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NEW AUDITS BY THE EXTERNAL AUDITOR

AUDIT REPORT ON THE COMMUNICATION AND INFORMATION SECTOR (CI)

SUMMARY

Pursuant to Article 12.4 of the Financial Regulations, the External Auditor submits the audit report on the Communication and Information Sector (CI). The short form of this report and the comments by the Director-General are contained in document 200 EX/20 Part III.



<p>Cour des comptes FRANCE</p> 	<p>EXTERNAL AUDIT OF THE UNITED NATIONS EDUCATIONAL, SCIENTIFIC AND CULTURAL ORGANIZATION</p>	
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AUDIT REPORT ON THE COMMUNICATION AND INFORMATION SECTOR (CI)

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I. OBJECTIVE AND SCOPE OF THE AUDIT

1. A team of three auditors conducted an audit of the Communication and Information Sector (CI) at UNESCO Headquarters from 4 to 15 April 2016. The audit mainly concerned the management and activities of the Sector during the 2014-2015 biennium. In some cases, operations carried out previously were considered and, where necessary, light was shed on the 2016-2017 biennium.
2. This is the first time that the External Auditor has conducted an audit of one of the Organization's programme sectors, as opposed to divisions of the programme sectors.
3. The audit was conducted in accordance with the International Standards of Supreme Audit Institutions,¹ established by the International Organization of Supreme Audit Institutions² and in accordance with applicable texts, in particular Article 12 of the UNESCO Financial Regulations and the Annex on the Additional Terms of Reference Governing the Audit.
4. Each finding and recommendation was discussed with the senior managers. The exit meeting was held at UNESCO Headquarters with the Assistant Director-General of the CI Sector (ADG/CI) on 15 April 2016. ADG/CI commented on the draft recommendations and received a preliminary version of the report on 25 April 2016. The following findings and recommendations have taken into account the written comments and observations sent by the CI Sector to the auditors on 12 May 2016.

II. LIST OF RECOMMENDATIONS

Recommendation No. 1. The External Auditor recommends that the Administrative Manual give a more precise definition of the roles and responsibilities of a programme sector.

Recommendation No. 2. The External Auditor recommends that senior management issues terms of reference to each Assistant Director-General upon appointment, and that each ADG does the same for the directors of division under his or her authority.

Recommendation No. 3. The External Auditor recommends setting up a process or clear methodology for intersectoral work as requested by the General Conference.

Recommendation No. 4. The External Auditor recommends ensuring that the review evaluating the main lines of action (MLA) and expected results (ER) by 2017 required by the General Conference resolution of 17 November 2015 has been put in place.

Recommendation No. 5. The External Auditor recommends putting a tool in place to allow summary six-monthly follow-up of the performance indicators and targets for 2017 using SISTER.

Recommendation No. 6. The External Auditor recommends ensuring that the P-4 post previously assigned to New York is once more attached to the CI Sector and avoiding any repetition of cases where the employment of staff does not conform to the budget reports.

Recommendation No. 7. The External Auditor recommends improving the quality of performance appraisals of staff members in the Sector, including by the systematic setting of specific, personalized objectives.

¹ ISSAI.

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Recommendation No. 8. The External Auditor recommends that the sectors be given a tool for the consolidated monitoring of all contracts entered into by Headquarters and the field, covering both regular and extrabudgetary funding.

Recommendation No. 9. The External Auditor recommends the setting up, with the cooperation of the External Relations and Public Information Sector (ERI), of a dashboard showing the CI Sector's publications so that their real impact can be measured.

Recommendation No. 10. The External Auditor recommends drawing up a more ambitious CI Sector resource mobilization action plan, based on a thorough analysis of the Sector's "products", their fields of implementation and potential donor profiles.

Recommendation No.11. The External Auditor recommends better identification of roles and responsibilities within the Headquarters teams for the mobilization of resources, by setting targets for the directors, chiefs of section and directors of field offices that have a CI Sector specialist.

Recommendation No. 12. The External Auditor recommends involving programme sectors more closely in the performance appraisals of field staff under their budget.

Recommendation No. 13. The External Auditor recommends updating the projects database of the International Programme for the Development of Communication (IPDC) for 2014 and 2015.

Recommendation No. 14. Without calling into question the actions undertaken, the External Auditor recommends submitting to the Executive Board a study of the costs and benefits of maintaining specific governance for the International Programme for the Development of Communication (IPDC).

Recommendation No. 15. The External Auditor recommends inviting the States Members of the Intergovernmental Council of the Information for All Programme (IFAP) to prepare and adopt a strategic plan for the Programme for the coming years that will make it possible to highlight the concrete contributions of the Programme, distinguished from the other activities of the CI Sector in the same fields.

III. AUDIT FINDINGS

A. GOVERNANCE OF THE SECTOR

1. Definition of a sector of the Organization

5. The CI Sector was created in the 26th biennium (1992-1993), under the name of the "Communication, Information and Informatics Sector", to implement the strategy determined at the 25th session of the General Conference of the Organization, held in November 1989. Since that time it has been one of the five programme sectors though not, as it is often described, "the smallest programme sector in the Organization". It thus represented **4.7% of regular expenditure** for the 2014-2015 biennium and the same proportion of the expenditure plan for the current biennium, putting it in fourth place among the sectors, ahead of the Social and Human Sciences Sector (SHS).

6. Within the Organization, the **definition of the responsibilities of a programme sector** is somewhat laconic. While the strategic documents set them out clearly, the Basic Texts (2016 edition) make no mention of the notion of a sector, nor do the Human Resources Manual or the Staff Regulations and Staff Rules. The Administrative Manual (Chapter 1.5, Secretariat) merely states that "the Secretariat is divided into Sectors responsible for programme, administration and

external relations”, and that the sectors are headed by Assistant Directors-General (ADG) and are divided into bureaux, offices and divisions. The responsibilities of the sectors are mentioned in the various chapters of the Manual (for instance, 2.2. Programme and Budget (C/5), 2.4 Work Plans, 8.3 Programme Documents, etc.), but in an incomplete and scattered fashion.

7. The programme sectors, however, are the key players of the Organization in implementing the major programmes determined and funded by the Member States. Starting with the 31st biennium (2002-2003), each sector has thus been responsible for one of the major thematic programmes. Clarity about their responsibilities vis-à-vis the field offices, and about the mechanisms for arbitrating between sectors requires a complete definition of their mandate. This is also needed to allow the Organization to gain a better grasp of their responsibilities in leading their staff in the field and in mobilizing extrabudgetary resources.

Recommendation No. 1. The External Auditor recommends that the Administrative Manual give a more precise definition of the roles and responsibilities of a programme sector.

2. Leadership of the Sector

8. The CI Sector is under the responsibility of an **Assistant Director-General** (ADG), like every sector of the Organization. Mr Janis Karklins performed the duties of ADG/CI from 30 June 2012 to December 2013. After his departure, the post remained vacant until February 2016, when his successor was appointed.

9. The leadership of the CI Sector has faced major challenges in recent years against a background of reform and overall financial constraint for the Organization. In autumn 2013, the Director-General proposed, as part of the examination of the Medium-Term Strategy for 2014-2021 (document 37 C/4)³, the realignment of the thematic programmes, including the proposed **merger of the major programmes on communication and culture** as a way of addressing the budgetary constraints, and in response to a request from Member States for innovative proposals for dealing with the situation. Following the examination by the States of those preliminary proposals, a reformulation was submitted at their request, under which the sector and Major Programme V retained their independent status.

10. As funding for the post of ADG had nonetheless been withdrawn under the 2014 expenditure plan, the CI Sector was placed under the responsibility of the Deputy Director-General (DDG), Mr Getachew Engida, from January 2014 to February 2016⁴.

11. A new ADG, Mr Franck La Rue, was appointed on 22 February 2016⁵ and took up his duties at the end of March 2016. However late in the day that decision might have come, it appears welcome in offering effective leadership to the sector and particularly its two divisions, enhanced visibility and more active involvement in the mobilization of resources.

12. Not only does he or she have no job description, but the ADG of a sector does not traditionally receive any **written mandate** or terms of reference from senior management at the time of appointment. Such a practice, common to many organizations, could however be helpful in more effectively implementing the Organization’s priorities in each sector. It could also translate into mandates or letters of a similar nature to be issued by the ADG to the division directors under his or her responsibility, to complement their job descriptions. Such written guidelines would allow priority actions to be identified, and could be used as one of the elements taken into account in the regular performance evaluations.

³ 37 C/4, 2014-2021, Draft Medium-Term Strategy, page 7.

⁴ DG/Note 13/27 of 16/12/2013.

⁵ DG/Note/16/03 of 10/03/2016.

13. According to the Administrative Manual, the ADG of the CI Sector, like his peers, is part of the Senior Management Team (SMT), which meets every two months, and the Programme Management Committee (PMC), which meets monthly, among the functions of which is to promote “intersectoral dialogue” and ensure “coherence and integration in all programmes”.

14. The management of the sector is in practice based on monthly meetings of the directors and chiefs of section (some ten people), of which minutes are usually taken.

15. The **delegation of signature authority** for management absences are correctly granted in writing. The list of supervisor officers, of whom there are eight (division directors, section chiefs, the Executive Office and two programme specialists), is up to date and reflects the appointment of the new ADG. The list of those responsible for expenditure commitments (certifying officers) is kept up to date⁶ and is reasonably restricted. So is the list of approving officers.

16. The new ADG, like the previous ADGs, has delegated the awarding of contracts to his directors⁷ under their respective main lines of action (MLA) for amounts of less than \$100,000.⁸

Recommendation No. 2. The External Auditor recommends that senior management issues terms of reference to each Assistant Director-General upon appointment, and that each ADG does the same for the directors of division under his or her authority.

3. Internal organization of the Sector

17. The CI Sector was reorganized in May 2011,⁹ based on its own proposals made in December 2010. This new organization was confirmed in July 2013.¹⁰ It is henceforth set out in DG Note 14/35 of 17 May 2014.

18. The CI Sector has therefore, since 2011, consisted of **two divisions, each composed of specialists working at the Organization’s Headquarters, as well as specialists located in field offices who work in decentralized fashion for both divisions**. The respective directors of the divisions, both of whom have been in post for approximately five years, are “responsible for the administration of their divisions in accordance with the policies, rules and regulations of the Organization”.¹¹ There is also an **executive unit** and a unit for **administration**:

- (i) The Division of Freedom of Expression and Media Development (CI/FEM) is the product of the merger of the two pre-existing divisions. It now has only two sections (the Section for Freedom of Expression (CI/FEM/FOE) and the Section for Media Development and Society (CI/FEM/MAS), and the Secretariat of the International Programme for the Development of Communication (IPDC). This division currently numbers 15 posts (38 C/5 Approved), one of which (P-3) is vacant and under recruitment.
- (ii) The Knowledge Societies Division (CI/KSD) has been known by that name only since 2011. It has two sections (the Section for ICT in Education, Science and Culture (CI/KSD/ICT) and the Section for Universal Access and Preservation (CI/KSD/UAP)). This division currently numbers 16 posts (38 C/5 Approved), none of which is vacant. The Director of the Division has since 2011 filled one of the two Chief of Section roles (CI/KSD/ICT).

⁶ Latest edition dated 26 February 2016.

⁷ Note of 11/03/2016.

⁸ United States dollars.

⁹ DG/Note/11/18, *Reorganization of the Communication and Information Sector to reinforce programme delivery*, of 20 May 2011.

¹⁰ Note from ADG/CI to BSP and HRM of 29 July 2013.

¹¹ Chapter 1.5 of the Manual.

- (iii) The Executive Office (EO) is headed by an official at grade P-5 and has five posts (38 C/5 Approved), three of which are vacant (P-1, G-4 and G-3), with recruitment in each case in its final stages.
- (iv) The Administrative Unit (AO) has six posts (38/C5 Approved), none of which is vacant. It is headed by an Administrative Officer.
- (v) Programme specialists in the field offices represent 31.5 posts, approved by the General Conference under its \$667 million scenario and the associated \$518 million expenditure plan.

19. This internal organization appears well suited to carrying out Major Programme V. Nonetheless, a greater degree of synergy between the two divisions would make for better integrated implementation of the different pillars of Major Programme V.

Table 1: Mandate of the entities in the CI Sector

FEM: promoting the free flow of information (freedom of information, press freedom)

- Sensitizing governments, public institutions and civil society (including World Press Freedom Day).
- Assisting Member States in developing standards and legal instruments for press freedom and freedom of information.
- Monitoring the state of the safety of journalists (including impunity as regards violence against journalists).
- Promoting the diversity of media sources, content and public, especially gender equality in the media, media production by young people, the inclusion of minorities and vulnerable sections of society, and media in emergency and disaster situations.
- Promoting media pluralism, diversity of forms, in particular community media, and commemorating World Radio Day.
- Assisting Member States in developing policies and practices in media and information literacy.
- Mobilizing international support for the IPDC programme and assisting Member States in the development of free, independent and pluralistic media (Media Development Indicators).
- Setting standards for journalism education and for supporting the role of media in fostering inclusive dialogue, especially in conflict situations.

KSD: coordinating UNESCO's contribution to the follow-up to the World Summit on the Information Society (WSIS) to enhance the quality of and access to education, build scientific knowledge, promote open access to scientific research results and empower local communities

- Promoting free and open source software, open web and open standards, including for persons with disabilities.
- Protecting and digitizing the documentary heritage (Memory of the World Programme).
- Developing digital archives (World Digital Library).

- Secretariat of the IFAP programme.

EO:

- Coordinating programming, consolidation and harmonization of the eight-year Medium-Term Strategy (C/4) as well as the programme and budget, including posts and activities (C/5), and their corresponding biennial work plans.
- Coordinating the information services.
- Coordinating training activities.

Sector advisers in the field: promoting the strategy of the CI Sector through work on the programmes.

Jointly managed under the authority of ADG/CI in consultation with the CI directors and Executive Office.

AO:

- Managing financial and human resources administration and ensuring its correct implementation.

Source: DG/Note 11/18 of 20 May 2011.

B. STRATEGY OF THE SECTOR

1. Strategic positioning of the Sector

20. By contrast with programme sectors such as Culture and Education, the CI Sector does not have the same solid base that can be afforded by major United Nations international conventions such as those administered by the Culture Sector, or by core United Nations programmes.

21. The Sector is, however, directly involved in three of the Sustainable Development Goals (SDGs) decided in September 2015 to be achieved by 2030, in particular SDG 16: *Promote peaceful and inclusive societies for sustainable development, provide access to justice for all and build effective, accountable and inclusive institutions at all levels*. It even succeeded in including two of its own targets in SDG 16.10: *Ensure public access to information and protect fundamental freedoms, in accordance with national legislation and international agreements*, relating to the numbers of journalists arrested or killed (16.10.1) and the number of countries having adopted measures to favour public access to information (16.10.2).

22. The programme sectors are responsible, with the cooperation of BSP, for drawing up and implementing the elements of the C/4 **multi-year strategy**, established for three biennia.¹² The General Conference adopted the current strategy¹³ in autumn 2013. Though it was given three under the previous strategy,¹⁴ the CI Sector is assigned only one of the nine Strategic Objectives (SO) under the current strategy: SO 9, Promoting freedom of expression, media development and access to information and knowledge – although it is recalled that “the strategic objectives are not linked in an exclusive unidimensional way to any particular programme or area of competence”.¹⁵ Indeed, the CI Sector also contributes through some of its activities to SO 1 and SO 6.

¹² See Administrative Manual Chapter 2.1, Medium-Term Strategy.

¹³ Medium-Term Strategy for 2014-2021 (37 C/4).

¹⁴ Medium-Term Strategy for 2008-2014 (34 C/4).

¹⁵ Document 37 C/4.

23. In autumn 2015, the Sector presented its **five-point strategy** to the General Conference at its 38th session: focus on very specific areas of the mandate, strengthening of core areas, increased communication with Member States, development of partnerships with the private sector and other stakeholders, and reliance on a results-based programme and budget. This orientation towards refocusing and seeking external financing seems very helpful, but it is too early to measure the results.

24. At the same session of the General Conference, the Sector explained how it factored in the Organization's priorities, Africa and gender equality. Priority Africa accounted for 19.4% of the allocations for Major Programme V in the regular budget (document 37 C/5), and now for 19.9% of those in document 38 C/5, which is a mid-point position compared to the other sectors, but 31.5% of the work plans are allocated to it, which is a higher proportion than other sectors. The gender equality priority is reflected in 60 of the work plans of Major Programme V, which is a proportion comparable to that of the SHS Sector.¹⁶

2. The place of the Sector's activity in the Medium-Term Strategy and its interface with the other programme sectors

25. SO 9 of the Medium-Term Strategy (37 C/4) breaks down into four areas: freedom of expression, access to quality education for all, respect for linguistic and cultural diversity and universal access to information and knowledge. However, in document 37 C/4, approved in autumn 2013, the General Conference endorsed **13 items** under this objective, valid throughout the current biennium.

Table 2: Strategic Objective 9

Promoting freedom of expression, media development and access to information and knowledge

Item	Subject	Activities
(i)	Freedom of expression	<i>WPF Day, WPF Prize</i>
(ii)	Safety of journalists	<i>United Nations Plan of Action on SoJ</i>
(iii)	Development of free, independent and pluralist media	
(iv)	Promotion of media pluralism and diversity	<i>Local and public service media, World Radio Day, youth in media, media in emergency and disaster situations</i>
(v)	Gender equality in the media	<i>Indicators of gender equality in the media, academic agenda for gender and the media, plan of action for gender equality in the media</i>
(vi)	Promoting access to the media	<i>Education about the media and information</i>
(vii)	Promoting free, independent and pluralist media via the IPDC	<i>IPDC</i>
(viii)	Strengthening the media	<i>Media Development Indicators</i>
(ix)	Supporting the training of journalists	<i>Model curricula</i>
(x)	Reducing the digital divide	<i>OER initiative, OAS</i>
(xi)	Access to information and	<i>ICTs for persons with disabilities, YouthMobile, ICT-CFT,</i>

¹⁶ Cf. Memo BSP/2015/100 *Review of 38 C/5 WP and allotment of 2016 Budget* of 7 December 2015.

	knowledge via alternative digital means	<i>FOSS (Free and open software)</i>
(xii)	Building knowledge societies	<i>Implementation WSIS, IFAP, Multilingualism in Cyberspace</i>
(xiii)	Preserving the documentary heritage	<i>Memory of the World Programme</i>

Source: External Auditor from document 37 C/4.

26. Some of these items however seem to be common and interdependent. For instance, the education of journalists appears at the same time in items (iii) (iv) (v) and (ix). Similarly, the promotion of free, independent and pluralist media is achieved through items (iii), (iv) (v) and (vi). This convergence restricts the possibilities of setting independent indicators for each item. However, according to the Sector, this convergence does not mean that there cannot be distinct indicators for the different items.

27. As advised in the Administrative Manual,¹⁷ preparation of the programme submitted to the Executive Board (document C/5) must favour “**intersectorality** and interdisciplinarity”. That aim was again given expression recently in 38 C/Resolution 104 (10) (c). In fact, a number of the items assigned to the CI Sector appear to be shared with other sectors of the Organization and could be treated as intersectoral projects: for instance, in the field of quality education for all, which is of obvious interest to the Education Sector, in “enhancing the abilities of journalists to report on science, development and democratic governance” (item (ix) of SO 9), which is of interest to the Natural Sciences Sector, and in the preservation of the world documentary heritage (item (xiii) of SO 9), which is of interest to the Culture Sector. Several of the Sector’s flagship operations, such as the protection and digitization of the documentary heritage, the Memory of the World programme and work on youth and the Internet to combat radicalization, also appear to call for cooperation with other sectors (in this case the Education, Culture and Social and Human Sciences Sectors).

28. Clarification of some of the items attributed to the CI Sector under Strategic Objective 9 in the C/4 document seems all the more necessary as **certain entities within the sectors seem to be competing with each other**, like the KSD/ICT section in the CI Sector and the ED/PLS/ICT section in the Education Sector, with no clear demarcation of their activities. These frictions came to the fore in particular in 2015 when certain extrabudgetary projects were launched (with the Korea Foundation and the Hewlett Foundation). These difficulties were due to the evolving priorities of the Organization (especially with regard to the links between the new communication technologies (NCT) and education, NCT and social transformation, NCT and youth, NCT and the challenge of radicalization, and NCT and for the empowerment of persons with disabilities, etc.) and the demands of Member States in relation to specific and growing challenges. This has required intersectoral action to be stepped up, which is also in line with the approach in the 2030 Agenda for Sustainable Development.

29. Given the existence of these problems and the increasing demand for intersectoral action, it appears highly necessary to have a process to enable the action of each programme sector to be integrated in a practical way into the implementation of its work programme, and, if needed, to resolve conflicts about attribution between the sectors. This should be entrusted to the Programme Management Committee at Headquarters, recently relaunched in line with the recommendations made by the Internal Oversight Service (IOS) in 2015 on project management.

¹⁷ Chapter 2.2 Programme and Budget (C/5).

Recommendation No. 3. The External Auditor recommends setting up a process or clear methodology for intersectoral work as requested by the General Conference.

3. Setting of objectives (MLA) and expected results (ER)

30. The CI Sector implements the **Major Programme** – Communication and Information. Under the rules in effect for the preparation and adoption of the C/5 budget document, this programme is broken down into main lines of action (MLA). Having had three MLA in the 2012-2013 biennium, starting from the 2014-2015 biennium Major Programme V has had two. Each division in the Sector manages one of these MLA (freedom of information and the media; universal access to information and knowledge), which are unchanged for the current biennium.

31. Starting with the 2014-2015 biennium, **expected results** (ER) have been introduced. From the original six in 2012-2013, the number of ER has been cut to four in the expenditure plan approved for the 2014-2015 biennium on the proposal of the Sector.¹⁸ When the programme for the current biennium was adopted in October 2015, the Member States however stated their wish to have the number restored to six to give clearer focus to the IPDC and IFAP programmes.

Table 3: Main Lines of Action and Expected Results of the CI Sector

	36 C/5 2012-2013	37 C/5 2014-2015	38 C/5 2016-2017
MLA 1	<i>Promoting an enabling environment for freedom of expression in order to foster development, democracy, and dialogue for a culture of peace and non-violence</i>	<i>Promoting an enabling environment for freedom of expression, press freedom and journalistic safety, facilitating pluralism and participation in media, and supporting sustainable and independent media institutions</i>	<i>Promoting an enabling environment for freedom of expression, press freedom and journalistic safety, facilitating pluralism and participation in media, and supporting sustainable and independent media institutions</i>
ER 1	-	<i>The environment for freedom of expression, press freedom, journalistic safety and self-regulation is strengthened, for both online and offline media platforms, and especially in post-conflict countries and countries in transition, through favourable policies and practices</i>	<i>Member States have adopted and/or applied frameworks to strengthen the environment for freedom of expression, press freedom and safety of journalists.</i>
ER 2	-	<i>Pluralistic media institutions are facilitated, including by adoption of gender-sensitive policies and through support for strengthened community media policy and practice, while citizens, and particularly youth, are empowered through enhanced media and information literacy (MIL)</i>	<i>Member States have enhanced pluralistic media and empowered audiences</i>

¹⁸

Note ADG/CI of 29 July 2013.

		competencies	
ER 3	-	<i>Independence and sustainability of national media institutions bolstered, through innovative, policy-relevant, knowledge-enhancing (IPDC) projects and through capacity-building for journalists and journalism schools</i>	<i>Local actors in Member States have fostered media development through the IPDC</i>
MLA 2	<i>Strengthening free, independent and pluralistic media, civic participation and gender-responsive communication for sustainable development</i>	<i>Enabling universal access and preservation of information and knowledge</i>	<i>Enabling universal access and preservation of information and knowledge</i>
ER4	<i>Member States supported in the development of free, independent and pluralist media, reflecting the diversity of the society.</i>	<i>The Open Solutions for Knowledge Societies programme (open education resources, open access, free and open source software, open training platform, open data and Open Cloud) and ICT accessibility, including for the disabled, and for all languages, promoted in Member States</i>	<i>Member States have advanced universal access to information through Open Solutions</i>
ER5	<i>Capacities of media training and journalism education institutions strengthened to reach the established criteria of excellence in training as regards journalists' investigative skills and gender equality perspectives in media</i>	<i>Documentary heritage in all its forms preserved through a strengthened Memory of the World Programme</i>	<i>Member States have preserved documentary heritage through the Memory of the World Programme</i>
ER6	<i>Media and information literacy (MIL) enhanced to enable citizens to make full use of their right to freedom of expression and information, taking into account the access and needs of both women and men</i>	<i>Member States supported in implementing the outcomes of the WSIS and universal access to information enhanced, including through the IFAP</i>	<i>Member States' capacities for the use of ICT for sustainable, knowledge-based development enhanced through the implementation of the WSIS outcomes and of the IFAP priorities, towards inclusive and pluralistic knowledge societies</i>
MLA 3	<i>Supporting Member States in empowering citizens through universal access to knowledge and the preservation of</i>	-	-

	<i>information, including documentary heritage</i>		
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Source: C/5 Programme and Budget approved by the General Conference on 17 November 2015.

32. As with the other programmes, each ER has a different priority for resource allocation. For the current biennium, ER4 and ER5 have maximum priority (A), while ER1 and ER2 have intermediate priority (B). ER4 and ER6, both of which relate to programmes with specific governance, have reduced priority (C) in document C/5. These priorities are, on the whole, in line with those of the previous biennium and the differences do not seem to have had any practical implications for funding.

33. Each ER of the Sector corresponds to one of its sections, which must implement it. Follow-up of ER3 and ER6, added in document 38 C/5, which refer to IPDC and IFAP respectively, will be less easy bearing in mind the links between these programme activities and the rest of the Sector's activities and, in the case of IFAP, the absence of an identified unit within the KSD Division.

34. In its budget resolution for the current biennium, the General Conference requested the Director-General to carry out a **review of the MLA and ER** by 2017, to include the two intergovernmental programmes, so as to "propose their continuation, reorientation, including possible reinforcement, exit strategies or termination, based on clear evaluation criteria". It seems this exercise should commence forthwith.

Recommendation No. 4. The External Auditor recommends ensuring that the review evaluating the main lines of action (MLA) and expected results (ER) by 2017 required by the General Conference resolution of 17 November 2015 has been put in place.

4. Performance indicators and quantitative objectives

35. Since the last biennium, the expected results (ER) have been broken down into **performance indicators**, which have **targets/benchmarks** for 2017. For the current biennium¹⁹, the Sector has no less than 15 performance indicators and 36 targets, mostly giving the number of countries in which progress is to be made, such as marking World Press Freedom Day, strengthening the legal framework, capacity building and so on.

36. The auditors verified the reliability of the four following results indicators found in the programme implementation report (PIR), in document 199 EX/4 of March 2016. No anomalies were found.

Table 4: Monitoring of performance indicators

Indicator monitored	Expected Result	Verification carried out
<i>World Radio Day</i>	The indicator provides for WRD to be held in "at least 40 countries": 340 events were held in 2015 in 83 countries	Inventoring of reports of events on the website worldradioday2015.crowdmap.com/reports
<i>Youth Mobile Initiative</i>	The project, launched in March 2014, was rolled out in 15 countries in 2015	Inventoring of activities in the <i>Youth Mobile Briefing 2015</i>
<i>Media Development Indicators</i>	The project provides for MDI to be established in "at least seven countries": 4 countries are completed and 7 others are in the process of implementation	"MDI based assessments" viewed

¹⁹ PIR, in document 199 EX/4, March 2016.

Teacher training in ICT	The objective of “at least 5 teacher training institutions using the <i>ICT Competency Framework for Teachers</i> (ICT CFT)” has been met	Inventorying of countries involved
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Source: External Auditor.

37. These indicators are tracked in the SISTER application, but this requires a survey to be conducted among the Sector’s responsible officials for every report to the Executive Board. A six-monthly summary “dashboard” based on the reporting in SISTER would allow the Sector better control over progress towards its performance indicators and targets.

Recommendation No. 5. The External Auditor recommends putting a tool in place to allow summary six-monthly follow-up of the performance indicators and targets for 2017 using SISTER.

C. BUDGET MANAGEMENT

1. The budget framework and process

38. The CI Sector has a budget that is identified in the C/5 budget document for each biennium in the form of a major programme (Major Programme V), introduced in 1990, which covers all its expenditure on staffing and operations.

39. The role of the programme sector in programming the regular budget (RP) is confined to planning the activities and drawing up the future staffing structure of the Sector, with the staff costs being drawn up directly by BSP based on a fixed amount. The internal brainstorming consultation on the priorities for the biennium starts two summers earlier (August 2014 for the 2016-2017 biennium): each division puts forward its programme priorities, which are consolidated by the Executive Office with input from the field offices.

40. The draft programme is drawn up by the Sector based on a budget envelope defined by the Director-General. It is submitted to BSP, often within a short time limit. BSP canvasses the suggestions of Member States on the draft and verifies that it complies with the pre-established budget envelope. In the last financial period the DDG (acting ADG) complained in writing to the Director-General about the amount of that envelope.

41. This budget is approved every two years by the General Conference based on a hypothetical resource scenario. For the current biennium, this is the scenario known as zero nominal growth plus \$518 million, in other words stability of regular programme resources in terms of purchasing power, as reflected in General Conference resolution 38 C/Resolution 54. Like all major programmes since the C/5 document for the 2014-2015 biennium, the approved programme and budget have cross-cutting priorities: Africa, gender equality, least developed countries, small island developing States, youth and vulnerable segments of society, including indigenous peoples.

2. The CI Sector budget

42. The total budget (C/5) originally approved at the 37th session of the General Conference for the 2014-2015 biennium was **\$37,138,800**, broken down into expenditure plan resources of \$23,513,000 for the regular programme (RP) and extrabudgetary resources (EXB) of \$13,625,800, or 63.3% and 36.6% of the total respectively. Additional allocations in the amount of \$1,480,638 supplemented that original amount for the regular programme of the previous biennium.

43. The Sector’s expenditure under the regular programme came to \$24,744,137 for the 2014-2015 biennium, or **4.7% of the expenditure** of the Organization, slightly more than that of the

Social and Human Sciences Sector.²⁰ The amount was slightly higher, by \$417,416, than the resources allocated to the work plan for the biennium.

44. For the 2016-2017 biennium, the total budget (C/5) approved by the General Conference at its 38th session was **\$40,364,300**, broken down into expenditure plan resources of \$23,651,700 under the regular programme (RP) and extrabudgetary resources (EXB) of \$16,712,600, or 59% and 41% of the total respectively. As of April 2016, this amount represented **4.3% of the total budget** set by the Organization for the biennium.²¹

**Table 5: Budgets and expenditure of the Sectors for the 37th and 38th biennia
(in US dollars)**

Sector	37 C/5 Approved (\$653M)			37 C/5 Expenditure Plan (\$507M)				EXB	Total Resources
	Ops	Staff	Total	Ops	Staff	Total	Funding %		
ED	50,306,000	67,658,600	117,964,600	29,151,300	53,980,500	83,131,800	70.5	77,073,400	160,205,200
SC	19,223,100	43,181,000	62,404,100	11,349,800	33,502,000	44,851,800	71.9	188,331,000	233,182,800
SHS	11,251,400	21,945,600	33,197,000	5,745,700	18,113,800	23,859,500	71.9	2,181,100	26,040,600
CLT	15,277,700	38,844,000	54,121,700	8,001,100	32,897,800	40,898,900	75.6	43,550,100	84,449,000
CI	13,378,900	19,335,700	32,714,600	5,614,500	17,898,500	23,513,000	71.9	13,625,800	37,138,800

Sector	38 C/5 Approved (\$667M)			38 C/5 Expenditure Plan (\$518M)				EXB	Total Resources
	Ops	Staff	Total	Ops	Staff	Total	Funding %		
ED	73,051,800	51,386,000	124,437,800	31,872,500	51,386,000	83,258,500	66.9	84,573,700	167,832,200
SC	26,296,600	41,053,600	67,350,200	12,755,300	35,553,100	48,308,400	71.7	187,385,100	235,693,500
SHS	15,197,000	22,925,900	38,122,900	6,698,800	18,759,200	25,458,000	66.8	26,162,100	51,620,100
CLT	20,494,000	33,945,400	54,439,400	11,422,200	32,245,800	43,668,000	80.2	45,408,900	89,076,900
CI	15,705,600	18,666,600	34,372,200	6,458,300	17,193,400	23,651,700	68.8	16,712,600	40,364,300

Source: 37 C/5 (Approved) and 38 C/5 (Approved).

3. The share of the CI Sector in the budget of the Organization

45. The Sector's share of the regular budget of the Organization may be modest (second lowest of the programme sectors) but in fact it has been constant since the 2012-2013 biennium, at 4.7% of the C/5 document.

**Table 6: The share of each sector in the regular budget
for the 36th, 37th and 38th biennia**

Sector	36 C/5		37 C/5		38 C/5	
	Approved Budget	Expenditure Plan	Approved Budget	Expenditure Plan	Approved Budget	Expenditure Plan
ED	17.7%	17.0%	18.1%	16.4%	17.7%	17.0%
SC	9.0%	8.7%	9.6%	8.8%	9.0%	8.7%
SHS	4.5%	4.3%	5.1%	4.7%	4.5%	4.3%
CLT	8.0%	7.8%	8.3%	8.1%	8.0%	7.8%
CI	4.9%	4.7%	5.0%	4.6%	4.9%	4.7%

Source: 36 C/5, 37/C5 and 38 C/5 (Approved).

²⁰ 199 EX/4 Part II, April 2016.

²¹ 199 EX/4 Part II, 4 March 2016.

46. The **extrabudgetary resources** (EB workplan allotments) actually raised by the Sector for the 2014-2015 biennium came to \$17.299 million, or 5% of the total received by the Organization.²² The proportion of extrabudgetary resources envisaged for the CI Sector for the current biennium (41.4%) is, however, still below the average share of extrabudgetary resources in the Organization's budget (45%). An objective in line with that average would mean the Sector would have to look for \$18.2 million for the biennium, or an additional \$1.5 million.

4. Features of the CI Sector budget

47. After **apparently falling very sharply** between the 2012-2013 and 2014-2015 biennia,²³ the Sector's budget has recovered its stability, increasing by 8.7% in the current biennium. Growth in resources from the regular programme was a mere +0.6%, but this was made up for by a substantial rise in extrabudgetary resources (+22.7%).

Table 7: Evolution of budgetary resources (expenditure plan)

Sector	36 C/5	37 C/5	38 C/5
ED	-	+4.9%	+0.2%
SC	-	+11.0%	+7.7%
SHS	-	+18.6%	+6.7%
CLT	-	+12.6%	+6.8%
CI	-	+6.8%	+0.6%

Source: 36 C/5, 37/C5 and 38 C/5 (Approved).

48. The Sector's budget includes a **significant proportion of staff costs**.²⁴ This proportion has however been contained since the 2012-2013 biennium, which has enabled growth in the share of funding for operations.

Table 8: Breakdown of the CI Sector budget (in US dollars)

Budget	36 C/5	37 C/5	38 C/5
Operations	4,010,250	5,614,500	6,458,300
Staff	18,012,750	17,898,500	17,193,400
Field%	-	41.4%	41.5%
HQ%	-	58.6%	58.5%
Total RP	22,023,000	23,513,000	23,651,700
EXB	74,988,200	13,625,800	16,715,600
Total Resources	97,011,200	37,138,800	40,367,300

Source: 36 C/5, 37/C5 and 38 C/5 (Approved).

49. **Less than half of the regular programme** (41.5% for the current biennium) is **decentralized** into the field network. This proportion has not increased since the previous biennium and it remains below the average for the Organization (63.7% of allotments in 2015).²⁵ As regards the work plans for the current biennium, the CI Sector is planning a 50/50 split of its activities between Headquarters and the field.²⁶ When one deducts the common Headquarters charges from the major programme total, the decentralization rate for the Sector is however higher, reaching the prescribed ratio of 55% for the field and 45% for Headquarters.

²² See 199 EX/4 Part II.

²³ Divided by 2.6 because extrabudgetary resources were divided by seven, as a more realistic way of taking account of committed extrabudgetary resources.

²⁴ For the biennium 2014-2015, 76.1 % of the regular budget and 48.2 % of total resources.

²⁵ See 199 EX/4 Part II.

²⁶ See Memo BSP/2015/100 *Review of 38 C/5 WP and allotment of 2016 Budget* of 7 December 2015.

50. The Sector's resources include **two Special Accounts**, for the IPDC and IFAP. These "Special Accounts to receive funding for clearly defined objectives" were created by the Director-General, as provided for in the Administrative Manual.²⁷ The Sector must draw up a specific work plan for the funded activities and the BFM/FAS Section has to produce a financial report each year on the use of the funds in each Special Account.

51. While those accounts represented 23% (\$73.77 million) of the extrabudgetary allotments of the Organization for the previous biennium,²⁸ funds drawn on CI Sector Special Accounts made up only 8% of its extrabudgetary resources in 2015, the lowest amount of any of the sectors.²⁹

5. Budget implementation of the Sector

52. Expenditure of the budget on activities is monitored through monthly implementation reports by the Sector. This works satisfactorily. Based on the latest dashboards,³⁰ the CI Sector is **in the middle of the range for financial management** given the different parameters (rate of expenditure, allocation time limits for additional allocations, outstanding travel claims, etc.).

Table 9: Implementation of the regular budget of the Sector for the 2014-2015 biennium (in millions of US dollars)

	<i>Allocation</i>	<i>Expenses</i>	<i>Expenditure Rate</i>
<i>Activities</i>	7.761	7.731	99.6%
<i>Staff</i>	16.565	17.013	102.7%
<i>Total</i>	24.326	24.744	101.7%

Source: Table 1 of 199 EX/4.INF, March 2016.

53. The high **expenditure rate** (101.7%) compared to the work plan allocations is explained by staff costs that are higher than the standard costs used to draw up the budget.

54. Delivered/unliquidated expenditures of extrabudgetary resources were \$10,933,000 in 2014 and \$11,472,000 in 2015. They show an increase since 2013.³¹ Their expenditure rate rose slightly in 2015 compared to the previous year. Standing at 66.6% in 2015, that rate is higher than the average for the Organization (64%).³²

6. Breakdown of the Sector's budget by activity

55. The approved budget of the Sector is divided into work plans,³³ setting out all the activities financed (regular budget and extrabudgetary resources). Extrabudgetary activities are supposed to be covered by a Complementary Additional Programme (CAP) of targeted/projected extrabudgetary activities.³⁴ According to the Manual, the ADG is responsible for the consistency of these activities with the C/5 budget. It requires him to make a quarterly programme implementation report to the Director-General on implementation of the work plan.

²⁷ Chapter 5.2 Special Accounts.

²⁸ See 199 EX/4 Part II.

²⁹ See Memo BSP/2015/100 *Review of 38 C/5 WP and allotment of 2016 Budget of 07/12/2015*.

³⁰ 188 EX/4 Part II and 199 EX/4 INF.3, April 2016, *SMT Financial Management Report*, December 2015, *AO/EO Dashboard*, December 2014, *Financial Dashboard*, September 2015.

³¹ See 199 EX/4 INF.3.

³² See 199 EX/4 Part II.

³³ See Chapter 2.4 Work Plans in the Administrative Manual.

³⁴ See Chapter 2.6 on the CAP in the Administrative Manual.

56. **Total expenditure** (regular and extrabudgetary) on Major Programme V for the previous biennium was **\$59,729,000**,³⁵ which represents slightly more than 10% of resources and expenditure under the Organization's regular budget, but only a little more than 5% of resources and expenditure of its extrabudgetary budget for the year 2015 alone.

Table 10: Breakdown of the Sector's resources and expenditure (MP V) for the 2014-2015 biennium (in millions of US dollars)

	RP							XB 2015				
	Total Expenditure Plan	% Total	Allocations	% Total	Expenses	% Total	Exp. Rate	Allotments	% Total	Expenses	% Total	Exp. Rate
MLA 1	11.882	50.5	12.488	51.3	12.710	51.4	102%	12.861	74.3	8.371	73.0	65%
- ER1	8.028	34.1	6.972	28.7	7.129	28.8	102%	7.720	44.6	5.104	44.5	68%
- ER2	3.854	16.4	5.516	22.7	5.581	22.6	101%	5.141	29.7	3.267	28.5	64%
MLA 2	11.631	49.5	11.839	48.7	12.034	48.6	102%	4.073	23.6	2.823	24.6	69%
- ER3	5.874	25.0	5.886	24.2	5.981	24.2	102%	1.995	11.5	1.544	13.5	77%
- ER4	5.757	24.5	5.953	24.5	6.053	24.5	102%	2.078	12.0	1.279	11.2	62%
(1)	-	-	-	-	-	-	-	365	ns	278	ns	76%
Total	23.513	100	24.327	100	24.744	100	101%	17.299	100	11.472	100	66%
% MP	10.9	-	10.4	-	10.5	-	-	5.5	-	5.7	-	-

Note: (1) = EB resources not linked to ER.

Source: 199 EX/4.INF.3, March 2016.

57. The breakdown of regular programme resources and expenditure is very evenly split between the two MLA; ER1 dominates with 34.1% of allocations but is slightly less dominant for expenditure (28.8%). The expenditure implementation rate per MLA and ER1 for the regular programme is very even.

58. For the extraordinary budget, on the other hand, there is a **huge imbalance between the two MLA**, with MLA 1 accounting for almost two thirds of the total (74.3% of allocations and 73% of expenditure). The extraordinary expenditure implementation rate for the year 2015 alone is below average for ER4 (62%). After the date of the audit, the Sector however indicated that it had received fresh funds of \$3 million for MLA 2.

59. Overall, MLA 1 represented over 55% of regular programme expenditure for the previous biennium and the extraordinary budget for 2015, with ER1 alone accounting for 33.8% of the total.

7. Management of the Sector's missions

Table 11: Cost of missions (in US dollars)

	35th biennium	36th biennium	37th biennium	37th biennium XB
Headquarters	596,524	226,710	496,461	357,444
Field	697,808	178,389	325,080	180,669
Total	1,294,332	405,099	821,541	538 113
Expenditure of operating budget	12,598,000	4,511,000	7,731,000	13,625,800
Ratio Travel/operating budget	10.27%	8.98%	10.63%	s.o.

Note 1: Contractors' missions are not counted as they are included in the contract fee, and thus borne by the contractors themselves.

Note 2: For extrabudgetary programmes, where the project is managed by Headquarters, the funds are not totally decentralized to the offices and the mission costs of field staff are included in those of Headquarters.

Note 3: For extrabudgetary funds, it is impossible to subtract the staff costs and thus isolate the amount that is purely operational, and this falsifies the calculation of the ratio.

Source: External Auditor.

60. In her note of 9 July 2012 implementing “efficiency measures” to limit operating budget costs in the context of reduced resources, the Director-General imposed new, stricter rules. For instance, to be eligible for business class air travel, the mission must be less than three days in length and the flight more than nine hours.

61. However, despite the recommendations of the External Auditor, she did not reintroduce checks on hotel bills. In practice, the daily subsistence allowance (DSA) granted for a mission is reduced where the official is accommodated free of charge. There is now a simple declaration that accommodation has been paid for, whereas previously a quick check was made on the invoice. The Organization should reintroduce these checks to ensure declarations are compliant; this might lead to a slight fall in such costs, which would apply across all the sectors.

62. Overall, CI Sector **expenditure on mission costs** under the regular programme nonetheless fell by more than 36.5% between 2010 and 2015,³⁶ which proves that the Sector has made a major effort, as this is greater than the fall in its resources. Savings on travel costs are however not the same for Headquarters, which reduced its costs by only 16.8% (\$100,000), as for the field offices, which made savings of 53.4% (\$372,000), or four times as much but with fewer staff. Though the Headquarters travel budget was higher than for the field during the 35th biennium, that trend was reversed in the 36th biennium.

63. Costs of mission taken overall still represent a high proportion of the regular operating budget: more than 10.5%, or an increase of more than 1.5 points over the 36th biennium, when real savings were made. This proportion is even slightly higher than the 10.27% for the 35th biennium, before the budgetary crisis. However, in half of the field offices studied the proportion was less than 5%, and close to 10% for the other field offices that were checked. That leaves the impression that the majority of mission costs are still incurred by Headquarters.

D. HUMAN RESOURCES MANAGEMENT

64. Staffing at Headquarters represented 866 posts as at 31 December 2015, of which 90 (10.4%) were vacant.³⁷ **The share of the CI Sector** in this is modest, at around **4.9%**, a proportion slightly higher than that of its activities.

1. Analysis of the staffing of the CI Sector

65. The CI Sector and its senior managers identify the **quantity and quality of the human resources available** as the main challenge in implementing the programme and activities in a way that meets the demands of the Member States for activities in their areas. This also emerges from the indications given to the Executive Board in the strategic results report (SSR) submitted for the first time in April 2016,³⁸ and those in the most recent programme implementation report, (PIR).³⁹

Table 12: Evolution in staffing and staff costs funded from the regular programme

(Funded posts)	36 (2012-2013)	37 (2014-2015)	38 (2016-2017)
Budgeted staff	79.12	71.33	74.5
<i>Headquarters (vacant)</i>	47.83 (+2)	42 (+2.33)	43 (+4)
<i>Field (vacant)</i>	27 (+2.29)	25 (+ 2)	31.5 (+10.5)
<i>Total vacant</i>	4.29	4.33	14.5

Source: External Auditor.

³⁶ The 36th biennium should not be counted as it was an exceptional one with drastic spending reductions.

³⁷ 199 EX/4 Part II, April 2016.

³⁸ “Limited financial resources constrained the ability of staff to adequately implement the programme.” (SSR, in document 199 EX/4, March 2016).

³⁹ “The biggest challenges of 2014 and 2015 were the lack of resources, both financial and human.” (PIR in document 199 EX/4, March 2016).

66. Like all United Nations institutions, UNESCO must keep to the “**continuing vacancy**” rate of 5% of its posts. This leads the programme sectors to keep a higher percentage of posts vacant, and the vacancy rate for funded posts in the CI Sector in the last biennium was almost 6.1%. Through no fault either of the Sector or the Organization, this requirement leads to budgets being drawn up that are unrealistic in terms of staffing, as not all vacant posts can be filled during the budget period. However, the practice has been not to have a separate budget line for these frozen posts. The posts appear as vacant but with no funding – as with the post of ADG and its secretariat from 2014 to 2015 – with a view to being able to reopen them if the Sector were to be allotted additional funds, as the process of abolishing the posts and then creating them would be cumbersome. Thus, in the 37th biennium, 25 posts in the Sector were officially vacant, but only 4.33 of them had available funds that would have enabled them to be filled.

Table 13: CI Sector staffing breakdown (in FTE)

<i>Staff</i>	38 C/5 Expenditure Plan	Of which vacant	37 C/5	Of which vacant	36 C/5	Of which vacant
Headquarters						
<i>P and higher categories</i>	26	2	27	2	33	1
<i>GS and related categories</i>	16	2	17	-	24	2
<i>HQ Total</i>	42	4	44	2	57	3
Field offices						
<i>P and higher categories</i>	31	9	28	2	30	3
<i>GS and related categories</i>	1	0	1	-	0	0
<i>FO Total</i>	32	9	29	2	30	3
<i>CI Total</i>	74	13	73	4	87	6

Source: *Staffing tables.*

67. **The CI Sector has seen a substantial fall in its staff numbers** since the financial crisis caused by the decision by the United States to end its financial support to the Organization, with numbers falling 17.6% between documents 36 C/5 and 38 C/5, but the latter shows a slight upturn in staffing (two posts have been created in the field) compared to the previous biennium. Most of the fall however occurred during the 36th biennium, before the Sector adopted a new policy of moderating salaries.

68. It must however be noted that while the Sector as a whole lost six posts between 2012 and 2016, Headquarters bore the loss of eight posts (a fall of 16.7%) while the Sector strengthened its network in sub-Saharan Africa. The choices made by the Sector in terms of staff reduction therefore enabled it to enhance its relative presence in the field, with that presence going from 37% of the total in 2012 to 43% in 2016, meaning that it achieved the general goal in document 38 C/5 (Approved) and the 38 C/5 expenditure plan of a Headquarters/field split of 60%/40%.

2. Strategy adopted to reduce staff costs

69. The first option explored was the proposed **sharing of certain posts in the local offices** with other sectors. In the 37th biennium, a number of posts were shared with the SHS Sector, which had no staff members in the field offices. While this was a positive experience for the CI

Sector, it represented a heavy investment for the SHS Sector, which, even though sharing the costs, was obliged to “create” a local network. That Sector therefore only agreed to do the same in the 38th biennium for one single post (the one in Guatemala City) though the CI Sector was suggesting an extension for four of them.

70. Since post sharing could not be imposed, the CI Sector decided to avoid simply abolishing posts but attempted to reduce its staff costs, or at the least to avoid any increase in charges due to salary increases, by **reducing the grade of posts becoming vacant, almost on a systematic basis**. In practice, each post is created with a grade that generates a specific salary. By downgrading the level required, and thus the salary, the Sector intended to make substantial savings in the 38 C/5 expenditure plan.

71. This policy was put into practice only in the 37th biennium, as for the 36th it was proposed to upgrade eight posts and downgrade only one, at Headquarters (FEM). At the time of adoption of the budget for the 37th biennium, the Sector proposed the downgrading of five field posts: three posts at “international” level were downgraded to local National Officer posts, and one national level post was downgraded (from NOA to L7) because of recruitment problems specific to the country concerned (Qatar), where the cost of living makes national level contracts insufficiently attractive for nationals of that country. For the 38th biennium, another three field posts were proposed for downgrading. At Headquarters, a number of posts were frozen in document 37 C/5, including that of the Chief of the KSD/ICT Section (P-5), while some posts in the FEM Division, one P-3 post in the Executive Office and other general services posts were downgraded. One P-3 post (CI-342) was also abolished in the MAS Section.

72. This is the Sector’s own strategy, with the other sectors having chosen instead to abolish posts. It seems to have reached its limits, for three reasons:

- (i) This is not a concerted strategy of the Organization, as each sector has pursued its own policy for keeping salaries down, which does not allow a clear view of UNESCO’s objectives in terms of its human resources management.
- (ii) Given its decision not to lose expertise at a time of financial uncertainty and changes, starting with document 37 C/5 and then in the expenditure plan in document 38 C/5, the Sector downgraded some ten posts and abolished or froze at least five posts at Headquarters. The Sector has concentrated the majority of the downgrading in the field offices (11 out of 13 cases). This large-scale trend towards downgrading (coupled, in the 37th biennium, with the sharing of posts with SHS in Kingston and Quito, the latter of which was both downgraded and shared), raises the question of how relevant is the presence of the Sector in those offices. One alternative in these areas might have been to have a reduced presence in the regional offices providing an even level of cover for each of the field offices in their area, at a senior enough grade to allow meaningful exchanges with the local authorities and effective project supervision.
- (iii) By downgrading the field posts, the Sector has downgraded the quality of its work from a number of standpoints: (i) professionals recruited on local contracts do not always have the same training, experience or skills as experts recruited with international status; (ii) locally recruited professionals are not able to act on a regional basis but are confined to their country of origin; (iii) locally recruited professionals can find themselves in a more complex position when it comes to negotiating for funding or implementing projects that require them to be completely independent of the local authorities, the more so as the Sector’s activities include freedom of expression and minority rights.

73. Action in Africa is a strategic priority both for the Sector and the Organization, and the Sector’s strategy of downgrading has allowed it to maintain Africa as a priority area of activity, which is a sign of its quest for efficiency. However, the field posts in the area have also fallen victim

to budgetary stringency as four out of the nine CI posts in the region were shared with the SHS Sector in 2014 and 2015. The Sector has decided to revert to Priority Africa for the 38th biennium, and has created two posts in sub-Saharan Africa (Abidjan and Abuja) in the budget, thus raising its staff numbers.

74. The Sector gave the following explanations for its decisions to downgrade posts rather than abolish them. As well as the downgrading and freezing of a number of posts at Headquarters laid down in the expenditure plan in document 38 C/5, the Sector decided not to abolish the posts of National Administrative Officer in Dar-es-Salaam, Libreville, Abidjan, Accra, Amman, Almaty, etc. A difficult choice had to be made between abolishing national posts occupied for years by persons with long experience in the area of communication and information, giving satisfactory service to the Sector and supported by their office director, or, on the other hand, temporarily downgrading existing vacant posts in order to preserve the direct budget of the programme. If during the course of the biennium posts were allocated or restored to the Sector, such posts would be allocated to the field offices.

3. Consolidated approach to the Sector's staffing

75. The human resources employed in the CI Sector include, broadly speaking:

- (i) permanent UNESCO staff members, financed from regular funds;
- (ii) officials seconded by other organizations or Member States (junior professional officers), financed by the organization or State in question;
- (iii) officials with temporary contracts as part of a particular project (project appointments), financed from extrabudgetary funds;
- (iv) consultants contributing to implementing activities, engaged under consultancy contracts, financed either from regular funds (the activities part) or extrabudgetary funds;
- (v) service providers working under service contracts.

76. The Executive Board has **no consolidated overview** of this. The staff establishment included in the C/5 document shows only the permanent UNESCO staff members. No overall estimate has been carried out of the numbers of jobs in the Sector, taking all categories together, which makes it impossible to distinguish between the various types of human resources.

77. It is, however, possible to arrive at an approximation of the global cost of the human resources used.

Table 14: Complete costs of human resources used by the CI Sector (37th biennium) (in US dollars)

	Headquarters	Field
Costs of permanent staff	11,256,000 + 273,000 FITOCA	6,642,500
Costs of temporary staff	NC	NC
Costs of consultancy contracts	1,077,679	1,794,435
Costs of service contracts	41,967	NC

Source: External Auditor.

4. Charging of the cost of a post to the CI Sector

78. The salary of one grade P-4 official has since 2012 been charged to the CI Sector, while in fact he was assigned to public relations and communication duties in the UNESCO Liaison Office in New York (external relations and information officer from May 2012 to May 2014, acting ERI Chief of Office from May 2015 to early 2016 and now on temporary assignment to the Media Relations Section of the ERI Sector). The costs thus charged to the CI Sector for the last two biennia are shown in the table below.

**Table 15: Staff costs charged to the CI Sector
as remuneration of a grade P-4 official from 2012 to 2015 (in US dollars)**

	2012-2013	2014-2015
Staff costs charged to the CI Sector	406,600	411,000

Source: CI staffing tables.

79. Despite repeated requests to the Director-General coming both from the ADG of the CI Sector (see memo CI/EO/2013/063⁴⁰) and the Deputy Director-General (letters CI/EO/2014/066 of 8 December 2014⁴¹ and 14 January 2015⁴²), this official's salary is still charged to the CI Sector alone. The Secretariat claims that this state of affairs is explained by a handover between two officials and should come to an end in September 2016, on which date the P-4 post will be given back to the CI Sector. It should be **ensured that this is done**, and that **such anomalies are not repeated**, so that the budget reports reflect the number of officials actually employed by the Sector.

Recommendation No. 6. The External Auditor recommends ensuring that the P-4 post previously assigned to New York is once more attached to the CI Sector and avoiding any repetition of cases where the employment of staff does not conform to the budget reports.

5. Performance of the Sector in terms of human resources

80. The comparative performance of the CI Sector in HR terms can be measured by a variety of ratios.

(a) The Headquarters/field staffing ratio

81. The Organization's objective is to deploy 40% of its staff financed by the regular programme in the field. Taking a broader definition,⁴³ the CI Sector has 39% of its staff assigned to the field, putting it in mid-range position compared to the other sectors.

* Source: BI for extrabudgetary funds.

⁴⁰ Memo from ADG to the Director-General of 20 December 2013: "The External relation and information Officer post in New York, P4, has been funded from the CI staff budget for the last two biennia. While this post is vital for the Organization as a whole, the Sector is kindly requesting possibilities of the return of the staff costs on this post, to further strengthen the CI presence in the field."

⁴¹ Memo from DDG to the Director-General of 8 December 2014: "To allow the CI sector to continue full speed with its mandate, as mentioned in my Memo of 3 December 2014, I would ask you to kindly consider that the costs of this P-4 be co-shared by all major programmes and ERI".

⁴² Memo from DDG to BSP of 14 January 2015: "As you may be aware, for the past two biennia, the CI sector has also been financially supporting the P4 position in New York costing US\$411 000 per biennium, approximately 6% of our Field office staff cost, for which the tasks fall under the realm of ERI. Your kind intervention to cost share this post amongst ERI and other programme sectors would be much appreciated".

⁴³ Taking into account permanent staff, project appointments, junior professional officers and staff on secondment.

Table 16: Evolution in the proportion of a sector's total staff assigned to the field, by sector

	January 2014	January 2015	January 2016
CLT	25%	27%	26%
SHS	29%	31%	30%
CI	37%	37%	39%
SC	43%	44%	45%
ED	48%	54%	57%

Note: Staffing including permanent staff, project appointments and JPO.
Source: HRM.

(b) Absence rates for sickness (permanent staff only)

82. As the table below shows, the CI Sector had the **lowest rate of absence for sickness** of all the Sectors, in 2015 and early 2016.

Table 17: Absence rates for sickness by sector

	2014	2015	Jan-April 2016
Culture	3.5%	3.5%	3.3%
SHS	2.7%	3.5%	5.0%
CI	3.9%	2.8%	2.9%
Sciences	3.1%	3.5%	5.2%
Education	4.3%	5.8%	4.5%
UNESCO	3.4%	3.5%	3.1%

Source: HRM.

(c) Evaluation of the Sector's officials

83. While not all the staff of the CI Sector were given a **performance interview** during the 2014-2015 biennium, as provided for in the Human Resources Manual, the performance of the CI Sector in this regard (87%) is still better than that of the other sectors, with the exception of SHS.

Table 18: Performance interviews carried out by sector for the 2014-2015 biennium

CI	Culture	Education	Sciences	SHS
87%	83%	66%	66%	91%

Source: HRM.

84. The list of overall performance reviews carried out using the My Talent application for the 2014-2015 biennium is complete, and shows attentive management of human resources. Sixty-three evaluation reports were produced for the 2014-2015 biennium, out of a total of 72 permanent staff members. Of the 35 reports verified by the auditors, 33 gave a positive overall rating (fully meets expectations) or a very positive rating (exceeds expectations). Two reports do not give an overall rating (N/A).

85. The **quality of these evaluation reports** however is extremely variable. The most complete give details of the objectives set for the staff members, with numerical indicators, and include a self-assessment form on which the staff member sets out the activities carried out during the

biennium and the level of achievement of the objectives, as well as the supervisor's detailed assessment. At the opposite extreme, other reports were empty, with no mention of individual objectives, no self-assessment, very brief assessments by the supervisor and no overall rating.

86. The objectives or tasks set for the staff members are formalized in ways that are not always efficient. Some of them have specific, quantitatively measurable objectives (e.g. "*organize and carry out at least three training sessions...*"), but for others, objectives are vaguely worded and generally do no more than repeat the expected result found in the C/5 document (for instance, "*strengthening the environment for freedom of expression...*").

Recommendation No. 7. The External Auditor recommends improving the quality of performance appraisals of staff members in the Sector, including by the systematic setting of specific, personalized objectives.

6. Monitoring of consultancy contracts entered into by the Sector

87. Headquarters has only a **fragmented view of the value of consultancy contracts** entered into by the Sector as a whole. Its services do not in fact have any tool for monitoring the list of consultancy contracts entered into by the field with extrabudgetary funding.

Table 19: Value of contracts entered into by Headquarters (regular and extrabudgetary funds) and the field (regular funds) for the 2014-2015 biennium (in US dollars)

	Headquarters	Field
Regular programme	501,367	891,410
Extrabudgetary	1,251,724	NC
Total	1,753,091	NC

Source: CI Sector (extract of BI)

88. The Sector entered into 154 consultancy contracts from Headquarters in the 37th biennium. Ten consultants were awarded contracts worth more than \$20,000, for a total of \$369,762.

Table 20: Main consultants recruited in 2014-2015 (in US dollars)

Name of consultant	Number of contracts	Total amount
El Abasi	3	76,977
Doucouré	5	45,510
Bonato	3	43,900
Jessica	2	43,154
Young	2	37,650
Pollack	3	31,119
Nordqvist	3	25,940
Shin	3	24,037
Amari	1	20,474
Weber	1	20,000

Source: External Auditor.

89. The auditors conducted an in-depth check on these ten contracts. The terms of selection, remuneration and evaluation of the consultants do not prompt any reservations.

90. The rules laid down in the Administrative Manual for selecting candidates were complied with. For nine of the ten contracts, at least three applications were received. Only one of the ten contracts was signed without a competitive process after the director of division granted a waiver, in accordance with the Manual. The reason given for the waiver request (the difficulty of finding candidates able to take part in the work in Libya, given the security climate) is admissible.

91. The amounts of remuneration are in line with the ceilings laid down in the Manual. Payments were made after receipt of the deliverables set out in each contract, which the auditors verified were genuine.

92. All the services provided under the contracts checked were reviewed, albeit in a relatively summary manner. The evaluation ratings given for these contracts ranged from A (exceptional) to C (satisfactory). The three consultants rated C have not been employed again by UNESCO.

Recommendation No. 8. The External Auditor recommends that the sectors be given a tool for the consolidated monitoring of all contracts entered into by Headquarters and the field, covering both regular and extrabudgetary funding.

E. MANAGEMENT OF THE PORTFOLIO OF ACTIVITIES AND PROJECTS

1. General project management process

93. Projects are managed in accordance with the rules. Activities under the main lines of action (MLA) with expected results (ER) are described in the work plans. Each of these activities is led by a person from Headquarters or the network who has responsibility for the project. Thus, all activities are part of the ER and can be attributed to sections in the Sector.

94. Approval and monitoring of activities follows a similar pattern. The activity is initiated by the person responsible for the project, who enters it in SISTER; it is validated by the Administrative Officer (AO), then by the director of division or supervisor. At the same time, the Sector's Executive Office (EO) analyses and approves the activity. After that, for projects with a value over \$250,000, a budget validation by BFM is required before BSP officially submits it to the donor. For projects with a value of \$250,000 or less, validation by the Sector's Executive Office (EO) and AO are enough for BSP to submit the project officially to the donor. For projects with a value above \$2 million, BSP is automatically informed by email via SISTER, so that it can make any additional comments it needs on the project proposal. BSP did not refuse to validate any CI Sector project during the last biennium.

2. Records of projects and activities

95. Projects are monitored using **SISTER**, which is now about 20 years old. This application makes the necessary information available on the titles and references of the activities, the amounts budgeted, the responsibilities exercised and reviews of progress. In its internal control self-assessment, the Sector acknowledges that "the programme specialists are asked to update the data in SISTER but, in some cases, the quality of the entries leaves room for improvement".

96. All activities are entered in the budget, and the entire operating budget (excluding staffing) can be broken down into activities. Activities are tracked in SISTER for the regular programme by a budget code such as "725011... (last number of the biennium)/2/(Sector number, i.e. 5 for CI)/0/MLA number/ER number/...". Extrabudgetary projects, on the other hand, do not have the same budget codes. The breakdown of activities by person responsible is done via the fund centres, enabling them to be attributed to the field or a given section of the Sector.

97. Extrabudgetary projects are recorded in a way that distinguishes between funds-in-trust (FIT), Special Accounts (which exclusively fund the two IPDC and IFAP programmes) and experts made available by third parties (associate experts).

98. The chief of section in charge of the projects is responsible for six-monthly reporting, which can involve informal exchanges between the field and the sector. BSP, whose role in validating the reporting in the programme implementation report (PIR) submitted to the Executive Board⁴⁴ is downstream of the sector and upstream of the Director-General, can ask the sector for comments or clarifications. BSP certification, which was previously required, has been abandoned as it was too cumbersome. The General Conference has approved this reporting format.

99. Expenditure is accounted for using the **FABS** software (SAP). Information from FABS is uploaded once or twice a day to SISTER via an automatic interface. The Organization is planning, over time and possibly as early as 2018, to merge the SISTER and FABS applications as part of an overall review of IT systems⁴⁵.

3. Activities budget

100. UNESCO's budgetary crisis had a severe impact on the CI Sector, with the "activities" share in the regular programme suffering drastic cutbacks from the 35th to the 36th biennium. Against a background of a 24% drop in the regular programme of the Organization, **the share of activities** has proved to be the adjustment variable: it **fell by 69.4%** between the 35th and 36th biennia, while expenditure on staffing fell by only 10.1% in the same time-frame. The predominance of extrabudgetary funds in financing activities therefore became even more marked.

Table 21: Evolution of budgets implemented since 2010 (in US dollars)

	35th biennium	36th biennium	37th biennium
Extrabudgetary funds	22,273,000	33,020,000	13,625,800
RP staff	20,049,200	18,012,750	17,898,500
RP activities	13,108,800	4,010,250	5,614,500

Source: EX/4.

101. **The activities** of the CI Sector under the regular programme for the 37th biennium **fell by 57.1%** compared to pre-crisis budgets. By way of comparison, in the other sectors, too, it was the "activities" part of the regular programme that bore the brunt of the drop in the Organization's resources, as can be seen from the table below. But the impact on "activities" in the regular programme of the Sector was greater than for the other sectors (-25% for SHS, -24% for Natural Sciences and Culture, and -26% for Education).

Table 22: Evolution of the "staff" and "activities" elements of the regular programme (implemented) from 2010 to 2015 (in US dollars)

		35	36	Evolution 36/35	37	Evolution 37/36	Evolution 37/35
Education	RP staff	58,219	55,246	-5.11%	50,947	-8%	-12%
	RP Non-Staff	51,777	29,376	-43.26%	38,462	31%	-26%
Culture	RP staff	37,077	35,872	-3.25%	34,027	-5%	-8%
	RP activities	18,632	7,994	-57.10%	14,129	77%	-24%

⁴⁴ Document 199 EX/4, March 2016 for the 2014-2015 biennium.

⁴⁵ 199 EX/5 Part II.D Invest for Efficient Delivery, *redesign core information systems*.

Natural Sciences	RP Staff	38,207	36,803	-3.67%	34,557	-6%	-10%
	RP activities	20,022	6,047	-69.80%	15,263	152%	-24%
SHS	RP Staff	18,926	18,692	-1.24%	17,239	-8%	-9%
	RP activities	9,025	3,309	-63.34%	6,772	105%	-25%
CI	RP staff	20,049	18,012	-10.1%	17,898	-0.6%	-10%
	RP activities	13,108	4,010	-69.4%	5,614	40%	-57%

Source: External Auditor, from document 199 EX/4.

4. Analysis of the project portfolio in 2015

102. The CI Sector managed a **portfolio of almost 300 projects** in 2015,⁴⁶ representing actual expenditures of \$14.2 million. Projects managed by Headquarters, whether financed from the regular programme or extrabudgetary funding, represented higher levels of expenditure than those managed by the field, as shown in the table below.

Table 23: Number and value of activities for 2015 (in US dollars)

	Headquarters		Field		Total
	RP	EXB	RP	EXB	
Number of activities	47	36	164	56	303
Amount spent	2,698,745	5,353,513	2,097,059	4,066,006	14,215,323
Average amount per activity	44,618	148,708	16,455	72,607	46,915

Source: External Auditor, from FABS.

103. The 20 **largest projects** in terms of amounts expended represented 42% of total actual expenditures on all the Sector's activities in 2015. They were mainly financed from extrabudgetary funds (16 out of 20 projects) and managed by Headquarters (12 out of 20 projects).

Table 24: List and value of the 20 main projects in amounts expended for 2015 (in US dollars)

Division/office	Name of project	Amount of expenditure	Funding
<i>Yaoundé</i>	<i>Supporting local development through community radio</i>	1,219,173	EXB
FOE	Promoting an Enabling Environment for Freedom of Expression: Global Action with Special Focus on the Arab Region	795,112	EXB
FEM	Fostering freedom of expression	739,153	EXB
MAS	Empowering Local Radios with ICTs – Phase I	678,673	EXB
FOE	Promoting Freedom of Expression in Egypt, Libya, Morocco, Syria, Tunisia and Yemen	659,530	EXB
FOE	Promoting democracy and freedom of expression	652,832	EXB
<i>Amman</i>	<i>Support to Media in Jordan</i>	543,914	EXB
MAS	Empowering Local Radio with ICTs – Phase II	497,854	EXB

⁴⁶ The number of activities does not include activities implemented by the field as part of projects managed directly from Headquarters (for example, the *Sida & Finland* project).

<i>Phnom Penh</i>	<i>Working Towards an Access to Information Law in Cambodia: Bridging the Government and Citizens for Participatory Law-making</i>	294,976	EXB
FEM	Fostering freedom of expression	224,339	EXB
INF	Uptake of Open Educational Resources	189,766	EXB
UAP	Facilitating the implementation of the WSIS	189,304	RP
<i>Abuja</i>	<i>UNESCO Support to Elections in Nigeria</i>	188,052	EXB
FOE	Media Accountability in South East Europe	164,328	EXB
<i>Mexico</i>	<i>Memory of the World: Mexico and Latin America</i>	159,485	RP
UAP	Supporting policy initiatives and responses to the ethical dimensions of the information society	158,038	RP
<i>Dar-es-Salaam</i>	<i>Strengthening the role of media in promoting freedom of expression, gender equality and conflict prevention</i>	154,211	RP
<i>Dar-es-Salaam</i>	<i>Promoting community media</i>	151,637	EXB
<i>Kabul</i>	<i>Expansion and Consolidation of Educational Radio and TV (ERTV) Production in Afghanistan</i>	145,329	EXB
KSD	Paris OER Declaration Follow up: Support for Advocacy, Policy and the ICTs	139,802	EXB
Total		5,987,182	

Note: in *italics*, projects managed by the field offices.

Source: External Auditor, from FABS.

104. Most of the projects managed by the Sector represent relatively small amounts of expenditure. **One hundred and nine projects** (66 under the regular programme and 43 from extrabudgetary resources), or 33% of the total, **showed an amount of actual expenditure of less than \$10,000** in 2015, and 185 of the projects (138 under the regular programme and 47 from extrabudgetary resources), or 61% of the total, had actual expenditure of less than \$20,000.

105. According to BSP, the fragmentation of these activities (54% of the 155 work plans identified for document 38 C/5 have a budget of less than \$25,000⁴⁷) generates high indirect costs and leads to a lack of consolidated vision. Given the size of the budget envelopes for the field offices and the need to allocate funds based on expected results, it is difficult for the CI Sector to guarantee a \$25,000 threshold per activity for the regular programme, especially at field office level and for activities conducted jointly with the United Nations (CCA/UNDAF). This state of affairs complicates the sharing of programme support costs (PSC) for the purposes of results-based budgeting.

106. The **work plan implementation rate** is presented in the PIR in document 199 EX/4 of March 2016 as being 69% for ER1, 72% for ER2, 60% for ER3 and 65% for ER4. A limited number of projects appeared under-implemented at the end of the 2015 accounting period: seven of the 303, all financed from extrabudgetary funds, showed an implementation rate below 30%. There were a variety of reasons, such as the political impossibility of awarding the UNESCO-Guillermo Cano World Press Freedom Prize, the inability of the Abidjan Office to disburse the funds within the time limit required, or the difficulty for the Cairo Office of carrying out a regional project involving six countries.

⁴⁷

See Memo BSP/2015/100 Review of 38 C/5 WP and allotment of 2016 Budget of 7 December 2015.

Table 25: List of projects with an implementation rate of less than 30% (but not zero) in 2015

Office/division	Start date	Name of project	Rate	
Phnom Penh	2014	Tuol Sleng Genocide Museum Project	1.7%	EXB
FEM	2009	G. Cano World Press Freedom Prize	2.0%	EXB
<i>Abidjan</i>	<i>2015</i>	<i>Support for strengthening trust and coexistence and stabilizing the security situation in Côte d'Ivoire</i>	5.8%	EXB
<i>Kabul</i>	<i>2013</i>	<i>Expansion and Consolidation of Educational Radio and TV (ERTV) Production in Afghanistan</i>	14.4%	EXB
<i>Cairo</i>	<i>2014</i>	<i>Support to respond to requests for UNESCO's OER and ICT-CFT framework for teachers and higher education faculty (6 countries)</i>	16.7%	EXB
KSD	2013	Preparation, organization and follow-up to the WSIS + 10 Review	18.2%	EXB
MAS	2014	Consolidating Intercultural Skills and Media and Information Literacy for Journalists/Journalism Educators/Informational Specialists and Researchers	23.0%	EXB

Note: in italics, projects managed by the field offices.

Source: External Auditor, from FABS.

107. Four projects, all financed from extrabudgetary funds, did not generate any spending during the 2015 accounting period, despite having credit allocations of over \$1,000. Here again, the explanations varied, including the postponement of the award of the UNESCO/Jikji Memory of the World Prize to September 2016, and delays caused by the political situation in Egypt. It appears, however, that in the case of the Maputo project, the office was unable to conclude the project within the time required with the cooperation of BFM and BSP.⁴⁸

Table 26: List of projects on which there was no spending in 2015

Division/ office	Start date	Name of project	Funding
KSD	2009	UNESCO/Jikji Memory of the World Prize	EXB
<i>Cairo</i>	<i>2012</i>	<i>Implementation of Freedom of Information Law in Egypt</i>	EXB
<i>Libreville</i>	<i>2012</i>	<i>Support for the creation of an Institute for Journalism and Communication Training in Congo</i>	EXB
<i>Maputo</i>	<i>2012</i>	<i>Civic Education for citizen participation in the development agenda and decision making through CMCs</i>	EXB

Note: in italics, projects managed by the field offices.

Source: External Auditor, from FABS.

5. Evolution of the recovery costs rate for extrabudgetary projects

108. The **recovery costs rate** applied by the CI Sector to its extrabudgetary projects were 1.37% in 2014 and 1.39% in 2015, below the target of 2% set by the Executive Board at its 195th session.

⁴⁸

"The head of office has been trying to close this project for some time with BSP/CFS and BFM with no success".

Table 27: Evolution of the recovery costs rate applied to extrabudgetary projects in 2014 and 2015 (in US dollars)

	2014	2015
Total value of extrabudgetary projects	-	14,725,092
Total amount of recovery costs	204,401	14,850,218
Rate	1.37%	1.39%

Source: External Auditor, using data from FABS.

6. Assessment of the relevance of projects

109. The External Auditor is not in a position, having neither the time nor the competence, to assess the relevance of the projects carried out by the Sector. That said, in its summary assessment in 2012 (IOS Assessment for CI Sector, December 2012), the Internal Oversight Service (IOS) found that readjustments were needed for two projects:

(a) Memory of the World

110. The Memory of the World Programme was judged in 2012 to be inadequately staffed. The programme has been strengthened as much as possible, with one full-time staff member at grade P-4, one staff member at grade P-2 and one part-time staff member at grade G-4. This programme, which aims to inventory the documentary resources forming part of the intangible heritage of humanity, gathers testimony and writings for its Register based on the proposals of expert committees. At the time of the audit, 348 documents had been inscribed in this way. Because it is highly symbolic, this programme is very politically sensitive, as can be seen from the initiative by some Member States and the International Advisory Committee to have a general review of the programme's governance and inscription process. The next meeting of the programme (the Memory of the World Summit), which is due to be held in Abu Dhabi in February 2017, could conduct this general review.

(b) Follow-up of the WSIS Summit

111. According to IOS, this project had not produced any tangible results, was the source of friction with other agencies, was difficult to coordinate, and not at all well regarded within UNESCO in 2012, prompting it to advocate its reorientation towards Internet governance. Since that time, the project has been refocused, with the holding of the "CONNECTing the Dots" global conference and the Declaration by the United Nations General Assembly of December 2015 on the WSIS+10 review process.

112. As indicated above, some of the Sector's projects, given their nature, require collaboration with other sectors in the Organization. This demand is growing because of the approaching 2030 Agenda for Sustainable Development, the changing priorities of the Organization and requests from Member States. That is true, for instance, of the ICT in Education project as well as its OER⁴⁹ and ICT⁵⁰ Competency Framework for Teachers objectives. But, according to the CI Sector, the Education Sector, which has cooperated on these projects, now tends to go it alone⁵¹ as ICT development is also part of Strategic Objective 1 of Major Programme I – Education. Though the Education Sector professes its good intentions, the various frictions that have come to light in

⁴⁹ OER: Open Educational Resources.

⁵⁰ ICT: Information and Communication Technology.

⁵¹ Memo ADG/CI to DIR/BSP of 18 March 2016.

recent years,⁵² especially in the field of training teachers in ICT (ICT-CFT), suggest that special attention should be given to proper cooperation between the two sectors.

7. Visibility of the Sector's activities

113. The Sector is the source of many activities giving high visibility to the Organization. This is notably the case with the *World Trends in Freedom of Expression and Media Development* report, published in 2015 with the support of the Swedish Government, which is due to be updated in 2016.

114. Given its mandate and programme, the CI Sector has a **major activity in publications**. In 2015, according to the data available on the Organization's website (accessed on 14 April 2016), 23 documents were published on its initiative in the form of periodic reports (*World Trends in Freedom of Expression and Media Development*), analyses (*Principles for Governing the Internet: a Comparative Analysis in Countering Online Hate Speech*, etc.), guides (*Basic Guide to Open Educational Resources*) and evaluations (*Assessment of Media Development*). According to the same source, the number of publications in 2014 was 18. The data gathered by the ERI Sector, responsible for supervision of publications for the Organization, generally corroborates these figures: aside from translations of documents, the CI Sector was responsible for 48 publications in the previous biennium, 36 of which had not been anticipated in Publication Plan II. The Sector does not have an overview enabling it to measure the number of copies published, distributed or downloaded, which is a precondition for measuring the impact of its work.

115. The Sector is also responsible for organizing **a number of international days**: World Radio Day (13 February), World Press Freedom Day (3 May), International Day for Universal Access to Information (28 September), and International Day to End Impunity for Crimes against Journalists Day (2 November).

116. The events arranged as part of the Sector's activities are subject to internal tracking. This shows a total of 111 events in 2014, 232 in 2015 and 49 currently scheduled in 2016. The best attended events were the meetings at Headquarters of the Netexplo forum (1,500 participants in March 2014, 1,300 in May 2015 and 600 in February 2016). Also relatively well attended were the events at Headquarters for World Press Freedom Day (500 participants in May 2014, 500 in 2015 and 1,200 expected in May 2016) and World Radio Day (400 participants in May 2015).

Recommendation No. 9. The External Auditor recommends the setting up, with the cooperation of the External Relations and Public Information Sector (ERI), of a dashboard showing the CI Sector's publications so that their real impact can be measured.

F. MOBILIZATION OF RESOURCES

117. The Organization's strategy for mobilization of resources is based on document 37 C/5, *Sharpened Resource Mobilization Strategy*, approved by the 37th General Conference in October 2013. In that document, each Sector put forward its project outlines. The strategy was the subject of an audit by the Internal Oversight Service (IOS) in October 2015.

118. In autumn 2015 the General Conference at its 38th session requested the adoption of a global resource mobilization strategy with targets for each sector and by ER.

⁵² Thus the CI/KSD/ICT section is said to have contributed in 2014 and 2015 to the project financed by the Republic of Korea (Korea Foundation) but its contribution was not acknowledged by the Education Sector; the CI Sector is said to have contributed in 2014 to a project financed by the Hewlett Foundation but its contribution went unrecognized; and the CI Sector was not invited to a conference held in Qingdao in May 2015, where the Education Sector represented UNESCO.

1. Evolution of extrabudgetary funding of the CI Sector

Table 28: Evolution of extrabudgetary funds raised by the CI Sector and the Organization (in millions of US dollars)

	2012-2013	2014-2015
CI Sector	41.90	36.60
UNESCO	533.53	506.29
Proportion CI/UNESCO	7.5%	7.2%

Source: EX/4

119. The CI Sector had the benefit of **extrabudgetary funding of \$41.9 million** for the 2012-2013 biennium and **\$36.6 million for the 2014-2015 biennium**. The CI Sector's share in the extrabudgetary resources for the whole of the Organization remains marginal.

2. Strategic framework for mobilization of extrabudgetary resources

120. The direction set by the Organization for the mobilization of extrabudgetary resources is laid down in the Resource Mobilization Strategy documents for 2014-2015 and 2016-2017. The first document, for 2014-2015, (i) recalls that all field units are called upon to participate in the mobilization of extrabudgetary resources; (ii) makes improving the means of communication the main pillar of the Organization's resource mobilization strategy; and (iii) identifies the priority themes for each sector, to be built round the cross-cutting priority for the biennium, Priority Africa. The second document sets more detailed directions for mobilizing resources, including:

- (i) Developing multi-donor programmes with generic funding, hence the preferred recourse to the tool of "Special Accounts" for donations of less than \$250,000
- (ii) Developing multidimensional partnerships, including the granting of financing, information exchange, joint awareness-raising actions, making available experts, etc.
- (iii) Developing intersectoral programmes
- (iv) Using the communications and awareness-raising capacities of private sector partners to benefit the Organization's themes and projects.

121. As provided in the Administrative Manual, the CI Sector has drawn up an Extended Strategic Sectoral Framework (ESSF) for each biennium. It presents to potential donors the partnership opportunities the CI Sector offers, putting the emphasis on the themes identified as priorities in the strategic resource mobilization documents described above, namely media pluralism, the United Nations Plan of Action on the Safety of Journalists, the Memory of the World programme, digital integration of persons with disabilities and the building of open societies via ICT.

122. The Sector also drew up a note in September 2014 as a preliminary to the action plan, which provided among other things for a leadership group to be set up to facilitate the work of the Sector in mobilizing extrabudgetary resources. As part of this, work has begun on mapping the private sector actors likely to support CI Sector projects.

3. Targets for extrabudgetary funds mobilization

123. Each sector is assigned targets for the mobilization of extrabudgetary funds. These are set by the ADG of the sector, after the senior officials in each section have given estimates of its potential for mobilizing funds. The **targets fixed for the CI Sector**, tracked in the table below, **have fallen continuously** from one biennium to the next. The target set for the 2016-2017 biennium (\$16.54 million) seems less than ambitious: it represents less than 45% of the resources

mobilized during the previous biennium (\$36.7 million). The Sector's Administrative Unit made it clear that those targets were deliberately conservative "guesstimates", as can be seen from the first results of extrabudgetary fundraising for the first quarter of 2016, which have already exceeded the original objective for the 2016-2017 biennium.

Table 29: CI Sector targets for the mobilization of extrabudgetary resources per biennium (in millions of US dollars)

	2012-2013	2014-2015	2016-2017
	74.9	18.2	14

Source: External Auditor, from document 197 EX/5.

124. Furthermore, the Sector's two divisions had set targets with widely varying degrees of ambitiousness for the 2014-2015 biennium, as the table below shows, breaking down the mobilization targets per expected result. The FEM Division (ER1 and ER2) thus accounted for 98.8% of the Sector's target. The Sector's Administrative Unit justified the inequality of ambition between the two divisions by the disparities in their *modus operandi* and the context in which they were operating. Thanks to the Nordic countries, which are particularly invested in its themes, the FEM Division has a loyal donor base, which accounted for almost 37% of the extrabudgetary resources collected in 2015 (not including multi-donor funds).

Table 30: Breakdown of the mobilization target for extrabudgetary resources for the 2014-2015 biennium (in US dollars)

		Target	Funds mobilized	Rate of achievement of the target
FEM	ER 1	3,000,000	15,486,934	535.40%
	ER2	15,000,000	12,089,214	86.1%
KSD	ER3	0	3,300,758	-
	ER4	220,000	4,016,804	2 103.1%

Source: CI/AO.

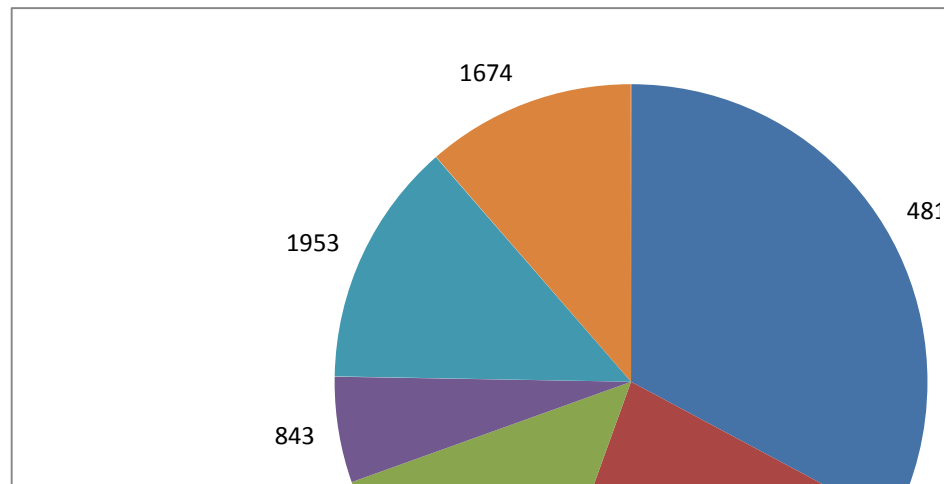
125. The spread of the mobilization targets between the two divisions seems however to be better balanced for the 2016-2017 biennium: \$7 million for ER1 and ER2 (FEM division), \$6.5 million for ER3 and ER4 and \$3 million for programmes with specific governance.

126. There is no more detailed breakdown at the present time by field office or by staff category.

4. Sources of extrabudgetary resources

127. As the graphic below shows, the extrabudgetary resources collected by the Sector come for the most part from Member States (64% of the extrabudgetary resources granted in 2016, not including multi-donor funds and the voluntary contribution of Brazil), particularly the Nordic countries (37%), which are traditional supporters of programmes relating to the promotion of freedom of expression. The EU and international organizations respectively represent 13% and 16% of the resources granted, with partnerships with the private sector remaining relatively marginal (6% of resources granted in 2015). By way of comparison, 69% of the extrabudgetary resources collected by the Organization as a whole in 2014 came from Member States, 18% from international organizations and 13% from other partners. The amount of funding received by the Organization (excluding UBO (the Brazil Office) and institutes) was \$161 million in 2014 and \$168 million in 2015, with the CI Sector's share being 5.6% in 2015 (\$8.945 million), second lowest of the programme sectors.

**Figure 1: Breakdown of extrabudgetary resources in 2015 by type of donor
(in thousands of US dollars)**



Source: External Auditor, using AO/CI data.

128. According to BFM,⁵³ external funding for the CI Sector is **particularly concentrated**: 91.9% of the funds received in 2015 came from seven donors (including Sweden with \$2.10 million, the EU with \$1.91 million, Finland with \$1.23 million and UNDP with \$0.94 million), 80% of which contributed to 11 of the Sector's programmes or activities (including the *Support to the Media in Jordan* project financed by the EU with \$1.20 million, the *Empowering Local Radios with ICTs in Africa* project funded by Sweden with \$1.73 million, and the *Empowering Local Radios with ICTs in Tanzania* project financed by \$0.8 million from Switzerland). Moreover, that amount, for payments received in 2015, had fallen 32% from 2014 (\$13.186 million) to 2015, which was the steepest fall of any sector, because of significant reductions in the contributions of Sweden (-\$1.9 million),⁵⁴ Cameroon (-\$1.8 million) and Republic of Korea (-\$1.2 million).

129. The CI Sector, like the Organization as a whole, thus remains highly dependent on "traditional" donors (Member States, mainly from the West, and multilateral organizations), and is struggling to diversify its sources of funding, especially towards the private sector.

5. Performance of the field offices

130. The **field offices**, which account for almost 50% of the extrabudgetary resources mobilized by the Sector for 2014 and 2015, showed **wide variations in performance**. In the previous biennium 87% of the total resources were mobilized by ten offices, while 11 offices raised no extrabudgetary funds.

**Table 31: Amount of extrabudgetary resources per office for 2014 and 2015
(in US dollars)**

Office	Amount of EXB resources raised
Yaoundé	2,711,876
Kabul	2,137,175
Dar Es Salam	1,627,007
Amman	1,609,499
Cairo	1,302,931
Kathmandu	859,426

⁵³ Memo BFM/FAS/FRA/2016/221 to the DG of 7 March 2016.

⁵⁴ Sweden is however planning fresh contributions for the coming years.

Phnom Penh	786,740
Rabat	628,163
Nairobi	595,990
Bangkok	574,704
Jakarta	549,279
Almaty	381,636
Abuja	269,124
Port-au-Prince	192,040
Brazzaville	129,512
Ramallah	116,915
Montevideo, Beijing, Baghdad, Maputo, Bujumbura, Accra, Abidjan	20,000 to 100,000
New Delhi, Harare, Tashkent, Libreville	0 to 20,000
Addis Ababa, Apia, Bamako, Doha, Havana, Islamabad, Kingston, Maputo, Quito, San José, Windhoek	0

Source: External Auditor.

6. Comparative performance of the CI Sector in mobilizing extrabudgetary resources

131. Of all the sectors in the Organization, the CI Sector exceeded its **targets for the mobilization of extrabudgetary resources** for the 2014-2015 biennium by the highest margin. The rate of achievement of its targets was 209%. Nonetheless, out of all the sectors, it has the **lowest ratio of extrabudgetary resources collected** compared to the regular programme amount (156%).

132. That said, it should be pointed out that the resources mobilized by the CI Sector for the *Net Med Youth* project (\$8 million) were imputed to the amount of extrabudgetary resources mobilized by the Social and Human Sciences Sector, which is charged with overall coordination of the project. While \$8 million for this project was imputed to the CI Sector, the ratio of extrabudgetary resources mobilized compared to the regular programme (see ratio EXB/PR (corrected) in the table below) was 190% for the CI Sector, a level comparable to that of the Social and Human Sciences Sector (190%) and the Natural Sciences Sector (189%).

Table 32: Ratio of extrabudgetary resources (EXB) mobilized compared to the regular programme (RP) by sector (in US dollars)

	Education	Natural Sciences	SHS	Culture	CI
Regular Programme (RP)	83,131,800	44,851,800	23,859,500	40,898,900	23,513,000
Target	85,517,408	140,080,000	53,194,450	52,000 000	18,220,000
EXB mobilized	218,035,411	84,596,301	53,892,273	105,090,093	36,669,694
Ratio EXB/RP	262%	189%	226%	257%	156%
Ratio EXB/RP corrected	262%	189%	189%	257%	190%
Ratio EXB mobilized/target	264%	61%	102%	208%	209%

Source: External Auditor.

133. The performance of the CI Sector in mobilizing extrabudgetary resources during the 2014-2015 biennium looks honourable compared to the other sectors. Despite the vacant post of the ADG, who plays an essential part in promoting the actions of the sector to potential donors, the CI Sector was able to increase the amount of resources it received in more or less comparable proportion to the other sectors.

134. The CI Sector also demonstrated its capacity to carry out intersectoral actions and forge multidimensional partnerships, as the Organization's documents on resource mobilization strategy enjoin it to do. The Net Med Youth programme is being jointly implemented in ten Mediterranean countries by the Education, CI and Social and Human Sciences Sectors, and has given rise to a variety of partnerships: finance from the European Union, Sweden, Finland and Kuwait, with contributions in kind from the Provence-Alpes-Côte d'Azur region of France, and joint actions and exchanges of information with the Anna Lindh Foundation, the Acted association, BBC Media Action, etc.

135. Given that extrabudgetary funds make up an ever-increasing part of the resources of the Organization, the Sector still needs to introduce greater structure and professionalism into its fundraising processes, to give it the capacity to increase and diversify its resources.

136. The Sector should therefore draw up a **resource mobilization strategy**, building on the action plan drafted in September 2014 and consistent with the overall resource mobilization strategy decided on by the Organization. Such a planning document should be based, among other things, on in-depth mapping of the potential partners⁵⁵, especially those outside the circle of traditional partners (Member States, especially the Nordic countries, and international organizations), with a view to diversifying its donor base.

137. The appointment of a new ADG must be used as a chance to strengthen the role of Headquarters as a driver and coordinator where mobilization of resources is concerned. Unless a full-time post is devoted to this function, explicit targets should be set both for the chiefs of section and the CI field staff in building the Sector's capacities for mobilization of resources (including mapping potential donors, equipping the field with communication tools and cataloguing the Sector's "products"). Similarly, the ADG and the Executive Office should make more effort to coordinate the action of the two divisions in terms of resource coordination.

138. It appears essential, too, for Headquarters to play a stronger part in encouraging and monitoring the work of the field offices in resource mobilization. While the different conditions in which these offices operate, as well as the diverse profiles of their directors, whose investment in the Sector's themes is uneven, might justify a degree of disparity between the offices, the fact that **almost half the offices raised no extrabudgetary resources** (ten offices, for the 2014 and 2015 accounting periods) or a marginal amount of resources (four offices with an amount less than \$20,000 in 2014 and 2015) seems open to criticism. In this connection, taking action to mobilize extrabudgetary resources should feature among the evaluation criteria for CI Sector staff members in the field.

139. Lastly, building the Sector's capacities in resource mobilization depends on the support of the Organization's central services, in particular the action taken by the Bureau of Strategic Planning (BSP). As pointed out in the IOS audit on mobilization of resources of October 2015, "BSP/CFS's role in resource mobilization is not clearly established and consistently understood across the Organization". The sectors expect BSP "to be more proactive", to "exercise strong leadership", "facilitate priority setting" and "more effectively engage with senior management". In the previous biennium, BSP assisted the CI Sector in developing cooperation with a number of major donors, such as the Nordic countries (Sweden and Finland), Switzerland and Kuwait, but both entities admit that the potential exists to strengthen their synergy.

⁵⁵ Along the lines of those drawn up by the FOE Section.

Recommendation No. 10. The External Auditor recommends drawing up a more ambitious CI Sector resource mobilization action plan, based on a thorough analysis of the Sector’s “products”, their fields of implementation and potential donor profiles.

Recommendation No.11. The External Auditor recommends better identification of roles and responsibilities within the Headquarters teams for the mobilization of resources, by setting targets for the directors, chiefs of section and directors of field offices that have a CI Sector specialist.

G. MANAGEMENT OF RELATIONS WITH THE FIELD

1. Geographical presence of the Sector

140. At the time of the audit, the CI Sector has a permanent presence in fewer than 20 field offices of the Organization.

Table 33: Field offices with a permanent CI Sector presence

City	Office status	Open posts	Number of staff as at 31/03/2016
Africa	11		6
Abidjan	National Office	National	0
Abuja	Multisectoral Regional Office	National	0
Accra	National Office	National	1
Addis Ababa	National Office	National	0
Dakar	Multisectoral Regional Office	International	1
Dar-es-Salaam	National Office	National	0
Harare	Multisectoral Regional Office	International	1
Kinshasa	National Office	National	1
Libreville	National Office	National	1
Nairobi	Multisectoral Regional Office	International	1
Yaoundé	Multisectoral Regional Office	National	0
Arab States	5		4
Amman	National Office	National	0
Beirut	Regional & Cluster Office	National	1
Cairo	Regional & Cluster Office	International	1
Doha	Cluster Office	National	1
Rabat	Cluster Office	International	1
Asia-Pacific	7		6
Almaty	Cluster Office	National	1
Apia	Cluster Office	National	1
Bangkok	Regional & Cluster Office	International	1
Beijing	Cluster Office	National	0
Jakarta	Regional & Cluster Office	International	1
New Delhi	Cluster Office	International &	2

		national	
Tehran	Cluster Office	National	0
Latin America & the Caribbean	6		4
Guatemala	National Office	National	0
Havana	Regional & Cluster Office	National	0
Kingston	Cluster Office	International & national	2
Montevideo	Regional & Cluster Office	International	1
Quito	Cluster Office	National	0
San José	Cluster Office	International	1
Europe & North America	1		1
New York	Liaison Office	International	1
TOTAL	30	32	21

Source: External Auditor as at 31 March 2016

141. Generally speaking, the current geographical distribution of the regional and cluster offices does not favour small programme sectors, which have relatively few staff in the field. Indeed, while in certain regions such as the Arab States each regional office manages a relatively small portfolio of countries, in other regions, the regional offices must coordinate the activities of numerous countries, as is the case in Nairobi (13 countries) or Yaoundé (10 countries).

142. Furthermore, document 199 EX/15.INF.5 of 23 March 2016 by the External Auditor, on the reform of the network in Africa, points out that the situation of some offices, which did not have the necessary critical mass prior to the reform (Nairobi, Dakar), has worsened since the reform. Concerning West Africa, while the geographical distribution between Abuja and Dakar is understandable, for the small sectors which only have a very limited number of staff, a distribution more aligned to the cultural or economic spheres could be considered.

143. The CI Sector, which, unlike the Education or Sciences Sectors, does not have specialized regional offices, has **32 “programme specialist”**⁵⁶ posts open in 30 of the Organization’s 53 field offices; in theory, this enables it to cover 60% of the network, which is considerable for a sector that accounts for less than 10% of the staff of the Organization. Its policy of prioritizing its presence in the cluster offices is also notable, as CI posts have been opened and budgeted for in 11 of the Organization’s 12 cluster offices, as well as in each of the ten cluster offices.

144. Geographically, the Sector covers only 11 of the 16 African offices, six of the 14 Asian offices and just one of the four offices in Europe and North America. However, it is present in six of the 11 Latin American offices and five of the eight offices in the Arab States. Thus, while the Organization has prioritized Africa, having approximately 30% of its offices in sub-Saharan Africa, the CI Sector has only opened posts in a third of the total. The gap increases further in terms of staff, as the Sector has two offices (New Delhi and Kingston) to which two of its staff are assigned.

145. The aim of the Sector’s strategy, as set out in budget document 36 C/5, has been to have an international specialist in all of UNESCO’s cluster offices and each of the multisectoral regional offices in Africa, as well as having a national specialist in UNESCO’s national offices, in accordance with the decentralized plan included in the 38 C/5 approved budget. However, this guideline has not been implemented due to insufficient resources. Although the Sector’s policy has been to favour the presence of international staff with a high grade, the budgetary crisis has led it to downgrade a number of posts in the field, as vacancies have arisen (see above, section on human resources).

⁵⁶ This job title, which is different to the other sectors, seems to be historically linked to the role of the local IPDC representative.

146. Nonetheless, the presence of international staff can be crucial in some national offices where relations between national staff and the authorities of their countries can be complicated, particularly in relation to issues concerning freedom of expression. Similarly, the directors of field offices consider it important for the Sector's representatives in the cluster offices to have an appropriate international status to enable them to effectively promote activities in the Sector and participate in multisectoral management, which is essential for the CI Sector. Yet, four of the 11 cluster offices where a CI representative is present only have one national staff member.

2. Steering by the Headquarters of activities in the field

147. According to the Administrative Manual,⁵⁷ the heads of the field offices "are accountable for decentralized programme implementation to the substantively responsible sector ADGs".

148. Since the decentralization implemented in the Africa region in January 2014 (DG/Note 14/3 of 3 January 2014), centralized control of the Organization's field network in that region has been reduced. Staff assigned to the field now report to their local office directors, rather than to the sectors to which they are attached. In turn, those field office directors must report to the programme ADG, via BSP, on execution of their programme. These new arrangements do not, however, prevent direct consultations between the offices and the programme sectors for implementation of the programme.

149. This new organizational structure has been further modified for all regions as, since 2016, BSP, which had taken on some of the responsibilities handled by BFC prior to the reform, is no longer in charge of coordinating the decentralized offices; this task has now been entrusted to a Division of Field Support and Coordination (FSC), which reports directly to the Director-General (DG/Note 15/32 of 1 December 2015).

150. The auditors were unable to evaluate the guidance, leadership and support capacity of the CI Sector in relation to the field offices. That evaluation would have required an in-depth analysis of the forms of interaction between each section and the rest of the network.

151. The Sector does, however, assert that **certain heads of field offices do not have a clear understanding of its mission and the role of its local specialists**. The relationship between the Headquarters and the network could be improved as:

- (i) the Sector cannot set specific targets for the field offices (example of the target of celebrating World Press Freedom Day in 80 countries);
- (ii) the offices sometimes confuse the CI mandate with public relations actions, for which they use resources intended for the CI mandate;
- (iii) the offices often do not respond to written requests from the Sector;
- (iv) the offices sometimes take initiatives without informing the Sector.

152. Meanwhile, the office directors and CI staff members in the field with whom the auditors spoke expressed a generally positive assessment of the action of the entities at the Headquarters with regard to establishing guidelines, providing tools and supporting projects. These good relations are, above all, due to the quality of the interpersonal relationships within a modest-sized sector.

153. The sharing of responsibilities between the Headquarters and the field gives rise to certain difficulties, which were mentioned by both Headquarters staff and representatives in the field. Firstly, a number of projects in a limited geographical area continue to be centrally managed by the Headquarters, even though they are essentially implemented in the field. While it is understandable

⁵⁷ Chapter 1.5 Secretariat.

that the coordination of major extrabudgetary projects might be entrusted to staff at the Headquarters, who are responsible for the relationship with the donors, that form of organization is incompatible with the principle of decentralization. Likewise, the centralized budget management of those projects can be a source of misunderstandings in the field when complete transparency about the exact use of the funds is lacking between the Headquarters and all the field offices concerned.

154. It is true that some activities of the Sector are global and standard-setting, which might justify a certain degree of centralization. However, decentralization could also take the form of ongoing interaction between the Headquarters and the field, in order to document those activities with national, sub-regional and regional data and trends. In view of the limited number of staff and decentralized expertise, the Sector is currently studying the implementation of a decentralized structure with poles of expertise (CI focal points) in each region. Moreover, there is a specific budget for activities carried out in the field, which is discussed with each office and harmonized with all the offices to ensure regional coherence in terms of impact. Most extrabudgetary projects are decentralized and have a national focus.

155. Decentralization has limited the capacity of the sectoral units of the Headquarters to steer the field. As the staff of the CI Sector are, since the 2014 reform, under the direct authority of the heads of the field offices, the office heads can intervene in the interaction between the division directors and the specialists of the CI Sector, even assigning them tasks that do not fall under the mandate of that Sector. Some of the heads of offices and field staff questioned by the auditors affirmed that, for a minority of their time, they were assigned to the global communication and public relations activities of the field offices.

156. Even though the activities implemented by field staff must first be approved by the Headquarters services, there are also cases where the field offices take initiatives and form partnerships without previously informing the sections concerned at Headquarters. That occurred at the Office in Dakar when a project concerning Gambia was negotiated and signed with the European Union without Headquarters having been notified. The project was far too ambitious and went beyond what could have been expected of the CI Sector. Consequently, the CI team at the Headquarters helped reformulate the project and the new version is now being discussed with the EU.

157. Various kinds of difficulties can hamper the implementation of projects. For example, as a result of political turmoil in the Middle East/North Africa (MENA) region, some projects could not be set up. In some countries, projects relating to FEM/FOE have been suspended since December 2014 due to those developments. For example, the ICT project self-financed by Libya has been suspended twice since 2007 as a result of political developments.⁵⁸ In 2016, the focus of these projects was shifted to reflect current ICT needs at Libyan universities and two projects related to the Open Access and Open Educational Resources programmes are underway in Libya thanks to the technical expertise available at Headquarters.

3. Monitoring by Headquarters of the activities of the network

158. The aforementioned note of the Director-General of 3 January 2014 on the decentralization of activities to the network states that “the **principle of subsidiarity** that precludes Headquarters from implementing action that can be carried out by a field unit shall be fully observed”. Nonetheless, she recalls that “[p]rogramme ADGs are responsible and accountable for global programme coherence and C/5 results attainment and, consequently, for the oversight of all decentralized programmes”.

159. The monitoring by Headquarters services of the progress of projects implemented by the field offices is based on daily informal exchanges between staff of the entities of the sector and

⁵⁸ The original agreement signed in 2007 was for a project valued at \$71 million, with the transfer of \$7 million to UNESCO.

field staff. Such informal monitoring does not exonerate Headquarters from introducing structured tools for monitoring the activity of the offices.

(a) The quality of the monitoring carried out using the SISTER software

160. The monitoring of field activities essentially relies on the SISTER software, mentioned above. Every six months, via SISTER, field staff must report on the progress of the projects under their responsibility.

161. The auditors therefore endeavoured to evaluate the exhaustiveness and accuracy of the information entered in SISTER, which seems to vary depending on the activities. Out of a sample of 20 projects analysed, there were: detailed, well-documented reports in SISTER for ten projects (note A in the table below); reports that could have been developed further for six projects (note B); and very brief reports, which did not specify the achievement of objectives and were not supported by quantitative details for four projects.

Table 34: Sample of projects audited in SISTER

Project number	Office/division	Allocation 2015	Note
5122	Ramallah	596,241	C
5124	Cairo	176,280	B
5235	Baghdad	3,000,000	B
5394	Apia	100,000	B
5606	Abuja	157,933	B
5678	Rabah	108,800	B
5720	Kathmandu	393,488	B
7353	Phnom Penh	1,386,748	A
8251	FOE	3,774,393	A
8324	Amman	4,082,137	A
2665	Kabul	16,550	A
2837	Doha	29,944	B
798	FOE	92,333	A
9137	Brazzaville	93,458	A
5310	Libreville	0	C
5486	Brazzaville	0	C
1456	Cairo	8,976	C
2311	Santiago	6,720	A
2464	Baghdad	12,170	C
2664	Kabul	15,100	A
3438	New York	13,300	C

Source: External Auditor.

162. The auditors also verified the consistency between the financial data entered in FABS and the financial information reported in SISTER, for a sample of ten projects. They did not detect any major anomalies.

(b) The other monitoring tools

163. The external auditors also analysed the quality of two other processes for Headquarters to monitor the activities of the field network: individual monitoring of the activities of each Professional staff member in the field and monitoring of all the sectoral activities carried out by each field office.

(i) Individual monitoring of each Professional staff member in the field

164. The main formalized tool for individual monitoring of the activities carried out by field staff is the performance appraisal procedure provided for in the Human Resources Manual. The procedure gives rise to the production of an appraisal report which is submitted to the Headquarters, detailing the activities undertaken by the staff member under evaluation.

165. As indicated in the earlier section on the management of human resources, there appears to be great variety in the quality and accuracy of these appraisal reports. The presentation of the activities undertaken by the field staff is generally succinct, sometimes even non-existent.⁵⁹ In the manner in which the appraisal procedure is currently carried out, it does not, therefore, constitute an effective tool for monitoring the work of Professional field staff.

166. Each staff member's work can only be audited indirectly via the Organization's reporting tools, using SISTER, which does not enable exhaustive personalized monitoring. Indeed, for extrabudgetary projects covering several countries and coordinated by Headquarters, only the project coordinator at the Headquarters appears in the reporting system. The field office staff implementing the programme in their country or region do not appear. Consequently, when searching by project coordinator or office, Headquarters is overrepresented compared with its actual role, while the field offices are totally absent from the management of programmes coordinated by Headquarters. This tends to distort any attempt to audit the activities of each bureau or staff member by this means.

(ii) Monitoring of field offices

167. Two tools can be used to monitor the activities of the CI Sector carried out by a given field office. Firstly, at the end of each year, each office produces an activity report for submission to the Executive Board, which details, sector by sector, the activities carried out by the office. The reports consulted by the auditors (Phnom Penh, Windhoek, Doha) gave no cause for concern. In addition, the projects entered in SISTER can be filtered by country or geographical area. However, the sometimes incomplete nature of the information entered in this system (see above) reduces the effectiveness of this monitoring method.

168. In view of this, some Professional staff members of the Sector submit, on their own initiative, annual activity reports or newsletters presenting the activities carried out in the CI Sector. The specialists at nine offices produced such voluntary reports in the course of the 2014-2015 biennium.

4. Involvement of Headquarters in the appraisal of field staff

169. Since July 2015, Headquarters services are no longer involved in the appraisal of field staff responsible for implementation of the sector's activities. The procedure for reviewing the performance appraisals, within the framework of which a committee of Headquarters staff reviewed the appraisals of all staff members, was discontinued as of the 37th biennium, and is now only undertaken for staff members thought to be under-performing. According to HRM, if they so wish, the sectors can, nonetheless, issue opinions to the staff member's supervisor.

170. The programme sectors are no longer involved in the appraisal of senior field office staff implementing projects or activities under their purview.

171. The Headquarters services should be encouraged to contribute to the performance appraisals of field staff who play a crucial part in attaining the expected results of the sector, by issuing an opinion on the staff member's achievement of the objectives of the sector.

⁵⁹ See for example the reports for Mr Kxxx and Mr Axxx.

Recommendation No. 12. The External Auditor recommends involving programme sectors more closely in the performance appraisals of field staff under their budget.

H. PROGRAMMES SUBJECT TO SPECIFIC GOVERNANCE (IPDC AND IFAP)

1. International Programme for the Development of Communication

(a) Background of the Programme

172. The **International Programme for the Development of Communication (IPDC)** came about as a result of a resolution of the Intergovernmental Conference for Cooperation on Activities, Needs and Programmes for Communication Development of April 1980. This programme was formally established by resolution 4/21 adopted by the General Conference at its 21st session, held in Belgrade in October 1980, within the framework of the work on the New World Information and Communication Order (NWICO), launched by the Organization in the 1980s.

173. Since the reorientation of IPDC by the General Conference in October 2003, its objective is “to contribute to sustainable development, democracy and good governance by fostering universal access to and distribution of information and knowledge by strengthening the capacities of the developing countries and countries in transition in the field of electronic media and the printed press”. The 2003 resolution also urged the programme coordinators to concentrate on “a limited number of well-defined, innovative and catalytic projects, taking into consideration, and in cooperation with, other projects of intergovernmental and non-governmental organizations”.

174. A resolution of the General Conference of October 2005 (33 C/Resolution 58) called for “strengthening of the International Programme for the Development of Communication”, with the Programme assuming responsibility for the Media Development Indicators and, since 2008, producing a report on the safety of journalists (Intergovernmental Council (IGC) resolutions of March 2008). The usefulness of the Programme was acknowledged by United Nations General Assembly resolution 69/96 of December 2014.

(c) Budget management and financing of the Programme

175. In the budget under document 38 C/5, a specific goal (ER3) was set for IPDC in Major Programme V of the CI Sector, with a low priority level (C).

176. The **regular budget** allocated for the Programme’s operating expenses is financed from the regular budget of the Organization (C/5) pursuant to Article 9.1 of the revised Statutes. It was \$135,000 for the 2014-2015 biennium, compared with expenditure of \$93,000 for the 2012-2013 biennium.

177. The staff costs associated with the Programme (secretariat) borne by the Sector are added to that. They came to approximately \$295,000 for the previous biennium. Until 2004, IPDC had a secretariat with a full-time director. The IPDC **secretariat** and Intergovernmental Council are now provided by the UNESCO Secretariat. In the CI Sector, the Director of the FEM Division (Mr Guy Berger) is the Secretary, assisted by a programme specialist (Ms Rosa Maria González), who is now Deputy Secretary of IPDC, and by another programme specialist (Mr Fackson Banda), an assistant programme specialist (Ms Saorla McCabe), and the assistant to the Director of CI/FEM (Ms Christine Hugoninc-Sayag). These staff members say they dedicate 20% of their time to these duties.

178. Added to this **operating budget of approximately \$430,000** for the biennium is an operational budget financed solely by extrabudgetary contributions allocated to a **Special Account**

of the Programme, which is managed in accordance with the rules of Chapter 5.2 Special Accounts of the Administrative Manual. According to the specific (undated) financial regulations for that account, only the Director-General has the authority to use it, although a financial implementation report is presented to the Bureau of the IGC.

179. At 31 December 2015, the Programme's Special Account, presented by BFM in accordance with the Administrative Manual,⁶⁰ showed an available balance of \$1,401,444, following a balance at the beginning of the year of \$2,098,458, revenue from voluntary contributions (11 States, mainly Scandinavian, and one corporation) of \$645,501 (including interest) and expenditure of \$1,342,515 (including Programme Support Costs). This level of activity was comparable with the first year of the biennium.

180. At 31 December 2015, the IPDC Special Account had accumulated, since its creation, a total of \$63,525,222,⁶¹ \$59,016,259 of which was made up of contributions from States. These contributions have declined since 2010 (-72.7%), at just \$854,562 for 2014 and \$645,601 for 2015 (excluding interest), accounting for 6.5% and 7.0%, respectively, of the Sector's extrabudgetary income⁶². Thus, the IPDC Special Account constituted the sixth source of income of the CI Sector in 2015.

181. The modest rise in the number of contributors, from six to ten between 2014 and 2015, only reflects symbolic contributions (of less than \$10,000), since the bulk (79.4%) of the revenue in 2015 came from **two contributions, from Norway and Finland**, which are already major contributors to the other activities of the CI Sector.⁶³

(c) Management of Programme projects

182. At 31 December 2015, according to SISTER, the programme was funding **six projects**, as two projects had been closed in 2015. These projects, which cover series of micro-projects approved by the Bureau, involved the payment of relatively modest sums (\$10,000 to \$20,000), over a period of one to two years, to local initiatives to finance media and journalist associations in countries of the South. A total of **196 micro-projects** received this funding in 2015. These decentralized sums enabled 37 field offices to carry out activities in the area of media development in the course of the previous biennium. For 23 of the 53 offices that received funding from the CI Sector, the funds from IPDC exceeded the decentralized sums from the regular programme for this area of activity.⁶⁴

183. The 58th and 59th meetings of the IPDC Bureau approved, respectively, 80 projects in 62 countries for a value of \$1,270,000 in March 2014 and 71 projects in 65 countries for a value of \$1,198,392 in March 2015, giving a total of 151 new projects for an amount of \$2,523,393 over the biennium (199 EX/4 of March 2016). Africa benefited from 42% of these projects financed during the previous biennium.⁶⁵

184. All the projects approved in 2013 (*5001 series*) and 2014 (*5002 series*) have been closed. The projects approved in 2015 (*5003 series*) should be closed by no later than March 2017. Due to the lack of specific budgets and despite the recommendations of the external evaluators in 2006, the projects are proposed by the local offices and monitored in SISTER, but are no longer subject to systematic operational monitoring. Although, in the course of the previous biennium, implementation reports were prepared for 40% of projects and were analysed by the secretariat,⁶⁶

⁶⁰ *Financial position of the IPDC Special Account CI-16/BUR/60/3 of 26 January 2016.*

⁶¹ The Programme also raised approximately \$35 million from funds-in-trust.

⁶² *Contributions by sectors* statement of BFM.

⁶³ *ibid.*

⁶⁴ See *Comparative Table of Funds received by field offices from CI Regular Programme and IPDC Special Account.*

⁶⁵ See note CI-16/BUR.60/4.1 of 18 January 2016.

⁶⁶ See note CI-16/BUR.60/4.1.

no assessment of the impact of those projects, particularly the capacity of the beneficiary countries to replicate the example, appears to be available.

185. The secretariat is supposed to keep the projects **database** up to date (1,700 projects logged in 140 countries since its creation in March 2015), however, due to the alleged lack of resources, it has not yet managed to do so for 2014 or 2015. At the time of the audit, it planned to update the database by summer 2016.

186. Independently of its role of allocating local grants, in recent years IPDC has launched several “special initiatives”, the most visible of which are:

- (i) the *United Nations Plan of Action on the Safety of Journalists and the Issue of Impunity*, launched by IPDC in March 2008 and approved by the United Nations in April 2012, which establishes the submission to the IGC by the Director-General of a biennial report on *Safety of Journalists and the Danger of Impunity* (the first of which was submitted in November 2014, with the next edition due in November 2016), detailing the action taken by governments in response to murders of journalists (more than 700 since 2006). An analysis undertaken in 2015 by a consultant, at the request of the Sector, of the action of IPDC in this field since 2009 indicates that IPDC has played a “significant role” in this field but that it needs a strategy for the coming years. In 2015, 9.3% of the projects financed by IPDC concerned this theme;
- (ii) the publication of Media Development Indicators (MDI) since 2008, accompanied each year by some assessments of the situation of the media in a given country. About 15 such assessments have been published and approximately 20 are currently being worked on. Some of them appear to have had an important impact (Tunisia, Jordan).

Recommendation No. 13. The External Auditor recommends updating the projects database of the International Programme for the Development of Communication (IPDC) for 2014 and 2015.

- (d) Seeking extrabudgetary contributions

187. The Bureau of the Intergovernmental Council (IGC) is involved in **raising extrabudgetary funds**, as recommended by the external evaluators in 2002 and 2006. In 2013, it adopted a fundraising strategy.

188. Despite the personal investment of the current Chairperson of the IGC, there was little progress in raising additional resources in 2015. While at its 58th meeting the Bureau recorded a total of \$1,000,519 from eight (mainly Scandinavian) States, at its 59th meeting the Programme had only managed to raise \$965,088 from six States and one organization. Thus, the targets of raising at least \$1.5 million in 2014 and \$1.5 million in 2015 and increasing the number of contributors (to 15 as of 2014)⁶⁷ have not been met. At its 60th meeting, in March 2016, the Bureau recorded \$862,448 raised from six countries, which reflects a 13.9% decrease compared with 2014, although it is expecting further (pledged) contributions.

189. Under these conditions, it is not certain that the efforts recently requested by the Bureau during its 60th meeting will be able to reverse this trend. However, the Sector has mentioned the possibility of receiving funds from Malaysia, the European Union, Lithuania, Latvia and Spain, which are due to be confirmed.

⁶⁷ Information note CI-16/BUR.60/11 of 1 February 2016.

(e) Specific governance of the Programme

190. The particular nature of IPDC is that it is an intergovernmental programme, with its own specialized bodies.

191. The Programme is **governed** by an **Intergovernmental Council (IGC)**, which was established by the General Conference at its 21st session.⁶⁸ It is made up of 39 Member States, the number fixed in 1980, elected by halves by the UNESCO General Conference, for a term of four years, ensuring a regional balance.

192. According to Article 2.6 of the revised Statutes of 2003, the representatives of the States should preferably be “**specialists in the fields covered** by the International Programme for the Development of Communication”, which generally seems to be the case.

193. Pursuant to Article 5 of the revised Statutes, the IGC defines the activities and priorities of the Programme, approves the funding method and validates the reports (safety of journalists, state of the media, etc.). The Chairperson elected in 2014 has favoured a shift in the focus of the programme towards safety of journalists. The IGC should normally meet in **ordinary session once every two years**. These meetings take place at the Headquarters and last for two days. The 28th session of the IGC took place in March 2012 and the 29th session in November 2014. The 30th session of the IGC is scheduled for November 2016.

194. Pursuant to Article 10 of the Statutes, the Director-General produces a report on implementation of the IPDC for submission to the IGC and the General Conference. For its part, in accordance with Article 11 of the revised Statutes and Rule 16 of the Rules of Procedure, the IGC produces a report on its activities for each session of the General Conference.

195. The **Chairperson** of the IGC, Ms Albana Shala, of Netherlands nationality, was elected by the IGC at its 29th session in November 2014.

196. Actual governance of the Programme is handled by the **Bureau** of the IGC, which meets every year (58th meeting in March 2014, 59th in March 2015, 60th in March 2016, with a 61st meeting scheduled for November 2016 jointly with the IGC session). In accordance with Article 6.1 of the revised Statutes, it is composed of seven members who, since November 2014, have been the Chairperson of the IGC, three Vice-Chairpersons (Algeria, Bangladesh and Peru), three members (Denmark, Niger and Poland) and a rapporteur (Ms Diana Heymann-Adu, Ghana), whose duties are not explicitly stated. Since 2003, the agendas of these meetings have mainly focused on examining projects for which funding is proposed.

197. The Bureau also formed the jury which, from 1985, was responsible for recommending to the Director-General the recipient of the biennial UNESCO-IPDC Prize for Rural Communication, for the amount of \$20,000, which is financed from the Special Account. There was even a Special Account for this prize, despite its small amount. At its meeting of March 2014, the Bureau proposed that the IGC stop awarding the Prize; this proposal took effect in November 2014.

(f) Coordination between the Programme and the other activities of the CI Sector

198. Given the profile of the members and the low frequency of the meetings of the IGC, on the one hand, and the transfer of effective responsibility to the Bureau of this body alone, on the other hand, one might question the **need to maintain the IGC in its current form**. However, the Sector asserts that the IGC constitutes an important opportunity to involve 39 Member States in challenges relating to media development.

199. According to the current Chairperson of the IGC, the Programme works effectively although some clarification is required. Indeed, there is real competition between the activities of IPDC and

⁶⁸ 21 C/ Resolution 4.21.

the other activities of the FEM Division of the CI Sector, and even with those of its KSD Division. That competition concerns resource mobilization and the management of activities.

200. According to the Sector, IPDC also functions as a think tank on the subject of media development. It organizes thematic debates on topics such as “Journalism after Charlie: enhancing the safety of journalists” (59th meeting of the Bureau) and “Media and Migration” (60th meeting of the Bureau). Through its Chairperson, it has taken part in various fora such as the Paris conference on internet use (*CONNECTing the Dots: options for future action*) in February 2015 and the Paris conference on *Youth and the Internet: Fighting Radicalization and Extremism*.

201. However, **no specific audit of the IPDC** has been performed (document 199 EX/4 of March 2016); the last in-depth evaluations were carried out back in 2002 and 2006, under the responsibility of the Norwegian Minister of Foreign Affairs. At the meeting of the Bureau of the IGC of March 2014, its Chairperson had, nevertheless, proposed **a new evaluation** of the IPDC, considering that the last were performed in 2002 and 2006; this has not yet been carried out, owing to the work undertaken by the external audit on the governance of the Organization. At the 58th meeting of the Bureau, the Member States did, however, accept the recommendation of the Chairperson to keep the funds for the proposed evaluation in reserve. In its 29th session, the IPDC Council agreed to defer the decision concerning that evaluation to its 30th session, pending the findings of the external audit of the governance of UNESCO and dependent funds, programmes and entities. Now that said audit has been completed, there no longer appear to be any obstacles to the evaluation.

202. In fact, a comparison of development of the activities of IPDC and the CI Sector in the area of freedom of expression and media pluralism does not reveal a clear distinction between each vector. Investment in common themes (safety of journalists, gender parity in media education, etc.) and the search by IPDC for niches⁶⁹ reveal a difference of governance that has its own cost, limits the effectiveness of the Organization's activities in this field and discourages donors. Yet, IPDC is also a specialized forum where Member States can intervene politically in the governance bodies, with very specific mandates, on issues that would perhaps be difficult to address at the General Conference sessions.

203. One solution put forward by the IPDC Chairperson of **directly attaching the IPDC secretariat to the ADG** responsible for the CI Sector would be unlikely to resolve these difficulties.

204. Due to a lack of capacity to establish a matrix making it possible to combine the work of the two instruments, and without calling into question the very content of the actions undertaken, a **study of the costs and benefits of maintaining specific governance** for this Programme should be submitted to the Executive Board, based on the external evaluation that has been pending since 2014.

205. Generally, the situation of this Programme is a reminder that programmes of this type would benefit from having sunset clauses requiring, at regular intervals, explicit confirmation of the efficiency of the resources invested by the Organization.

Recommendation No. 14. Without calling into question the actions undertaken, the External Auditor recommends submitting to the Executive Board a study of the costs and benefits of maintaining specific governance for the International Programme for the Development of Communication (IPDC).

⁶⁹ See note CI-15/CONF.2017 of 5 March 2015.

2. Information for All Programme

(a) Description of the IFAP programme

206. The **Information for All Programme** (IFAP) was created in 1999 by 160 EX/Decision 3.6.1 of the Executive Board, on the basis of resolution 36 adopted by the General Conference at its 30th session. From 2001, it replaced two earlier programmes: the General Information Programme (PGI) and the Intergovernmental Informatics Programme (IIP).

207. Its objective is to narrow the digital divide between the countries of the North and South. More precisely, it aims to provide support to all the sectors of the Organization in the following six areas:

- promote reflection and debate on the challenges of the information society;
- promote and widen access to information;
- support training and education in the fields of information and communication technologies (ICT);
- support the production of local content;
- promote the use of international standards and best practices in the use of ICTs;
- promote information and knowledge networking in this field.

208. This Programme constitutes a contribution of the Organization to certain activities launched under the aegis of the World Summit on the Information Society (WSIS), the global forum held by the International Telecommunication Union (ITU) in December 2003 to reduce inequality among the planet's inhabitants in access to information via new ICTs.

209. The Programme produced an **activity report for 2008-2013**, corresponding to a strategic plan for the same period, which was submitted to the Executive Board in April 2013⁷⁰ and then to the General Conference in autumn 2013. A review of this strategic plan for 2008-2013 was undertaken by IOS in 2012. The Director-General's report to the Executive Board in August 2013 confirmed the relevance of the programme and its priorities.

210. Those in charge of the Programme also made good use of the **self-assessment questionnaire** which was sent to the Member States within the framework of the external audit of governance, the responses to which were discussed at the last meeting of the Bureau in 2015. However, no strategic plan has been produced since then.

211. Much of the work of the programme is centred on the digital dimension of information. The report on the 8th session of the Intergovernmental Council (IGC) indicates that the Programme seems to be trying to adapt its positioning to reflect its transformation into a think tank and advisory body for implementation of the Organization's regular programme in its field of competence. Thus, IFAP produces, under its own responsibility or in collaboration with others, works such as the Knowledge Societies Policy Handbook.

212. Even though it is self-governing, the various documents presented at the 8th session of the IGC reveal that IFAP suffers from a **chronic lack of visibility**, which various practices (adoption of its own logo) and resolutions are attempting to offset.

213. As for other programmes, 17 **national committees** for IFAP are supposed to further disseminate the work of the programme. The Programme's governing bodies regularly refer to the

⁷⁰ Document 191 EX/41 of March 2013.

difficulty of mobilizing those national actors. This issue is due to be addressed at a special meeting to be held in China in autumn 2016.

214. Since its creation, IFAP has initiated and executed **projects** implemented in the field by the CI Sector, the regional offices and the partners thanks to extrabudgetary funds in coordination with the IFAP secretariat and with the agreement of the Bureau of the IGC (KFIT in Africa, project in Ghana, ICT Caravan project). It sponsors various activities such as the Conference on Well Being in Digital Media (Israel, February 2015), the Conference on Linguistic and Cultural Diversity in Cyberspace (Yakutsk, July 2014) and Multilingualism in Cyberspace (UNESCO, October 2014 and Khanty-Mansiysk, July 2015), as well as declarations from regional fora (Saint-Kitts Nevis on the ethical dimensions of the information society in September 2015, Santo Domingo on Internet governance in November 2015).

215. The last report on implementation of the programme presented by the Director-General to the General Conference (38 C/REP/24 of 30 July 2015) notes the organization of **programme activities** that concern several components of the CI Sector:

- Conference on the Role of ICTs for Persons with Disabilities, in New Delhi, in November 2014;
- Workshops organized in South Sudan in July 2014 for the YouthMobile initiative;
- Paris conference on Internet use (*CONNECTing the Dots: options for future action*) in February 2015, the principles of which were approved by the WSIS forum in Geneva and the United Nations General Assembly in December 2015;
- Paris conference on *Youth and the Internet: Fighting Radicalization and Extremism*, held in June 2015 on the initiative of IFAP but, for the first time, with the assistance of IPDC and the participation of all sectors of the Organization.

216. IFAP's investment in the theme of youth radicalization via the Internet seems to have aroused real interest from new partners of the Organization. Quebec made a donation in kind worth \$500,000 (invitations, organization, placement of interns) to the Programme for the organization of a conference on this subject in October 2016. The United States has also expressed its interest in this issue.

(b) Budget and funding

217. In the budget under document 38 C/5, a specific goal (ER6) was set for IFAP, with a low priority level (C).

218. Like IPDC, IFAP is partly financed by the Organization's **regular budget**. For the biennium 2014-2015, the budget (excluding staff costs) was \$455,600 from the regular budget. However, unlike its sister programme, it also receives \$194,898 from the emergency programme.

219. Like IPDC, the Programme also has a **Special Account**, which is managed in accordance with the rules of the Organization. The accounting presentation for the governing bodies favours a cumulative approach but does not clearly highlight the total expenditure for the 2014-2015 financial year, which was \$116,413. At 31 December 2015, IFAP had raised \$1,605,130 for this account since its creation, \$738,634 of which was from State contributions. However, donor States prefer to avoid allocating their contributions to the Special Account due to the management costs that the Organization deducts. Thus, the only contribution recorded in the Special Account in 2015 was the \$70,000 contribution from China (see document IFAP.2016/Bureau.XXV/Inf.8 of 28 January 2016).

220. According to the IFAP Chairperson and secretariat, there are good prospects of further extrabudgetary contributions at the start of the present biennium. For instance, China has

reportedly confirmed a contribution of \$50,000 into the Special Account in 2016, an identical amount to that paid in 2015.

221. According to the Chairperson of IFAP, a **resource mobilization strategy** is currently being setting up. It has already given rise to the trialling of concrete arrangements, such as in Ghana in late 2015.

222. As the Director-General acknowledged in her report to the 8th session of the IGC, the programme is dependent on **in-kind contributions** from Member States, such as covering the costs of organizing working group meetings. According to the amounts presented to the IGC⁷¹, the uncertified, indicative value of those contributions is \$1,365,542 since the start of the Programme.

223. Programme expenses totalling \$1,477,217 have been charged to the Special Account since its creation, giving a positive balance of \$110 829 in this account at 31 December 2015.

224. The **staff costs** covered by the regular budget of the CI Sector for this programme can be estimated at 80% of the cost of the P-4 Professional concerned, that is, approximately \$262,000 for the last biennium. An operating budget for the statutory bodies of \$90,000 for the previous biennium and \$120,000 for the current biennium has also been allocated.

225. The secretariat of the Programme is provided by the CI Sector's KSD Division. The secretariat of the IGC is provided by its Director Mr Indrajit Banerjee (D-1). He is assisted by a P-5 Chief of Section (Mr Boyan Radoykov), a P-4 programme specialist (Mr Paul Hector), and a G-6 senior assistant, the assistant to the KSD Director (Ms Marie-Christine Botte).

226. Unlike her IPDC counterpart, the Chair of IFAP did not mention any difficulties in collaborating with the CI Sector or any competition between the respective activities of the Sector and the Programme.

(c) Governance of the Programme

227. The Programme has several specific governance bodies, which steer and guide its activities.

228. The Programme is governed by an **Intergovernmental Council** (IGC) made up of 26 States elected by the General Conference by halves every two years. Within the framework of the decisions of the General Conference regarding the programme, the IGC is supposed to study proposals relating to the Programme, recommend broad guidelines, examine and evaluate its results, encourage the participation of the Member States and support extrabudgetary fundraising activities.

229. The IGC meets once every two years; to save costs, this frequency has been reduced, compared with the period prior to 2010. Its most recent (8th) session took place on 19 and 20 May 2014, in Paris. The 9th session is scheduled for May 2016. Since May 2014, the Council has been chaired by Mme Chafica Haddad, the Deputy Permanent Delegate of Grenada to UNESCO. Her predecessor from 2012 to 2014, Mr Evgeni Kuzmin, has remained a Vice-Chair and member of the Bureau of the IGC. Ms Haddad estimates that she dedicates 75% of her time to her duties as Chair of the IGC. The Chair of the IGC presents an oral report to the Executive Board and the General Conference.

230. The IGC validated a **medium-term strategy** 2008-2013, which was presented to the Executive Board by the Chair of the IGC at its 191th session. However, it was unable to adopt an update of this strategy plan at its 8th session in May 2014.

231. The IGC has a **Bureau** composed of eight members, including its Chair, three Vice-Chairs and a rapporteur. Its members, the majority of whom have the profile of experts, were elected by

⁷¹ Document IFAP-2016/COUNCIL.IX/Inf.5 of 11 April 2016.

acclamation at the session of May 2014 and will be renewed in May 2016. The Bureau, which used to meet twice a year, met only in May 2014 (23rd meeting), March 2015 (24th meeting) and February 2016 (25th meeting).

232. The IGC has also created **six working groups**, each of which is led by a member of the Bureau. They address information accessibility, information for development, information ethics, information literacy, information preservation and multilingualism. In 2014, these working groups brought together experts from just 19 Member States. The work of these groups is varied, and was presented at the 8th session of the IGC. They do not report on their work in a uniform manner and are due to receive new mandates at the next IGC meeting in May 2016.

Recommendation No. 15. The External Auditor recommends inviting the States Members of the Intergovernmental Council of the Information for All Programme (IFAP) to prepare and adopt a strategic plan for the Programme for the coming years that will make it possible to highlight the concrete contributions of the Programme, distinguished from the other activities of the CI Sector in the same fields.

IV. ACKNOWLEDGEMENTS

233. The External Auditor extends sincere thanks to the Director and staff of the Communication and Information Sector (CI) for their availability and for the quality of the information provided to the auditors in the course of their work.

End of audit findings