Saint Lucia, Mexico, Nicaragua, Peru, Uruguay

Group IV: Afghanistan, Australia, Bhutan, India, Japan, Cambodia, Republic of Korea, Lao People's Democratic Republic, Sri Lanka

Under-represented

Group I: Andorra, Switzerland, Monaco, Malta, Portugal, San Marino, Sweden, Turkey, United States of America

Group II: Estonia, Hungary, Serbia, Slovenia

Group III: Antigua and Barbuda, Bahamas, Belize, Bolivia (Plurinational State of), Brazil, Barbados, Dominica, Dominican Republic, Grenada, Panama, Trinidad and Tobago

Group IV: Bangladesh, China, Cook Islands, Fiji, Indonesia, Iran (Islamic Republic of), Kazakhstan, Kyrgyzstan, Myanmar, Papua New Guinea, Singapore, Thailand, Turkmenistan, Tonga, Viet Nam

Group Va: Cape Verde, Djibouti, Eritrea, Gabon, Guinea-Bissau, Namibia, Rwanda

Non-represented

Group I: Iceland, Luxembourg

Group II: Azerbaijan, Montenegro, Tajikistan

Group III: Guatemala, Guyana, Haiti, Paraguay, El Salvador, Suriname, Saint Vincent and the Grenadines, Venezuela (Bolivarian Republic of)

Group IV: Brunei Darussalam, Micronesia (Federated States of), Kiribati, Marshall Islands, Niue, Nauru, Palau, Solomon Islands, Timor-Leste, Tuvalu, Vanuatu, Samoa

Group Va: Angola, Central African Republic, Equatorial Guinea, Liberia, Lesotho, South Sudan, United Republic of Tanzania

Group Vb: United Arab Emirates, Kuwait

Over-represented	In Balance		Under-represented		Non-represented
		Maldives	Group Vb	Somalia	
		Mongolia		Sao Tome and Principe	
		Malaysia		Swaziland	
		New Zealand		Chad	
		Pakistan		Bahrain	
		Philippines		Iraq	
		Democratic People's Republic of Korea		Libya	
	Group Va	Burkina Faso		Oman	
		Botswana		Palestine	
		Democratic Republic of the Congo		Qatar	
		Comoros		Saudi Arabia	
		Ghana		Yemen	
		Guinea			
		Gambia			
		Kenya			
		Madagascar			
		Mozambique			
		Mauritius			
		Malawi			
		Nigeria			
		Sierra Leone			
		Seychelles			
		Togo			
		Uganda			
		Zambia			
		Zimbabwe			
	Group Vb	Egypt			
		Mauritania			
		Sudan			
		Syrian Arab Republic			
27	**76**		**58**		**34**

Total: 195

Executive Board
Hundred and ninetieth session

United Nations
Educational, Scientific and
Cultural Organization

190 EX/5
Part IV Add.

Item **5** of the provisional agenda

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

PART IV

HUMAN RESOURCES ISSUES

ADDENDUM

COMMENTS OF THE UNESCO STAFF UNION (STU)

Pursuant to item 2805.7 of the UNESCO Administrative Manual, the UNESCO Staff Union (STU) submits its comments on this report of the Director-General.

Part A – Report by the Director-General on the use of consultant contracts in 2011

1.   The UNESCO Staff Union (STU) takes note of the Director-General's report on the use of consultant contracts in 2011 and supports the draft decision contained in paragraph 29. STU stresses the importance of this draft decision, which aims to correct irregularities concerning the staff and the procedures and methods applied to the recruitment of consultants and to their geographical origin.

2.   First, as stated in the report, the total number of contracts rose in 2011, arguably on account of the fall in the number of permanent staff members, but STU fears that the number of consultant contracts continues to rise in practice to cover the performance of tasks vested in serving permanent staff members.

3.   Furthermore, as outlined in the report, most of the contracts are short-term (less than three months) and for amounts below US $10,000, which is consistent with the human resources policy. Nevertheless, STU notes with deep concern that this policy is easily circumvented by the practice of repeated consecutive contracts tantamount to employing consultants for long-term temporary periods or even quasi-permanently. STU calls on the Director-General and, above all, the Bureau of Human Resources Management (HRM) to introduce a more rigorous control mechanism against these abuses. STU cannot agree to permanent staff, recruited on the basis of their high-level skills and experience following a demanding recruitment procedure, being supplanted in the performance of their daily professional duties by consultants, however competent they may be.

4.   The great disparity in the geographical balance of consultants gives great cause for concern. As stated in the report, some 65% of consultants at Headquarters are from Group I. Even though this may be due to the geographical location of Headquarters in a Group I Member State, owing to

the international character of the tasks assigned to these consultants as a result of the very nature of the Organization, STU considers that there is no justification for not finding consultants from other regions. As this process is conducted by the sectors and services themselves, STU again requests HRM and the Director-General to increase monitoring in this area.

5.   Lastly, the recruitment of former or recently retired staff as consultants is not acceptable to STU. Although these people do have the required skills and knowledge of the Organization, their recruitment is an obstacle to the use of existing skills among staff members and their career development, which is not in the interest of the Organization because it impedes succession and poses a threat to institutional memory.

Part B – First progress review of the human resources management strategy and Action Plan (2011-2016)

6.   STU welcomes the good cooperation to date with HRM in the consultation on and establishment of various staff policies and the Human Resources Management Strategy and its Action Plan (2011-2016). However, STU calls for the policies to be better monitored in order to avoid circumvention by arrangements such as waivers or non-compliance with rules on the decentralization of human resources management to the sectors, services and offices.

7.   With regard to the progress report provided in Part B, paragraphs 3 to 8, of the document, STU stresses that the financial crisis facing the Organization may indeed affect the application of the policy, but can in no way justify the lack of progress in the implementation of genuine staff management measures that have no financial implications.

8.   The report refers to "Careers", the new e-recruitment system launched in June 2012 in order to reduce the length of the recruitment processing and facilitate the management of applications. However, as decisions are still taken in a decentralized manner in the Organization's various sectors and services, STU does not see how transparency in recruitment and monitoring of breaches of the established rules and procedures would be improved by this system. This remains one of the main concerns and a major factor of staff demotivation.

9.   The introduction of generic post descriptions might seem to be a means of facilitating the staff's professional versatility and mobility. However, several problems arise. Firstly, generic post descriptions are currently applied only in one programme sector and partly in another, which has created disparity in the Organization. Secondly, generic post descriptions have been compiled by the sectors' managers and administrative officers (then admittedly validated by HRM) with little or no consultation of the staff concerned. Thirdly, and even more importantly, generic post descriptions in the programme sectors by nature run counter to the specialized character of tasks of programme specialists recruited by the Organization on the basis of their specialisms and skills. STU does not understand how a specialist in basic education, for example, could become a specialist in cultural heritage overnight. Unless, as STU and other stakeholders fear, the goal is to make the Organization purely administrative and requiring general programme managers rather than specialists in thematic and intellectual matters. Such a shift could profoundly change the Organization's terms of reference, STU is not opposed to the principle of generic post descriptions for some administrative functions, but they must be compiled in consultation with the staff associations and the staff concerned and must not be presented as a fait accompli.

10.   As to the issue of competency assessment, STU is concerned that it seems to hinge solely on an "off the shelf" tool that will not be operational until 2014 whereas, in the context of the current crisis, which will certainly necessitate staff redeployments to various posts and duties in which staff will be more useful to the Organization, an efficient competency assessment mechanism must be installed as soon as possible. How can staff be redeployed without a detailed assessment of their skills? STU recommends that HRM organize a manual competency assessment system if the computer software cannot be installed before 2014.

11.   STU welcomes the introduction of a 90º, 180º and 360º performance assessment system, because the performance of those who make decisions on behalf of the Organization should also be assessed.

12.   In regard to the mobility policy, STU thanks HRM for explaining the difference between the terms "mobility" and "redeployment". In the light of the financial crisis facing the Organization, STU notes that a new mobility policy will be implemented in early 2013. Nevertheless, STU's demands, namely that managerial decisions be made transparently and in compliance with the rules and, above all, that those decisions be effectively monitored by HRM, remain unchanged.

13.   STU notes with concern that training activities are not planned before 2014-2015. In the context of the current crisis, in which staff redeployment could require training, priority should be given to those likely to be redeployed.

Part C – Geographical distribution and gender balance of the staff of the Secretariat

14.   Aware that recruitment decisions are the prerogative of the Director-General, STU nonetheless continues to be concerned about the imbalance in the distribution of staff by regional group. As indicated in Part C, paragraph 11, of the report, two groups in particular (III and IV) are largely underrepresented in the Secretariat. Of greater concern is the imbalance among regional groups by level of office, in particular, representation at the Director level and above, and the predominance of Group I in those posts. Generally speaking, STU has recently observed that, despite the overall reduction in recruitment, most of the senior managers recruited externally are from Group I, which poses the dual problem of geographical imbalance and internal career development.

15.   Equally disquieting is the imbalance in gender distribution, although there has been some improvement.

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