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Educational, Scientific and  
Cultural Organization

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## Item 5 of the provisional agenda

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

#### **SUMMARY**

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

This document contains information on the following programme and human resources issues:

**I. Implementation of 36 C/Resolution 43 and 190 EX/Decision 5 (II) relating to the Ascent to the Mughrabi Gate in the Old City of Jerusalem**

**II. Draft open access policy concerning UNESCO publications**

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

Action expected of the Executive Board: proposed decision in paragraph 5.

**III. Progress Report on the Cooperation between UNESCO and the Global Geoparks Network**

Pursuant to Executive Board 190 EX/Decision 5 (I) (190 EX/SR.7) and General Conference 36 C/Resolution 31, the Director-General herewith reports back to Member States on the progress of work and consultations undertaken upstream of the 191st session of the Executive Board regarding further formalizing Global Geoparks within the UNESCO programme through a proposed UNESCO Global Geoparks Network Initiative.

The financial and administrative implications of this report fall within the parameters of the current and future C/5 documents.

**IV. Periodic progress review of the human resources management strategy and Action Plan (2011-2016)**

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

The General Conference also requested the Director-General to submit an annual progress review of the human resources management strategy to the Executive Board.

**V. Annual report (2012) by the International Civil Service Commission (ICSC): report by the Director-General**

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

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

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

The document submits ICSC's 2012 report to the Executive Board for information and describes measures affecting UNESCO staff which were implemented following ICSC recommendations and the decision taken by the General Assembly A/C.5/67/L.14.

**VI. Ethics Advisor contractual conditions**

The Director-General informs the Executive Board of her intention to apply a four year fixed-term appointment with regard to the established post of the UNESCO Ethics Adviser (P5 level).

This appointment would be subject to a one year probationary period and with no possibility of re-engagement by UNESCO.

**Action expected of the Executive Board for sections IV, V and VI:** Proposed decision: see section VI, paragraph 7.

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**I. Implementation of 36 C/Resolution 43 and 190 EX/Decision 5 (II) relating to the Ascent to the Mughrabi Gate in the Old City of Jerusalem**

(Follow-up to 190 EX/decision 5 (II))

1. Pursuant to 176 EX/Special Plenary Meeting/Decision and to the decisions of the World Heritage Committee since its 31st session in 2007 (Christchurch, New Zealand), the World Heritage Centre has spared no efforts to facilitate exchanges between Israeli, Jordanian and Waqf experts regarding the design of the Mughrabi ascent in the Old City of Jerusalem. Despite these efforts, to date no follow-up to the technical meetings held in January and February 2008 has taken place.
2. This item was inscribed on the agenda of the Executive Board at all subsequent sessions. It is also presented annually to the World Heritage Committee within the framework of the item related to the state of conservation of World Heritage properties inscribed on the List of World Heritage in Danger as regards the Old City of Jerusalem and its Walls.
3. At the 36th session of the World Heritage Committee (Saint Petersburg, 24 June to 6 July 2012), the state of conservation of the Old City of Jerusalem and its Walls, inscribed on the List of World Heritage in Danger, was presented to the Committee. Decision 36 COM 7A.23.II, reiterating the terms of the Executive Board 189 EX/Decision 5 (II), was adopted by consensus among the concerned parties. The World Heritage Committee also encouraged “the Director-General to facilitate coordinated action and professional exchanges between all the parties concerned”.
4. At its 190th session, following a roll-call vote in the Programme and External Relations Commission of 28 votes in favour, 23 votes against and 4 abstentions, the Executive Board adopted 190 EX/Decision 5 (II), by which it adjourned the debate on this item to the 191st session. The draft decision 190 EX/PX/DR.10 submitted by Algeria, Egypt, Saudi Arabia, Tunisia and United Arab Emirates was annexed to this decision.
5. Following a letter of 2 August 2012 by the World Heritage Centre requesting information on various ongoing projects, including the Mughrabi Ascent, the Permanent Delegation of Israel to UNESCO responded by letter dated 22 August 2012 that “the Israeli authorities have no further information or any reason to add to the most recent Old City of Jerusalem and its Walls State of Conservation Report, sent to the World Heritage Centre in March 2012”.
6. A “note verbale” from the Permanent Delegation of Jordan to UNESCO, dated 9 October 2012, informed UNESCO that the Israeli authorities had resumed work on the Mughrabi ascent since 22 May 2012, including “extensive concrete pouring [...], demolishing Islamic walls and a room [...], levelling of different areas of the ascent in a manner that adversely affects its structure, dismantling building stones and transferring the historical remains from the site to an unknown destination”, without taking into account previous decisions of the Executive Board and of the World Heritage Committee requesting that “no measures, unilateral or otherwise, shall be taken on the site”. The “note verbale” also stresses the great concern of the Government of Jordan relating to these actions, reporting that they “have adversely altered the site’s characteristics, integrity, authenticity and Islamic cultural heritage” and which “hinder the efforts to finally settle the Mughrabi Gate Pathway dispute in a manner consistent with UNESCO’s consensus decisions and acceptable by all relevant parties”.
7. On 5 and 14 February 2013, UNESCO received two additional “notes verbales” from the Permanent Delegation of Jordan to UNESCO to reiterate the concern of the Jordanian authorities with regard to the works undertaken by the Israeli authorities at the Mughrabi Ascent.
8. Should there be any developments on this matter the Director-General is prepared to issue an addendum to the present document before the 191st session of the Executive Board.

## **II. Draft open access policy concerning UNESCO publications** (Follow-up to 190 EX/Decision 5 (VIII))

### **Background**

1. In response to a decision of the 190th session of the Executive Board (190 EX/Decision 5 Part VIII) that invited the Director-General to present a draft Open Access Policy concerning UNESCO publications to the 191st session of the Executive Board, the requested draft Policy is described in this document.
2. The Policy has been reviewed by UNESCO's Publications Board in collaboration with the Communication and Information Sector, taking into account all legal and financial implications for the Organization as per the Executive Board's decision. As funds are not foreseen in the current C/5 document, funding options will be considered from extrabudgetary resources. A preliminary proposal for the implementation of an Open Access Policy for UNESCO publications has been submitted to the Director-General as a contribution to the Draft Programme and Budget for 2014-2017 (37 C/5).
3. Through this new Policy, UNESCO will enable maximum freedom of use of its publications without endangering their viability. Open access is free of charge access to electronic publications only, which is perfectly compatible with other kinds of paid access to the same content, such as hard copies and iApps. In the foreseeable future, UNESCO will still produce books in hard copy form, which continues to provide a potential for revenue.
4. This item may be read in conjunction with the UNESCO Publications Guidelines.

### **A. OPEN ACCESS POLICY**

*“Equal access to science is not only a social and ethical requirement for human development, but also essential for realizing the full potential of scientific communities worldwide and for orienting scientific progress towards meeting the needs of humankind”.*

#### **The World Conference on Science, 1999, held under the auspices of UNESCO and ICSU**

##### **A.1. Introduction**

- 1.1 Advancements in education, science and culture are made possible through broad and unfettered access to research and knowledge, enabling policy-makers, researchers, practitioners and the general public to use and build upon this knowledge. As an intergovernmental organization, UNESCO has a fundamental interest in ensuring that the outputs created by the Organization, including publications, data and resources, are available to the widest possible audience.
- 1.2 UNESCO strongly supports unrestricted Open Access (OA), which promotes the principle of openness, an essential element of progress. The importance of OA has been recognized both by other agencies and the private sector. The World Bank and the Wellcome Trust, for example, have implemented their own Open Access policies.

##### **A.2. Objective**

- 2.1 In principle, all of UNESCO's publications are protected by copyright. Through a new Open Access Policy for its publications, UNESCO will provide online access to all of its (research) outputs without many of the restrictions commonly imposed by copyright.

- 2.2 As one of the first steps, UNESCO will make these publications available online through a multilingual Repository.
- 2.3 The objective of this policy is to improve access to research created by UNESCO and to increase the dissemination of the resulting data.

### **A.3. Applicability**

- 3.1 UNESCO's Open Access Policy would grant an irrevocable worldwide right of access to copy, use, distribute, transmit, and make derivative works in any format within certain constraints.
- 3.2 According to UNESCO's Rules and Regulations, all intellectual property rights, including title, copyright and patent rights, concerning any work produced by a member of the Secretariat as part of his/her official duties, shall be vested in the Organization. Therefore, this Policy will apply to any publication created by a staff member for whom the Publications Board has given its approval on or after 1 June 2013.
- 3.3 Resources produced in whole by a member of the Secretariat and published externally should not assign UNESCO's copyright to the external publisher (UNESCO should retain its rights). ERI/DPI will negotiate an agreement with the publisher.
- 3.4 Any person external to UNESCO who co-authors a publication with a member of the Secretariat shall assign copyright to UNESCO. UNESCO authors will be responsible for informing co-authors of the Open Access Policy and for obtaining the rights of the external co-authors. ERI/DPI will provide a permission form for this purpose.
- 3.5 Any content published prior to 1 June 2013 will be supplemented by specific clauses restricting use, to be decided on a case by case basis. These publications will remain protected by copyright but distributed under a license that generally allows broader reuse than a traditional copyrighted work. Users will be referred to the license statement in each publication for specific terms of use.
- 3.6 This Policy will not apply to publications where UNESCO has entered into special agreements with donors, external agencies or publishers. However, external publishers will be strongly encouraged to adhere to the requirements of this Policy.
- 3.7 Any material (such as images, illustrations, graphics, etc.) used within a publication will not be covered by the Policy, unless it is in the public domain (i.e. their use is completely unrestricted) or if the owner has decided to relinquish his or her rights.

### **A.4. Position statement**

- 4.1 Resources published through UNESCO will be assigned a license that allows anyone to use any content for any lawful activities, as long as the original author and UNESCO are given credit for the original creation. No prior permission will be required.
- 4.2 Resources published by external publishers that have received funding in whole or in part from UNESCO will be licensed (if permitted by the publisher) under the most liberal license possible (without restrictions on use other than the attribution).
- 4.3 All other UNESCO resources published by external publishers will be subject to the requirements of the publisher. Nevertheless, UNESCO will retain ownership and complete control of the copyright for its own content.

## **A.5. Requirements**

- 5.1 On publication, the authoring Unit shall submit to the Open Access Repository an electronic copy of the relevant work, together with any source files and XML files where available. The publication will then be made available through the OA Repository.
- 5.2 Transmission, reproduction, use or transformation of any content beyond that allowed by this Policy will require the express written permission of the copyright owners.
- 5.3 To avoid any distortion or interpretation that could affect UNESCO's image, adaptation/translation/derivatives should not carry any official emblem or UNESCO logo, unless they have been approved by the Publications Board and/or validated by the Organization.

## **A.6. Repository**

- 6.1 Hosted within the UNESDOC system, the Open Access Repository will provide digital publications in full text to the public without cost or other restrictions (other than embargoes and specific clauses restricting use). Its interface will be in six languages.
- 6.2 For resources published by UNESCO on or after 1 June 2013 the publication will be deposited in the OA Repository immediately after the official date of publication, thus rendering it publicly available.
- 6.3 For resources published by UNESCO before 1 June 2013 and for which UNESCO has rights to all parts, shall also be deposited in the Repository.
- 6.4 For resources published by external publishers, written permission shall be obtained before depositing the publication in the Repository. This permission will stipulate free online access to the publication, but with restricted use (for non-commercial purposes and no derivative works allowed). UNESCO will respect an embargo period (if requested by the external publisher) that should generally not exceed 12 months.
- 6.5 Users of the Open Access Repository will be responsible for compliance with copyright restrictions and will be expected to adhere to the terms and conditions defined by the rights holder.

## **A.7. Roles and obligations**

- 7.1 As stipulated in UNESCO's Rules and Regulations, ERI/DPI is responsible for managing the quality control framework for all UNESCO publications.
- 7.2 In addition, the ERI/DPI will provide guidance to the Publications Officers and other specialized staff of the Secretariat on all aspects of OA and implement training sessions on key issues of Open Access such as copyright and licensing.
- 7.3 In collaboration with the programme sectors, ERI/DPI will also develop Open Access e-learning courses for all to provide an overview of the basic concepts of OA, including operational guidelines intended to facilitate the use of the Policy and its appropriation by the sectors.
- 7.4 ERI/DPI/PBM together with MSS/BKI will establish and maintain the Open Access Repository.
- 7.5 Finally, ERI/DPI will be responsible for implementing procedures and resolving questions regarding the management of the Repository.

- 7.6 Publications Officers will be responsible for providing assistance on all issues arising within their respective Sectors concerning the interpretation and application of the Policy.
- 7.7 The UNESCO Publications Board will be responsible for interpreting and monitoring this Policy, as well as resolving disputes concerning its application, and making recommendations to senior management on any proposed changes. The UNESCO Publications Board will review the policy after 18 months and present a report to the Senior Management Team.

## **B. IMPLEMENTING OPEN ACCESS AT UNESCO**

Adopting an Open Access Policy is a major step towards providing universal access to knowledge. However, the real success of such an initiative will depend upon its implementation, which requires a strong and sustained advocacy programme. The legal and financial implications of the activities to be undertaken within the framework of this implementation are set out below:

### **B.1. Legal implications**

As explained above in point 3 of the draft Policy, content access and reuse are governed by law. Consequently, UNESCO must carefully consider and address all of the legal obligations applying to the content that will be made available under the Open Access license (texts, graphics and images). These chiefly concern issues of copyright assignment, which may prevent a publication from being made openly accessible (some data potentially being subject to legal restrictions). Therefore, publications that were released prior to the adoption of the Policy will be subject to a comprehensive review to determine whether UNESCO is the rights holder and to identify the specific license for each resource.

The move from “all rights reserved” to “some rights reserved” will oblige UNESCO to (re)negotiate conditions with authors and make significant changes to its standard author contract.

### **B.2. Financial implications**

The proposed policy would generate a loss in revenue for UNESCO. Conversely, making UNESCO material available has the potential to increase the Organization’s credibility and visibility. This loss in revenue will be relative given that making publications freely available online does not rule out making the same work available in hard copy or creating value-added electronic publications for sale.

Furthermore, a Repository already exists at UNESCO: using the existing infrastructure of UNESDOC to host the publications will significantly reduce the expenditure related to the implementation of the Policy. Nevertheless, implementing the Policy does imply costs that should not be overlooked.

In particular, it will require the strengthening of UNESCO’s capacity in the area of Open Access and copyright. Currently no staff member from ERI/DPI is working on OA and there is a lack of expertise in this area. To do so, ERI/DPI will have to:

- establish operational guidelines intended to facilitate the Policy’s understanding
- develop a series of tools to foster its appropriation by all
- create and deliver training for Publications Officers



These activities will require the mobilization of two staff to drive change within the Organization as well as temporary assistance to manage rights issues. An implementation plan of the Policy and estimated costs related to activities are provided in Annex I of the present document.

### **Proposed decision**

5. After examining the proposed draft Policy, the Executive Board may wish to adopt the following decision:

The Executive Board,

1. Recalling 190 EX/5, Part III (C),
2. Recalling also 190 EX/Decision 5, Part VIII,
3. Having examined the proposed draft Policy on Open Access for UNESCO Publications (191EX/5 section II),
4. Recognizing the need and potential to give online access to all UNESCO research outputs,
5. Taking note of the legal and financial implications for the Organization,
6. Underlines the necessity to adopt and implement an Open Access Policy for UNESCO Publications;
7. Approves subject to the mobilization of the necessary extrabudgetary funding, the proposed draft Policy (191 EX/5 section II);
8. Cognizant of the budget that has been calculated for the implementation of the proposed Policy, requests the Director-General to identify and mobilize extrabudgetary resources for its implementation;
9. Invites Member States and other funding bodies to make extrabudgetary contributions to conduct the mentioned Policy within the Organization.

## ANNEX

### Open Access Policy for UNESCO Publications

#### Implementation Plan (2013 – 2014)

This draft Implementation Plan lays out the initial steps and specific actions required to achieve the vision of the Open Access Policy, and to address the challenges facing the universal access to knowledge. It does not encompass all of UNESCO's actions related to Open Access, rather it focuses on the three priority objectives highlighted in the Open Access Policy for Publications. For each priority objective, a set of actions and their intended outcomes are described, responsible entities identified, timeframe and budget are listed. This structure is designed to provide a clear outline of what will be accomplished when and who will be engaged.

The document is guided by three objectives: (1) provide a framework for Open Access Publications; (2) develop capacities of UNESCO staff to adopt Open Access; (3) strengthen information dissemination capacity through the use of OA Repository.

These activities will require a total budget for the period 2013-2014 of **US \$271 700**.

#### **OBJECTIVE 1: Provide a framework for Open Access Publications**

Actions	Expected outcomes	Timeframe	Responsible entities	Budget
Elaboration of a comprehensive Open Access Policy for UNESCO's Publications	<ul style="list-style-type: none"> <li>- Data for policy-making on Open Access collected</li> <li>- Knowledge circulation improved and a culture of sharing promoted through publishing</li> <li>- UNESCO as the lead United Nations agency to adopt OA for its publications</li> <li>- Kind of writings to be available under OA Policy identified</li> </ul>	May – June 2013	DPI/PUB - temporary assistance P2 + international expert	US \$43,700
Development of new forms related to the OA Policy adopted	<ul style="list-style-type: none"> <li>- Permission rights form, author contract and publisher agreement revised</li> <li>- New procedures promoted through publishing network</li> </ul>		DPI/PUB - temporary assistance P2 + international expert	
Production of a series of information documents and tools (operational guidelines, terms of use...)	<ul style="list-style-type: none"> <li>- OA concept introduced to staff members</li> <li>- At least 3 efficient tools finalized and disseminated to Publications Officers</li> </ul>		DPI/PUB - temporary assistance P2 + international expert	

**OBJECTIVE 2: Develop and improve capacities of UNESCO staff to adopt Open Access**

<b>Actions</b>	<b>Expected outcomes</b>	<b>Timeframe</b>	<b>Responsible entities</b>	<b>Budget</b>
Implementation of training sessions for Publications Officers	<ul style="list-style-type: none"> <li>- Publications Officers reinforced on key issues of Open Access</li> <li>- Information and best practices on Open Access identified, disseminated and shared</li> </ul>	July to December 2013	DPI/PUB - temporary assistance P2 + 2 staff members of the Publications Unit	US \$85,500
Technical assistance to Staff for the review of OA publications and publisher agreements	<ul style="list-style-type: none"> <li>- More than 70 % of the writings submitted to the Publications Board are OA</li> <li>- Methodologies understood and applied by all</li> </ul>			
Development of Open Access e-learning courses (quizzes)	<ul style="list-style-type: none"> <li>- Knowledge of the socio-economic impact and potential of Open Access enhanced</li> <li>- Staff members trained on OA related issues</li> </ul>			

**OBJECTIVE 3: Strengthen information dissemination capacity through OA Repository**

<b>Actions</b>	<b>Expected outcomes</b>	<b>Timeframe</b>	<b>Responsible entities</b>	<b>Budget</b>
Design of a well composed brand identity	<ul style="list-style-type: none"> <li>- Greater visibility given to the project</li> <li>- UNESCO OA logo for Policy and Repository created</li> </ul>	July 2013 to October 2014	DPI/PUB - temporary assistance P2	US \$142,500
Review of author contracts and (re)negotiation of rights	<ul style="list-style-type: none"> <li>- Rights "cleaned" for publications released from 2009</li> <li>- Greater awareness of authors on the potential of publishing under Open Access</li> </ul>			
Building of the Open Access Repository	<ul style="list-style-type: none"> <li>- OA Repository launched and structured with at least 150 publications posted online</li> <li>- Specific guidelines for the mandatory in Repository drafted</li> <li>- All new publications freely available by the public</li> <li>- Each writings published from 2010 classified under a specific license</li> </ul>		DIT/BKI and DPI/PUB - temporary assistance P2	
Enhance collaboration with agencies and Member States to promote OA	<ul style="list-style-type: none"> <li>- National policy initiatives encouraged</li> <li>- Actions of UNESCO related to Open Access better known and understood by the general public</li> </ul>		DPI/PUB - temporary assistance P2	

### **III. Progress Report on the Cooperation between UNESCO and the Global Geoparks Network**

(Follow-up to 190 EX/Decision 5 (I))

1. At the 190th session of the Executive Board Member States supported enhanced cooperation between UNESCO and the Global Geoparks Network (GGN) as proposed by the Director-General in document 190 EX/5 Add I. Member States further requested the Director-General to submit a more comprehensive proposal concerning UNESCO Global Geoparks Network Initiative and the formalisation of the relationship with the Global Geoparks Network. Specifically, the Executive Board asked that various issues be addressed and asked the Director-General to report back to its 191st session on the progress made. The following report summarises the progress of work and consultations undertaken in compliance with the requests of the Executive Board. At this stage, internal and external consultations are still being conducted concerning the range of concerns identified by the Executive Board, in order to identify the best modality of cooperating with the Global Geoparks Network. A final report will be provided to the 192nd session of the Executive Board.

#### **2. (a) Budgetary Implications**

Initial consultations conducted concerning external funding partners are ongoing. It is worth mentioning that the GGN has, since its foundation in 2004, been self-financing (covering all costs for evaluation and revalidation missions, workshops etc.). In 2010, the Global Geoparks voluntarily contributed yearly \$1,000,000 in 2010, \$1,020,000 in 2011 and \$1,560,000 in 2012 to the Global Geoparks Network. As to budgetary implications for UNESCO, it is noted that contribution is \$25,000 annually plus 0.5 P5, 0.5 P3 and 0.5 G3 staff time. No additional financial costs from UNESCO would be needed for a UNESCO GGN Initiative which would be run with the same light administrative structure within UNESCO as before with GGN activities being self-financed. In addition the 87 GGN members from developed countries have agreed to contribute up to \$1,000 as an additional appropriation for 2013 for capacity-building efforts. Discussions are continuing to formulate a possible future tiered level of contribution so that those Global Geoparks with more visitors, and more income, can contribute more. In the context of these annual contributions a request for the creation of a Special Account is being prepared. It is expected that in the future, more significant extrabudgetary funding can then be sought. Consultations on financial support with both IUCN and IUGS have resulted in IUGS agreeing to receive a proposal to help fund GGN activities up to \$10,000 annually. More information is needed about the predictability and sustainability of these funding sources.

#### **(b) Mapping of UNESCO's work relevant to Geoparks**

With regard to a mapping of UNESCO's work relevant to Geoparks a questionnaire regarding possible duplication/synergies/added value was circulated to all 90 current GGN members. An analysis of the replies shows that most of the Global Geoparks do not overlap with UNESCO designated sites. Of those that do, there is a clear distinction between the remits of each "designation" and there is potential for cooperation especially in those areas where it is of mutual benefit whether it is with Biosphere Reserves or World Heritage Sites. In many regions, Global Geoparks are identified as places employing environmental best practise, creating jobs and in many countries winning environmental, tourism, education and community-based awards for their work. A UNESCO GGN Initiative would allow UNESCO to be very clearly and prominently identified with the work of Global Geoparks which IUCN recognises as a "...significant complementary programme to World Heritage."

#### **(c) Mechanisms for officially defining UNESCO's oversight role**

Considering mechanisms for establishing an official oversight role for UNESCO in coordination with the concerned Member States and for maintaining the current strong quality control are topics

which are of great importance to the Global Geoparks. It is noted that the process of evaluation and four-yearly revalidation is rigorous. It is proposed that modalities be explored whereby it would be the responsibility of each Member State to nominate territories for membership of the GGN, with UNESCO secretariat staff overseeing the work of the GGN. Furthermore, an annual training workshop would be held to provide an intensive course on evaluation/revalidation before new reviewers undertake their first mission, funded from GGN contributions.

**(d) Mechanisms for reinforcing the capacity-building**

Mechanisms for reinforcing the capacity-building and knowledge transfer dimensions are at the very heart of the concept of Global Geoparks. Over the last 3 years, \$750,000 has been spent on these activities, funds sourced directly by the GGN or by the inviting institution. These activities will continue and be complimented by the annual contributions from GGN members allowing funding of regional workshops (such as one planned for Latin America in November 2013).

**(e) Management of long-term development of GGN**

In the context of the long term development of a possible UNESCO GGN Initiative, the proposed guidelines would refer to equitable geographical distribution but also to a mechanism to slow new applications, to limit the number of new applications per Member State and, subject to agreement with Member States, to impose national limits on the number of Global Geoparks per country. Furthermore, the GGN, with its increasing built-in pool of expertise, is well placed to cope with any increase in applications given that it is the GGN, and not UNESCO that directly manages this particular function.

**(f) Guidelines of a possible UNESCO Global Geoparks Initiative and Legal Implications of accepting sites already designated under existing criteria**

Discussions are still ongoing regarding the possible operational guidelines of a UNESCO GGN Initiative and the legal, financial and programmatic implications of creating an appropriate framework and of accepting sites already designated under existing criteria. Progress on these issues will be contained in the final report to the Executive Board at its 192nd session.

#### IV. Periodic progress review of the human resources management strategy and Action Plan (2011-2016)

(Follow-up to 187 EX/Decision 6 (X), 36 C/Resolution 96)

##### Introduction

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

- Improving UNESCO's delivery capacity;
- Strengthening the field presence and the intersectoral way of functioning;
- Setting up an effective human resource planning.

##### Progress report

2. As reported in the first progress report on the implementation of the Strategy at the 190th autumn 2012 session of the Executive Board, progress and implementation of some activities listed in the Action Plan (see Annex I) were slowed down and/or postponed, due to financial constraints.

3. In light of the above, work during this six-month reporting period largely focused on the improvement of processes and tools in support of recruitment, planning, mobility and learning as well as the rationalization of administrative work and processes:

- A **new E-recruitment tool "Careers"** was launched in June 2012. This new system facilitates the management and the screening of applications thereby reducing the processing time of recruitment.
- A **new Roster** to collect CVs of consultant/experts and support staff was launched in January 2013. This tool is part of the new e-recruitment system and will be used as a database of potential applicants for consultancy and short-term assignments.
- A new user-friendly **HRM Website** was launched in October 2012 to support accessibility and transparency of HR rules, regulations, policies and initiatives.
- New web-based tools incorporating **Succession Planning and Career Development, Performance Management and Competency Assessment** have been purchased. The implementation of the first phase began in August 2012 with the development of the Career Centre element. It is being piloted and is planned for implementation house-wide in the first quarter of 2013.
- **Mobility**, in particular in support of the field reform in Africa, continues. A total of 30 moves took place in 2012 (11 from Headquarters, 15 field to field, and 4 field to Headquarters), of which 7 in Africa. An updated mobility policy has been prepared, to facilitate and streamline geographical mobility and consultations are underway.
- **Training and Development** activities set out in the HR Strategy are planned for 2014-2015. In preparation, HRM purchased an e-learning platform, accessible to staff at Headquarters and the Field, the proposal was submitted to and approved by the Contracts Committee in December 2012. HRM will pilot/implement this e-learning platform during the 2nd quarter of 2013 which should initiate a certain number of training needs.

4. HRM, with technical assistance from MSS/BKI, in efforts to rationalize administrative processes and ensure a timely administration of staff benefits and entitlements, has developed and implemented a number of workflows; contract extension, part-time work and promotion workflows are in the pipeline.

**Review of the HR Strategy**

5. A review of the Action Plan will be undertaken in spring 2013 in the light of the outcome of the C/4 preparation, to ensure that it effectively supports the new Medium-Term Strategy and that it continues to be relevant.

ANNEX

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

OBJECTIVE 1: IMPROVING THE DELIVERY CAPACITY OF UNESCO							
Expected Result	Action	KPI (Key Performance Indicator)	Time frame <i>(Revised)</i>	Responsible			Progress Status (31 January 2013)
				HRM	Managers	Staff	
<b>1. More qualified candidates attracted and recruited in UNESCO</b>	1. Enhance outreach for qualified candidates (through job fairs, Universities, UN networks)	Candidates pools set up	2 <sup>nd</sup> Q.2012 <i>suspended</i>	X			None. Specific outreach efforts suspended (objective of 100 % Recruitment Freeze).
	2. Set up candidates pools of external candidates shortlisted but not selected, to notify of future vacancies in the Organization			X			
	3. Identify critical skills and competencies needed (such as management; partnerships), develop protocols for competency-based interviews and provide training/briefing to hiring managers on a systematic basis	Competency-based interviews applied to all interviewed candidates	1st Q.2012	X	X		Competency-based interview protocols developed.
	4. Check references systematically and ensure traceability		1st Q.2011	X	X		Implemented.
<b>2. Efficient, rapid, cost-effective and transparent recruitment process</b>	5. Develop new Vacancy Notices format with attractive and informative content	Average % of candidates screened in/out	3rd Q.2011	X			Implemented.
	6. Set up more attractive, informative and user-friendly web-site (intranet/internet)		4st Q.2011 <i>3<sup>rd</sup> Q.2012</i>	X			Implemented. Launched in October 2012.
	7. Implement E-recruitment for pre-selection and rosters		4st Q. 2011/1 <sup>st</sup> Q.2012	X			Implemented.
	8. Revise Job Descriptions (JD), implement Generic JDs where appropriate and provide training/advice on JD writing		2st Q.2012 <i>End 2013</i>	X	X		Generic JDs implemented for ED and SHS. To be extended to other



							Sectors.
<b>3. Enhanced quantity and quality of training offer to ensure UNESCO has a capable and skilled workforce</b>	9. Develop and implement new learning strategy	% of staff trained ;	<b>2014-2015</b>	X	X		
	10. Conduct needs assessment an re-focus training offer on key generic skills needed for programme delivery (managerial skills, project management, partnering skills)	number of days training per staff; % of staff satisfied with quality/quantity/relevance of training (through global staff survey); number of new training initiatives implemented Feedback through end training survey	<b>2014-2015</b>	X			Learning Needs Assessment was done in 2012 and future training offers will be more focused on needs identified.
	11. Implement new modalities of training: Internal development and assessment of external offer for specific skills; short-term assignments piloted; use of e-learning maximized						New tool has been purchased to allow for more e-learning programmes. Should be operational in 2013.
	12. Review role of Learning and Development Commission						
	13. Review allocation mechanisms of training budget to Sectors/Bureaux and FOs		<b>2013-2014</b>	X			Note that we did not receive a training budget for 2012-2013
	14. Evaluate induction training for new recruits and improve as required					X	
	15. Implement mentoring scheme					X	
<b>4. A motivated workforce, with opportunities for career development/ Growth and recognition</b>	16. Implement staff development reviews with staff who have performed the same functions for an extensive number of years (5 years or more); explore and enhance mobility opportunities	% of staff performing the same functions for an extensive number of years who have been assigned new functions;	<b>2014-2015</b>	X	X	X	
	17. Develop skills assessment tool	% of staff who have consulted Learning Unit for career development advise; feedback through global staff survey	<b>2013-2014</b>	X	X		Tool being developed, for implementation in 2014.
	18. Reinforce counselling role of career service; provide career advise/briefings to staff			X	X		

<b>5. Enhanced mobility (geographical, functional, and inter-sectoral)</b>	19. Update and implement geographical mobility policy	% of staff in hardship duty stations re-assigned on time (SDA); % of staff remaining in same duty station/position for more than 5 years; Nr of inter agency moves per biennium	2012-2013	X	X	X	Results vs. KPI <ul style="list-style-type: none"> <li>100 % staff in hardship duty stations re-assigned on time in 2012.</li> <li>In 2012: 30 geographical moves.</li> <li>The updated geographical mobility policy is under internal consultations (for issuance 2<sup>nd</sup> Q 2013).</li> </ul>
	20. Recognize mobility as an asset for promotion to P-4/5		2012	X	X		Implemented.
	21. Implement pilot programme of inter-sectoral exchanges and functional mobility		2015-2016	X	X	X	
	22. Enhance inter-agency mobility		2012	X	X	X	In 2012: 11 moves to other UN agencies.
<b>6. Stimulating work environment</b>	23. Develop a Programme that recognize Team performance	Motivation and commitment of staff measured through global staff survey; Number of teams recognized	2014	X	X	X	
	24. Develop a Programme that recognizes for outstanding performance for individuals		2013	X	X	X	
<b>7. Improved quality of management and enhanced performance at managerial level</b>	25. Provide management training for P-4 staff and above	% P-4 and above trained for management skills; % of P-4 staff and above who actually report; % of staff satisfied by development objectives (through global staff survey)	2012-2013 <i>suspended</i>	X			Suspended for 2012 given training budget.
	26. P-4 and above supervisors identify, implement their staff development objectives and report on progress.		2013-2014			X (P-4)	
	27. Implement 180° feedback and appropriate coaching/follow up	% of D staff who undertook a 180° feedback; % of staff satisfaction with managerial practices (global staff survey)	2014-2015	X	X	X	Competency assessment tool purchased and currently under development, to be operational in 2014; will allow for 180° feedback.

	28. Performance of senior managers assessed against key expectations	% of D staff assessed by the end of 2012;	2012		Directors and above		Implemented. The Compact for senior managers and a revised on-line performance appraisal system for Directors/Heads of Field Office were launched in May 2011.
<b>8. Enhanced accountability, compliance and trust</b>	29. Develop a clear accountability framework for all staff in the Organization	Accountability Framework developed. Reduction on the number of appeals/contestations	2011	X	X		A high level accountability framework was appended to the HR Strategy.
<b>9. Core values and Standards of Conduct promoted</b>	30. Include Ethics and Promote Core Values in induction and management training	Number of staff trained; % decrease of number of harassment complaints; % of cases submitted Ethics Office; feedback through global staff survey	2011-2016	X and Ethics Office	X	X	Implemented. Ethics included in induction and management training.
	31. Develop and implement policies on conflicts of interest, gifts, financial disclosure.		2012	X and Ethics Office	X	X	In progress. Draft policy on financial disclosure and conflicts of interest developed (issuance 1 <sup>st</sup> Quarter 2013).
<b>10. Gender parity at senior level</b>	32. Implement UNESCO's Action plan for Gender Parity	50% of women Directors by 2016	2012-2016	X	X		Gender parity has been achieved amongst Professional staff since January 2012 (50%/50%). The representation of women at Director level has improved from 28% in January 2012 to 33 % in January 2013.
<b>11. A geographically balanced workforce</b>	33. Implement the Action plan for the improvement of Geographical Distribution in the Secretariat	85% of Member States represented in 2016; Increased number of normally represented countries; % of staff recruited from non- and under - represented countries.	2012-2016	X	X		158 (81 %) of Member States are represented in the Secretariat.
	34. Non and under-represented countries: assess situation, identify issues and develop targeted approach for outreach through advertisement in local press; job						

	fairs; NatComs, Delegations, Professional networks.						
	35. Continue and support the YPP programme.						10 YPP were hired in 2011; they have undertaken training provided internally on “no cost” basis.  Campaign for the next intake will take place in 4 <sup>th</sup> Quarter 2013.
<b>12. Effective partnerships established to obtain external expertise</b>	36. Facilitate and support the conclusion of new partnerships in support of UNESCO’s programme, within the parameters of the Loans and Secondments framework, in key areas where expertise not readily available, with Governments, intergovernmental Institutions, Universities, Private Sector	Number and distribution of loans/ secondments by Sector/Bureau/Office; positive feedback from the hiring manager	Ongoing	X with CFS	X		Implemented
<b>13. HRM to become a proactive support/adviser to Organization and staff</b>	37. Align HRM structure to effectively support the HR strategy and improve service delivery	Ivory Note issued ; % service standards respected; random measures of "client" satisfaction; global staff survey	2011-2012	X			Implemented. Ivory Note issued on 25 June 2012.
	38. Update service standards		2012	X			Workflows development in process.
	39. Monitor quality (and time)of service delivery by Section		2012	X			
	40. Develop and implement HR communication plan( including launch of the website, information sessions, Town Hall meetings at HQs and Field)	Enhanced compliance with the rules (audit reports); feedback though global staff survey	2011-2012	X			In progress.  HRM Website launched in October 2012.
	41. De-bureaucratize HR processes/procedures: conduct a systematic review of processes, in particular when implementing workflows;  42. Increase delegation of authority within HRM and to Sectors	Time for service delivery decreased; % of staff satisfaction (global staff survey)	2012-2013	X			Implemented. Three workflows were developed.  In progress.

	43. Develop a regular training programme of Administrative Officers and Human Resources staff in Sectors/Bureaux and in Field Offices	Enhanced compliance with the rules (audit reports)	2011 onwards	X			
	44. Conduct global staff surveys every 2 years	Staff surveys conducted in 2012, 2014, 2016	2012 onwards	X			

<b>OBJECTIVE 2: STRENGTHEN THE FIELD PRESENCE AND THE INTER-SECTORALITY</b>							
Expected Result	Action	KPI (Key Performance Indicator)	Time frame	Responsible			Progress Status (31 January 2013)
				HRM	Managers	Staff	
<b>1. A strengthened field presence and the inter-sectorality</b>	1. Assess staffing needs in the field; fill posts on time, provide quality induction and ensure knowledge transfer	% of vacancy rate in field; % of Field Offices in the Africa Region (Phase I) adequately staffed (90 % posts filled)	2011 onwards	X	X		
	2. Develop policies & guidelines to support the redeployment of staff, the separation & hiring of local staff.	% of HFOs with performance assessed	2011 onwards	X with BFC			Guidelines developed. To be approved and communicated.
	3. Ensure that there are clear lines of accountability/reporting within Field Offices, between Field Offices and between Field and HQs		2011 onwards	X with BFC			Ongoing.
	4. Provide advise/support to managers re org design, job profiles, staffing.		2011 onwards	X with BFC			Implemented on an ongoing basis.
	5. Ensure that Performance Assessment of Head of Field Offices is measured and reported on.		2011 onwards	X with BFC			Implemented on an ongoing basis.
	6. see action 21 (Obj.1(5) ) Implement pilot programme of inter-sectoral exchanges and functional mobility			<b>2015-2016</b>	X	X	X
<b>2. Enhanced</b>	7. Harmonize HR practices (to the extent possible) at the field level in the context of	Implementation progress of the Plan of Action	2011 onwards	X			UNESCO Learning HR Project Plan approved

integration into the UN common system	Delivery as One by implementing a harmonized approach to the recruitment of local staff.					by HLCM. Ongoing
	8. Sustain/strengthen UNESCO's participation and input in inter-agency networks	Chair of committees /participation in Working Groups	2011 onwards	X		Implemented on an ongoing basis.
<b>OBJECTIVE 3: IMPLEMENT AN EFFECTIVE HR PLANNING</b>						
Expected Result	Action	KPI (Key Performance Indicator)	Time frame	Responsible		Progress Status (31 January 2013)
				HRM		
1. HR Planning process in place	1. Set up HR planning process	Vacancy rate reduced	4 <sup>th</sup> Q. 2012 <del>4<sup>th</sup> Q. 2013/</del> <del>1<sup>st</sup> Q.2014</del>	X		In progress; to be operational in 2013/2014.
	2. Implement succession planning for key targeted posts, specific profiles and skills		2012-2013	X		
	3. Put knowledge transfer mechanism in place		2012-2013	X		

**V. Annual report (2012) by the International Civil Service Commission (ICSC): report by the Director-General**

(Follow-up to 114 EX/Dec. 8.5, 22 C/Res. 37, 35 C/Res. 92, 186 EX/Dec.6 (VII))

**Introduction**

1. ICSC's 38th annual report for 2012 contains measures which affect the conditions of service of United Nations Common System staff. The General Assembly examined this report and its recommendations at its 67th session and took decision A/C.5/67/L.14 (Annex 1). Consideration of much of the 2012 report was deferred to the resumed General Assembly 67th session in March 2013. The description of the report in this document shows separately items presented to the General Assembly for information only or where a decision was taken, and the items whose consideration has been deferred until the General Assembly's next session.

**(i) Decision taken or items presented for information only**

**Feasibility and suitability of reflecting the pay freeze of the comparator civil service in the administration of the post adjustment system**

2. The General Assembly asked ICSC to explore the feasibility and suitability of possible measures to reflect the pay freeze of the comparator (US) civil service in the administration of the post adjustment system; to determine whether the implementation of such measures fell under ICSC's authority; and to exercise such authority as appropriate.

3. ICSC decided to report to the General Assembly that:

- (a) ICSC did not have the authority to take measures in the administration of the post adjustment system that were not consistent with the United Nations/United States pay margin methodology, as established by the General Assembly;
- (b) The existing mechanisms for adjusting salaries were working well, and it was therefore not convinced of the suitability of introducing additional measures to reflect, in the administration of the post adjustment, the pay freeze in the comparator civil service;
- (c) If the General Assembly decided that such additional measures were necessary, it would be technically possible to implement them in the post adjustment system on the basis of the margin management arrangements already in place. In that case, it would be desirable that any measures be a one-time event, with a finite duration.

4. In addition, the Commission:

- (a) Noted that a post adjustment multiplier of 68 would become due in New York on 1 August 2012 in accordance with the approved methodology;
- (b) Decided to defer promulgation of the revised post adjustment multiplier for New York in view of the financial situation of the United Nations;
- (c) Also decided that, unless the General Assembly acted otherwise, the revised post adjustment multiplier would be promulgated on 1 January 2013 with retroactive effect as of 1 August 2012.

5. In its resolution, the General Assembly decided that the current post adjustment multiplier for New York (which would normally have been reviewed in August 2012) should be maintained until 31 January 2013, with the understanding that the normal operation of the post adjustment system would resume on 1 February 2013.

*Follow-up action*

6. As UNESCO has few Professional staff in its New York Office, the impact of this decision/resolution is minimal. However, as revisions to the New York post adjustment multiplier affect the pensionable remuneration scale for all Professional staff, the increase in the pensionable remuneration scale in February 2013 increased the contributions to the UN Pension Fund for international staff and the Organisation by about 2 per cent.

**Review of Pensionable Remuneration**

7. ICSC completed its review of pensionable remuneration during 2012, which had been carried out in conjunction with the secretariat of the United Nations Pension Fund and representatives of organisations and the staff federations.

8. The review compared the United Nations pension scheme and that in the comparator civil service i.e. US federal civil service, and considered a number of technical issues, including income inversion, whereby GS staff could receive higher pensions than Professional staff even though the salaries were the same; the use of dependency or single tax rates to construct the common pensionable pay scale; and the relationship between the years of contributory service and calculation of the pension.

9. ICSC decided to report to the General Assembly that the current methodologies did not need to be revised at this time, although the various issues discussed would be kept under review.

*Follow-up action*

10. The decision of ICSC has no implications for UNESCO or for its staff.

**Mandatory age of separation**

11. The General Assembly had asked ICSC in 2009 for a comprehensive analysis of the possibility of changing the mandatory age of separation, including implications for human resources policies, and to report with advice and recommendations on succession planning within United Nations organizations.

12. The Commission decided to:

- (a) Support the recommendation from the United Nations Pension Board to raise the mandatory age of separation to age 65 years for new United Nations staff, to be effective no later than 1 January 2014;
- (b) Request its secretariat to prepare a strategic review of the implications of applying the increased age of separation to current staff.

*Follow-up action*

13. ICSC's decision will require the following amendment to UNESCO's Staff Regulation 9.5:

“Staff members shall not be retained in the service of the Organization beyond the age of sixty, or the age of sixty-two if recruited on or after 1 January 1990, or the age of sixty-five if recruited on or after 1 January 2014, except that when the Director-General considers it to be in the interest of the Organization, he may authorize extension of these limits in specific cases.”

Amendments to the Staff Regulations require the approval of the General Conference. The above proposal will, therefore, be submitted at its forthcoming 37th session, under the item relating to Staff Regulations and Staff Rules.



### **Contractual arrangements: Implementation of the three types of contracts and the phasing-out of appointments of limited duration**

14. ICSC considered a report on the implementation of its revised contractual framework introduced in 2011, and the current situation on Appointments of Limited Duration (ALD): ICSC had removed the ALD reference from its revised contractual framework and had requested Organizations to phase these out by the end of 2010, although UNESCO had been granted an exceptional extension, until 31 December 2012.

15. The Commission:

- (a) Noted that ALD contracts had, or would be, phased out in accordance with ICSC's request;
- (b) Affirmed that its contractual framework covered three types of appointments (i.e. continuing, fixed-term and temporary), but noted that Organizations could implement any combination of the defined types in accordance with their particular needs;
- (c) Urged the Organizations to follow the contractual framework guidelines when considering and introducing changes to the contractual status of their staff; and make proposals to the governing bodies to align their contractual arrangements with the United Nations common system.

#### *Follow-up action*

16. UNESCO's contractual framework is already compatible with the ICSC framework.

### **Evolution of the United Nations/United States net remuneration margin**

17. In resolution A/RES/66/235, the General Assembly reaffirmed that "the range of 110 to 120 for the margin between the net remuneration of officials in the Professional and higher categories of the United Nations in New York and officials in comparable positions in the comparator civil service should continue to apply, on the understanding that the margin would be maintained at a level around the desirable midpoint of 115 over a period of time".

18. ICSC reported that the margin for the period 1 January 2012 to 31 December 2012 was 117.7, with a five-year (2008-2012) average of 114.9.

#### *Follow-up action*

19. The calculation of the margin has no implications for UNESCO or for its staff.

### **Children's and Secondary Dependents' Allowances**

20. The children and secondary dependant allowances are reviewed every two years in accordance with the approved methodology. On this basis, the children's allowance would be \$3,401 per year, with effect 1 January 2013, and the secondary dependants' allowance would be \$1,190. These amounts would then be converted into local currency using the official United Nations rate of exchange at the time of promulgation, to remain unchanged until the next biennial review.

21. The figures represented a 16% increase on the levels paid since 1 January 2011, mainly the result of significant increases in legislated child payments in Switzerland. ICSC was concerned about the dominant effect of one large duty station (Geneva) on the final result. It was also concerned that the methodology was an automatic procedure that left no room to consider other factors which may be relevant to their overall decision. ICSC decided, therefore, to carry out a

comprehensive review of dependency allowances during 2013 and to defer consideration of the levels of the two allowances until its review had been completed.

*Follow-up action*

22. As ICSC decided to defer consideration of the levels of the two allowances until its review had been completed, there are no implications for UNESCO or for its staff.

**Overview of Mobility Policies**

23. In response to a General Assembly request, ICSC reviewed a report which provided an overview of existing mobility policies and practices in Common System organizations. In underscoring that staff mobility, mandatory and/or voluntary, is an integral element of an effective international civil service, ICSC decided to:

- (a) Urge organizations to develop formal mobility policies in order to facilitate execution of their mandates and to support the career aspirations of staff;
- (b) Encourage organizations to include in their mobility policy a framework for managing all aspects of staff mobility in accordance with the functional needs of the organization and the principles of fairness, equity, consistency and adequacy of the support given to staff;
- (c) Highlight the importance of linking staff mobility to career development plans, strategic workforce planning and succession planning;
- (d) Urge organizations to make informed decisions on the required level of geographical mobility based on a cost analysis of proposed staff mobility programmes and the identification and assessment of the expected benefits of such programmes.

*Follow-up action*

24. UNESCO has a mandatory mobility policy and is in the process of updating it, in the context of its revised HR management strategy, taking full account of the decision of the ICSC.

**Conditions of service in the field**

**(a) Danger Pay**

25. Danger pay is a non-pensionable allowance payable to staff in duty stations where very dangerous conditions prevail (e.g. where United Nations staff or their place of work are clearly, persistently and directly targeted owing to their association with, or employment by, a United Nations Organization).

26. ICSC decided to:

- (a) Increase the level of danger pay for GS staff from 1 January 2013 to 30% of the net midpoint of the 2012 GS salary scales applicable in those duty stations which currently qualify for danger pay, and to delink the amount of danger pay from the applicable General Service salary scales, also from 1 January 2013;
- (b) Review the level of danger pay for locally recruited staff at the same time as international staff;
- (c) To review the methodology for the adjustment of danger pay for both categories of staff.

*Follow-up action*

27. As UNESCO has few GS staff in duty stations qualifying for danger pay, the impact of this measure will be minimal.

**(b) Rest and recuperation (R&R)**

28. The General Assembly had decided in 2010 that Organizations should cover only the travel costs associated with R&R travel, pending a further decision of the Assembly. All payments related to the cost of accommodation, meals or terminal expenses therefore stopped effective 1 July 2011. ICSC decided to defer consideration of an allowance for the accommodation portion of R&R travel and to seek further information from organisations on the cost and utilization rates of R&R travel.

29. The General Assembly had approved, with effect 1 July 2012, new criteria for granting R&R travel, although ICSC was asked to provide further detailed criteria for granting R&R travel every four weeks. ICSC decided that recommendations for a four-week cycle from the CEB/HR Network should be dealt with on a case-by-case basis, to be approved by the ICSC Chairman under delegated authority, to be granted when conditions over and above those required for a six-week cycle exist, and taking into consideration the views of the United Nations Department of Safety and Security.

*Follow-up action*

30. UNESCO has no staff assigned to locations which qualify for R&R travel every four weeks.

**(c) Security Evacuation Allowances**

31. ICSC reviewed the above-mentioned allowance which supports internationally recruited staff during authorized evacuation from their duty station. The Security Evacuation Allowance (SEA) is payable during the first six months of an evacuation, the Extended Monthly Security Evacuation Allowance (EMSEA) becoming payable if the evacuation continues beyond six months.

32. The Commission decided:

- (a) To approve the definition and purpose of a security evacuation allowance, namely “to assist in offsetting direct added expenses of staff and their eligible family members who are evacuated from their official duty stations;
- (b) To confirm the current amounts of the SEA allowance, namely \$200 per day in respect of staff members and \$100 per day for each eligible family member for up to 30 days; and thereafter at \$150 and \$75, respectively, for up to six months. The amount of the single lump sum shipping payment payable on evacuation was confirmed at \$500;
- (c) The amount of the EMSEA allowance would be the same as the additional hardship allowance payable at non-family duty stations when the evacuation continued beyond six months, and the duty station had not been declared as a non-family duty station;
- (d) To review the SEA and EMSEA allowances every three years, at the same time as the review of the amounts for the mobility and hardship allowances.

*Follow-up action*

33. ICSC’s decision has no financial implications for UNESCO or its staff.

**(ii) Items deferred until the General Assembly's resumed 67th session**

34. Discussion of the following items in ICSC's 2012 annual report was deferred until the first part of its resumed 67th session in March 2013:

- (a) Review of the level of the Education Grant;
- (b) Review of the standards of conduct for the International Civil Service;
- (c) Base/floor salary scale (international Professional staff members).

**(iii) Other Issues**

**Changes in GS Salaries and Allowances at Headquarters**

35. The approved methodology for setting GS salaries provides a mechanism for adjusting pay in years between comprehensive salary surveys. As a salary survey was carried out in Paris in September 2012, the interim review planned for October 2012 did not take place. ICSC will discuss the results of the survey at its next meeting in February 2013; and an addendum to 191 EX/5 section V, covering the results and ICSC's subsequent recommendations to the Director-General, will be presented to the Executive Board at its 191st session for discussion and decision.

**Financial and administrative implications**

36. The measures described above were implemented using existing finance/payroll systems. They fall under the staff costs budget.

**General Assembly**

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**Sixty-seventh session****Fifth Committee**

Agenda item 137

**United Nations common system****Draft decision submitted by the Chair****United Nations common system**

The General Assembly, having considered the report of the International Civil Service Commission for 2012,<sup>1</sup> requests the Commission to maintain the current New York post adjustment multiplier to 31 January 2013, with the understanding that the normal operation of the post adjustment system would resume on 1 February 2013.

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<sup>1</sup> *Official Records of the General Assembly, Sixty-seventh Session, Supplement No. 30 (A/67/30 and Corr.1).*



## VI. Ethics Adviser contractual conditions

(Follow-up to 179 EX/Dec. 5 (I))

1. At its 179th session in March 2008, the Executive Board adopted 179 EX/Decision 5 (I), by which it endorsed the use of Regular Programme funds, on an exceptional basis, for an Appointment of Limited Duration (ALD) contract to fill the established post of the Ethics Advisor (P5 level) limited to a maximum appointment of four years.
2. Consequently, following a competitive recruitment process, an Ethics Advisor was selected and awarded an Appointment of Limited Duration (P5 level) contract in August 2009. The terms limits as specified in the vacancy announcement were an initial appointment of two years, renewable for another two years, subject to satisfactory performance.
3. In addition, UNESCO, in conformity with a recommendation by the International Civil Service Commission (ICSC) to phase out ALDs in United Nations Agencies, in support of a greater harmonization of the contractual arrangements across the United Nations Common System, has ceased the use of ALDs effective 31 December 2012.
4. The post of Ethics Advisor (P5 level) is funded by the Regular Programme and its incumbent reports directly to the Director-General. Given the specific nature of the post, it is imperative to ensure the objectivity, independence and impartiality of the function, thus the concept of an appointment of a limited duration should be maintained.
5. The United Nations Joint Inspection Unit (JIU) issued in 2010 a report “Ethics in the United Nations System” ref. JIU/REP/2010 [www.unjiu.org]. In this report, the JIU outlines suggested standards and recommendations [for ease of reference, summary of HR-related issues attached in Annex]. The JIU, in its quest to ensure the independence of the ethics function, recommends that the appointment should be a non-renewable appointment of seven years, or no more than two consecutive appointments of four or five years, with no possibility of re-employment by the same Organization.
6. In light of the above recommendation for a tenured appointment and considering the positive four-year tenure of the UNESCO Ethics Advisor, the Director-General is hereby seeking the endorsement of the Executive Board, to apply, from the outset, a four-year fixed-term appointment. The appointment would be subject to a one year probationary period and with no possibility of re-engagement by UNESCO. This condition would support the independence of the function, as highlighted by the JIU report.

### Draft decision

7. The Executive Board,
  1. Having examined document 191 EX/5 Sections IV, V and VI,
  2. Takes note of the content of these documents;
  3. Invites the Director-General to:
    - (i) pursue the implementation of the human resources strategy,
    - (ii) continue to ensure UNESCO’s participation in the work of the International Civil Service Commission (ICSC) and to take into account its report.
    - (iii) apply a four-year fixed-term appointment for the post of Ethics Advisor, which would be subject to a one year probationary period, and with no possibility of re-engagement by the Organization.

## ANNEX

## HR-related recommendations outlined in JIU/REP/2010

N°	JIU Recommendation	UNESCO	
		Implemented	Not applicable
2.	Executive Heads to ensure that the post of head of the ethics office has ethics qualifications and experience as a requirement, and this should be included in the job description and the vacancy announcement.	√	
3.	Executive Head to ensure that the vacancy for the appointment of the head of the ethics office is open to both internal and external candidates on an equal basis and that the vacancy is widely publicized.	√	
4.	Executive Heads to ensure that the vacancy announcement for the appointment of the head of the ethics office is prepared in consultation with the Staff Representatives.	<b>Office of Director-General in collaboration with HRM prepares the vacancy announcement. Staff Representatives/Observers on Personnel Advisory Board (PAB)</b>	
5.	Executive Heads should ensure that a Staff Representative serves on the appointment board for the selection of the head of the ethics office.	<b>Staff Representatives/Observers on Personnel Advisory Board (PAB)</b>	
6.	Legislative bodies should direct Executive Heads to apply term limits to the appointment of the head of ethics office, which should be a non-renewable appointment of seven years or no more than two consecutive appointments of four or five years, with no possibility of re-employment by the same Organization.	√ <b>[term limit applied]</b>	



United Nations  
Educational, Scientific and  
Cultural Organization

# Executive Board

Hundred and ninety-first session

# 191 EX/5 Add.

PARIS, 8 April 2013  
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Item 5 of the provisional agenda

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

### **ADDENDUM**

#### **REPORT BY THE DIRECTOR-GENERAL ON THE PROGRESSIVE IMPLEMENTATION OF RESULTS-BASED BUDGETING AT UNESCO**

##### **SUMMARY**

In accordance with 190 EX/Decision 19, the Director-General presents a report on the progressive implementation of results-based budgeting at UNESCO, including:

- a description of the actions that need to be taken in order to meet the conditions for the successful implementation of results-based budgeting; and
- a draft calendar of implementation including required investments

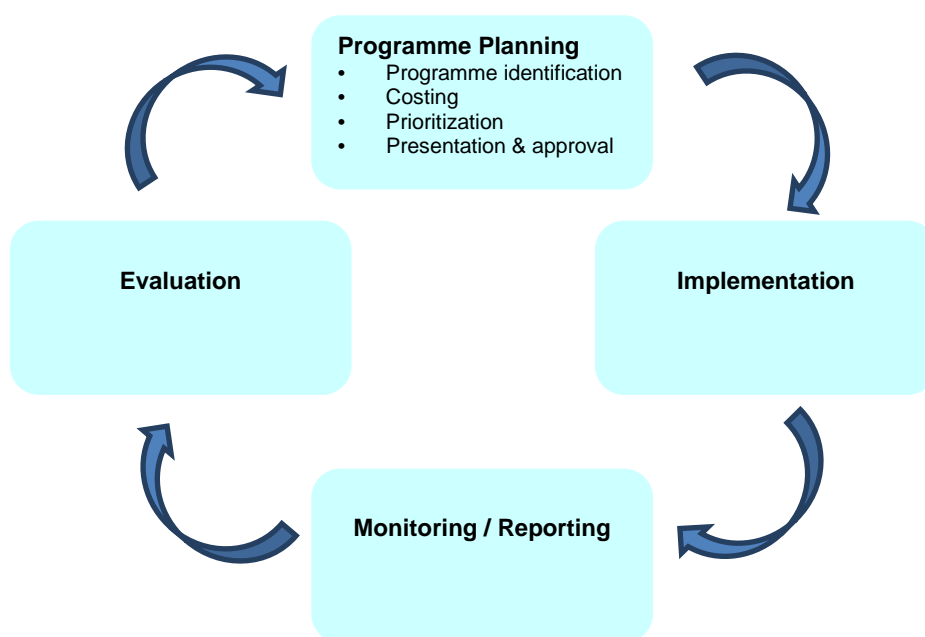
Action expected of the Executive Board: decision in paragraph 17.



## INTRODUCTION

1. In the JIU report on Results-based budgeting, “The Experience of the United Nations System Organization” (JIU/REP/99/3), RBB is defined as a programme and budget process in which (a) programme formulation revolves around a set of predefined objectives and expected results, (b) expected results justify the resource requirements which are derived from and linked to outputs required to achieve such results, and (c) actual performance in achieving results is measured by objective performance indicators. From this definition, we can see that RBB is not just a costing methodology or a way of presenting the budget, but is a process that pertains to the programme management cycle in its entirety. One of the main reasons for this relates to the fact that the achievements made (or lack thereof) during the previous cycle, impact the programmatic requirements of the next.

### Programme Management Cycle



2. With this holistic perspective in mind, the Secretariat in its last report on RBB (190 EX/19 Part II) presented proposals for changing certain of the budgeting techniques and practices in an effort to move towards RBB, but highlighted that the development of a more comprehensive action plan, incorporating both programmatic and budgeting elements, was indispensable.

3. In this light, and in accordance with 190 EX/Decision 19, the Director-General presents in the current report a phased approach for implementing results-based budgeting. The report includes:

- (i) a description of the actions that need to be taken in order to meet the conditions for the successful implementation of results-based budgeting; and
- (ii) a draft calendar of implementation including required investments (e.g. IT developments, training, staff time etc.).

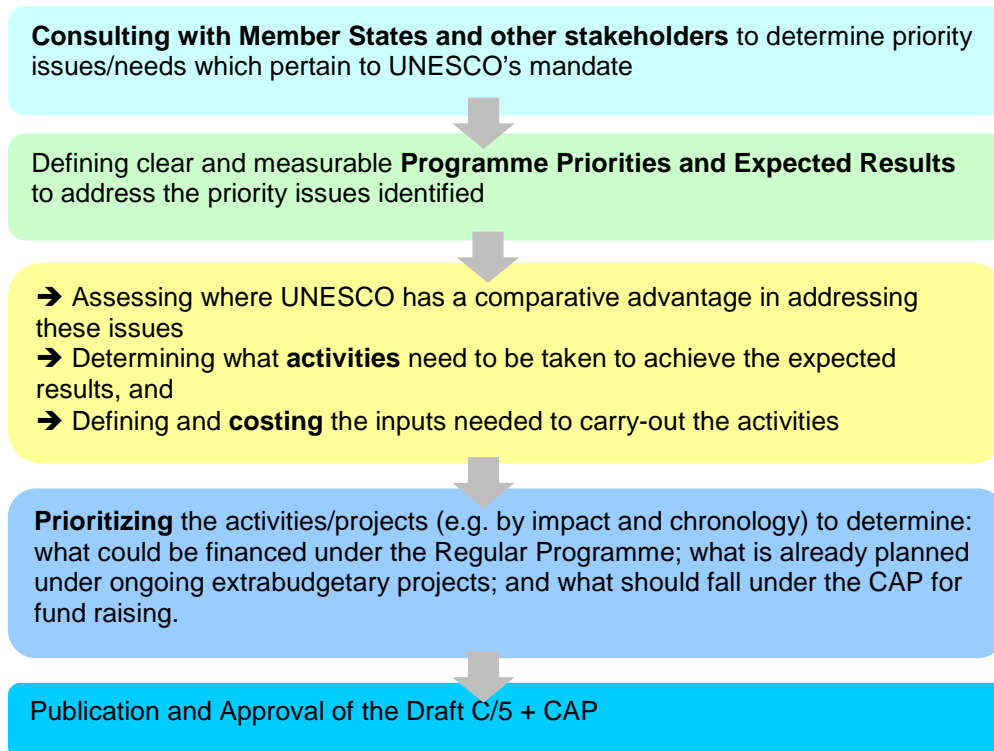
### I. ACTIONS THAT NEED TO BE TAKEN IN ORDER TO MEET THE CONDITIONS FOR THE SUCCESSFUL IMPLEMENTATION OF RESULTS-BASED BUDGETING

4. As mentioned above, RBB pertains to the entire programme management cycle including programme planning, budgeting, implementation, monitoring/reporting and evaluation. In this regard, actions that need to be taken to successfully implement RBB touch various areas, many of

which also relate to issues envisaged in the Director-General's "Operational Actions Planned" in follow-up to the Independent External Evaluation (IEE).

### **Programmatic Planning/Programming for better definition of results**

5. The global programmatic planning/programming process when particularly seen from an RBB approach could be summarized as follows:



6. One of the pivotal elements of a results-based approach is the determination of results. Therefore efforts to improve the process for defining relevant measurable results are also indispensable for the successful implementation of RBB as a whole. Actions needed in this area include the following:

- Revising the **consultation process** with Member States and other stakeholders further, to ensure that UNESCO's efforts remain relevant and consistent with Member States' needs. Although significant efforts have already begun in this regard, there may be a need to revise the process further to more accurately identify specific needs at the country/regional levels. In this regard, the **consultation questionnaire** (for the C/5) could be adapted to include a section where Member States could list, for example:
  - relevant priority issues which they face at the country/regional/global levels related to UNESCO's mandate;
  - what they are currently doing to address these issues;
  - where they think UNESCO could be of most assistance; and
  - how they assess UNESCO's involvement in addressing country/regional level concerns in the past.

- Based on an analysis of the consultation results, programme sectors in conjunction with BSP would then **define clear measurable expected results** aimed at addressing Member States concerns. In this regard,
  - RBM training will be reinforced, and
  - a mechanism will be put in place to obtain input from field offices for country-level priorities and activities.
- Bearing in mind the outcome of the consultation process, and the expected results determined for the programmes, the Secretariat could then design an adapted response plan which outlines the activities and projects that UNESCO would propose to governing bodies to undertake in the upcoming programme cycle.
  - Planning of the programme to be carried out in the field should take into consideration the **UNESCO Country Programming Documents (UCPDs)**, and should include an assessment of:
    - priority issues identified by the countries under the office’s responsibility (either in the consultation questionnaire or through the UNDAF process);
    - where UNESCO has a comparative advantage in addressing the Member States concerns by assessing what the Member States, other United Nations agencies and NGOs are doing in these areas;
    - what UNESCO has been doing to address the issues in the current programme cycle (via RP and XB resources), and
    - what UNESCO plans to do in the next programme cycle. Developing a standardized and simplified template for the country level plans may be useful in this regard.
  - For the **Headquarters-based, interdisciplinary and interregional activities**, the adapted response plan should clearly distinguish between statutory requirements, Headquarters backstopping, interdisciplinary and interregional activities etc. Although not a requirement specific to RBB, a greater decentralization of programme activities to the field will imply a reduction in programme implementation by Headquarters.

### Costing the inputs needed for activities

7. As outlined above, the **adapted response plan** would identify the projects and activities that UNESCO needs to undertake in the upcoming programme cycle to achieve the defined expected results. The next step is to **define and cost the inputs needed to carry out these activities/projects**. In this regard, the following actions would be needed:

- Develop a standardized resource allocation template for the country level and Headquarters-based programme plans;
- Determine cost standards for various items to facilitate the sectors’ programme specialists in costing the activities;
- Establish a cost review team to improve the house-wide understanding of the cost components, to ensure continuous improvement in the costing methods, and to help identify ways of containing costs;
- Develop an IT tool to assist field offices and sectors to prepare their budget proposals;

- Establish (online) training modules and conduct training sessions at Headquarters and in the field to develop programme specialists' competency in budgeting activities/projects.

Certain of the above facilities are already in place for the planning of the extrabudgetary projects, which can be developed further to suit Regular Programme activities.

### **Prioritization of activities**

8. In an environment of limited resources, the Director-General would be required to determine how best to distribute the Organization's finite resources between activities in order to determine those that are best placed to deliver the desired result within the overall budget ceiling. In this regard, a process of prioritizing results and activities/projects becomes paramount. To assist in this area, the following actions would be needed:

- All activities/projects outlined in the country level and Headquarters programme plans should be prioritized in descending order in terms of importance and chronology. This would allow ADGs and Directors to determine what actions could feasibly be financed under the Regular Programme, what are already foreseen in ongoing extrabudgetary projects, what should fall under the Complementary Additional Programme (CAP) for future fundraising, or what could be delayed to the next programme cycle due to a lack of identified funding.
- Clear criteria for prioritization should be established to assist ADGs and Directors, and to ensure transparency in the process. When determining such criteria, special consideration should be given to the following issues:
  - How to achieve the right balance between country/regional level expectations and Headquarters-based and interregional requirements;
  - How to adequately reflect expectations at all levels within a reasonable number of expected results.
- Establish procedures which ensure that resources can be shifted from one area to another as priorities change, and from one budget period to another. This is a fundamental issue, which if not addressed would lead to a continuous dilution of UNESCO's regular budget over an ever increasing and unrealistic number of activities/projects. For this purpose, the following actions would be useful :
  - Ensuring that sunset clauses are consistently applied;
  - Strengthening existing rules of procedures regarding the exit strategies and closure of / activities/projects.

### **Presentation of programme and budget**

9. Document 190 EX/19 Part II Annex II provided a proposal on cost classifications which could be applied under an RBB approach, where the following four main costs categories were presented:

- **Programmes:** Activities and associated *direct costs* traced to specific programme components or projects, which contribute to the delivery of results contained in country/regional/global programme documents or other programming arrangements.
- **Programme support.** *Indirect costs* incurred as a function and in support of the delivery of programmes but may not be easily traced directly to a single specific result. These inputs are essential to the delivery of results, but are not included in specific programme components or projects in country, regional, or global programme documents.

- **Management and administration:** activities and associated costs whose primary function is the promotion of the identity, direction and well-being of an organization.
- **Special purpose:** Activities and associated costs of a cross-cutting nature that (a) are mandated by the United Nations General Assembly (i.e. not within the direct management control of the Organization); (b) are mandated by the UNESCO General Conference and not attributable to programme results or management activities of the organization (c) involve material capital investments; or (d) do not represent a cost related to the management activities of the Organization.

10. Document 190 EX/19 Part II also highlighted that under RBB the budget presentation would change in certain areas. In the immediate 37 C/5 for example:

- Introductory tables for the Major Programmes would be adapted to present budget information by expected results. This would require staff costs to be distributed by expected result (at this stage through an internal assessment by responsible managers). Management Charts will report actual costs by expected results and provide an analysis of variances from the budget.
- Certain house-wide non-staff indirect costs (e.g. utilities, IT licenses etc.) which are centrally managed by corporate services for the Organization would be distributed to expected results by identified cost drivers, in order to show more fairly the total costs of programme delivery. Such costs remain categorized as administration costs within each result.
- Under RBB the emphasis should be on the results instead of objects-of-expenditure. Therefore information on objects of expenditures may be provided at an aggregate level instead of by sector.
- With regard to the appropriation table, however, the budget **appropriations would remain at the level of the Major Programme**. This would allow the Director-General to retain the same level of flexibility in the use of the funds as exists today.

11. Document 190 EX/19 Part II, Annex II, included a presentation of an ultimate RBB model whereby all of the Organization's costs including non-programme sectors' and bureaux' costs are assigned to programme sectors' results. It needs to be noted, however, that no other United Nations organization has achieved such a presentation and in most cases focus their analysis on allocating only programme sectors' costs against expected results. Therefore the Secretariat would recommend prudence in going towards such an extreme model. Nevertheless, if the senior management and the governing bodies decide that such a presentation is useful, a phased approach should be envisaged, e.g.:

- Phase 1 – Part II.A – Major Programmes: The classification of budget under this part of the budget into programme costs, programme support costs and administration costs has been already envisaged for the 37 C/5 (2014-2015). However the following actions are required:
  - Identify reporting requirements, and modify reporting tools to ensure that statutory and managerial reports could be provided correctly using the same axis. Lessons learnt for this item will be indispensable for future phases.
- Phase 2 – Parts II.B – Programme-related Services and Parts II.C – Participation Programmes and Fellowships:
  - Determine whether and on what basis these programme-related services budgets could be distributed to programme sectors' results (i.e. establish adequate cost drivers)

- Identify reporting requirements, and adapt reporting tools to ensure that statutory and managerial reports could be provided using the same axis.
- Phase 3 – Other Budget Parts (e.g. Part I - General Policy and Direction, Part III - Corporate Services, Part IV – Belmont etc.)
  - Determine whether the distribution of these corporate-wide management and administrative costs (including the governance costs) to the programme results is feasible or advisable. If yes,
  - Determine on what basis these budgets would need to be distributed to programme sectors' results (i.e. establish adequate cost drivers);
  - Adapt reporting tools to ensure that statutory and managerial reports could be provided using the same axis.

### **Programme delivery under RBB**

12. Under RBB, the focus should be placed more on the achievement of results and less on the inputs used to achieve them. Consequently, in an ideal situation, programme specialists and managers would have the autonomy to determine the level of resources needed to achieve the expected results, and the ability to adapt the mix of resources as they see fit during the projects implementation. However, in reality, the degree of autonomy/flexibility granted has significant implications on internal managerial processes and controls, e.g. on the management of staff costs, reporting requirements, travel, publications and existing accountability frameworks etc. The extent to which these processes can be adapted in turn influences the level of flexibility that can ultimately be granted.

13. Concurrently, with an increase in autonomy, a greater level of accountability is required not only with regard to the achievement of results, but also with regard to financial accountability. The Secretariat does not have the authority to incur budget deficits and therefore all necessary financial controls must be in place before the above proposed changes in authority and flexibility could be envisaged. In this regard, the following actions should be considered:

- Determine to what extent the staff costs management could be decentralized in the context of RBB to allow a certain level of flexibility while ensuring an acceptable level of financial control;
- Outline how this would be done and in what timeframe;
- Provide additional training to the sectors and field offices before the decentralization is implemented;
- Revise the accountability framework as and when RBB implementation progresses in order to be able to provide tailored adjustments and to benefit from lessons learnt;
- Determine whether other internal policies and processes need to be revised in order to provide a balanced level of autonomy and accountability, e.g. staff mobility policies, performance appraisal system, etc.

### **Monitoring/Reporting**

14. Although UNESCO has already made significant headway in monitoring by results under the Results-based Management (RBM), additional actions under the monitoring process would be needed in line with RBB, for example:

- Integrating the country level and Headquarters programme planning templates into the IT monitoring tools;
- Modifying IT systems to ensure that statutory and managerial reports can be provided using the axis presented in the C/5 document, for example:
  - By programme, programme support costs and administration costs;
  - Additional requirements would also be needed if the decision is taken to present the budget of non-programme sectors/bureaux (e.g. Parts I, II.B, II.C, III and IV) in line with the programme sectors' results;
- Ensuring that the country level and Headquarters-based programme plan include appropriate baselines and targets/benchmarks to help track the programme plan's implementation and impact over time – additional staff training will be required in this regard.
- Determining how to better monitor the achievement of results and how to assess the programme impact, and establish a mechanism for revising the targets/benchmarks of the expected results as necessary.

## Evaluations

15. In order to complete the RBB process effectively, evaluation must be integrated into the programming process before the next programme cycle begins. This will entail *inter-alia*:

- an effective process to verify that results have actually been attained (including a question in the consultation questionnaire about how Member States/partners assess UNESCO's involvement in addressing country/regional level concerns in the past);
- integrating mandatory self-evaluations to be completed by programme specialists during the programme implementation;
- determining how to best integrate the thematic evaluation results into programming decisions.





Action	2013				2014				2015				2016				2017			
	1	2	3	4	1	2	3	4	1	2	3	4	1	2	3	4	1	2	3	4
<b>PRIORITIZATION</b>																				
- Establish clear criteria for prioritizing activities/projects and results to assist ADGs and Directors, and to ensure transparency in the process.																				
<b>PROGRAMME AND BUDGET PRESENTATION</b>																				
- Determine the budget presentation reflecting RBB, e.g. present only the Major Programme budget by programme sectors' results, or attribute all the costs of the Organization by programme sectors' results, taking into consideration the advantages and drawbacks of the various options.																				
- Identify reporting requirements, and modify reporting tools to ensure that statutory and managerial reports could be provided using the same axis used in the C/5 or project documents for extrabudgetary projects.																				
o Phase 1 – Distribution of Programme vs. Programme Support Costs for MPs																				
o Phase 2 – Distribution of Part II.B & II.C																				
o Phase 3 -- Distribution of other budget Parts (I, III, IV etc.)																				
- Identify the most cost effective mechanism for reporting of staff costs by results.																				
<b>PROGRAMME IMPLEMENTATION</b>																				
- Determine to what extent internal management processes and controls could be decentralized in the context of RBB to allow a certain level of flexibility while ensuring an acceptable level of financial control;																				
- Provide additional training to the sectors and field offices before the decentralization is implemented;																				
- During the course of RBB implementation, continuously assess whether and to what extent the accountability framework should be revised																				
- Periodically assess whether other internal policies need to be revised in order to provide a balanced level of autonomy and accountability e.g.: staff mobility policies, performance appraisal etc.																				
<b>MONITORING / REPORTING</b>																				
- Integrate the country level and Headquarters programme plan templates into the IT monitoring tools;																				
- Modify IT systems to ensure that statutory and managerial reports could be provided using the axis presented in the C/5 and activities or programme documents for extrabudgetary projects																				
- Determine how to better collect monitoring data on the achievement of results and how to assess programme impact; and establish a mechanism for revising the targets/benchmarks of the expected results as necessary.																				
<b>EVALUATIONS</b>																				
Determine how best to integrate evaluation results into the programming process, e.g.																				
- Include a question in the consultation questionnaire about how Member States/partners assess UNESCO's involvement in addressing country/regional level concerns in the past.																				

Action	2013				2014				2015				2016				2017			
	1	2	3	4	1	2	3	4	1	2	3	4	1	2	3	4	1	2	3	4
- Periodically assess and strengthen the model for self-evaluations to be completed by programme specialists during the programme implementation.																				
- Determine how to best integrate the thematic evaluation results into programming decisions.																				

**Proposed decision**

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

The Executive Board,

1. Having examined document 191 EX/5 Add.,
2. Takes note of the actions that need to be taken in order to meet the conditions for a successful implementation of results-based budgeting, and of the draft calendar of implementation; and
3. Requests the Director General to proceed with the further phased implementation of results-based budgeting at UNESCO, and to present periodic reports to the Executive Board on its implementation.



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Educational, Scientific and  
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# Executive Board

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# 191 EX/5 Add.2

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

### **ADDENDUM 2**

#### **SALARY SURVEY FOR GENERAL SERVICE AND RELATED CATEGORY STAFF IN PARIS**

##### **SUMMARY**

In 30 C/Resolution 71, the General Conference delegated to the Executive Board the authority to decide upon the recommendations of the International Civil Service Commission on future salary surveys for Paris staff in the General Service and related categories.

The purpose of this addendum is to submit to the Executive Board, for decision, the recommendations of ICSC on the results of the Paris salary survey for staff in the General Service and related categories undertaken in September/October 2012.

The financial implications of the measures proposed in the document will be about \$70,000 in a full year. However, the 36 C/5 forecast included an amount of \$2 million for the period September 2012 to December 2013, which will not be required if the decision is adopted to freeze the salary scale for General Service staff.

Action expected of the Executive Board: Decision in paragraph 17.

## Introduction

1. In 30 C/Resolution 71, the General Conference delegated to the Executive Board the authority to decide upon the recommendations of the International Civil Service Commission (ICSC) on future salary surveys for Paris staff in the General Service (GS) and related categories.
2. ICSC carried out a salary survey for GS and related categories in Paris in September and October 2012; and this document sets out the results of the survey, the recommendations of ICSC and additional comments and a proposal from the Director-General.

## Background

3. The salaries of locally recruited staff in the GS and related categories are established in accordance with the long-standing "Flemming principle", which states that their conditions of service should be amongst the best, but not the best, for similar work in the locality, as determined by means of salary surveys conducted every eight to ten years in Headquarters locations and every five years in non-Headquarters locations. Under its statute, ICSC is responsible for carrying out the Headquarters surveys based on a sample of employers in the locality who have staff with similar duties and responsibilities to United Nations staff. Data are collected from the surveyed employers on the salaries and allowances they pay for positions comparable to the United Nations jobs, by means of questionnaires and employer interviews.

## Paris survey 2012

4. The ICSC Secretariat, in full cooperation with representatives of UNESCO Administration and Staff Associations, conducted a survey in Paris in September-October 2012, eight years since the previous survey in October 2004; the methodology for the survey was approved by the United Nations General Assembly at the end of 2011. Since the 2004 survey, the salaries of GS staff at Headquarters have been updated on the basis of changes in two salary indices as published by the *Ministère du travail, de l'emploi, de la formation professionnelle et du dialogue social*, in accordance with the established methodology.
5. Nineteen (19) local employers agreed to participate in the 2012 survey, of which 18 provided usable data; the 19th employer did not meet the criteria for inclusion in the survey. As required by the methodology, the 18 employers retained for the final data analysis represented a wide range of economic sectors, including the public/non-profit sector. In addition, to satisfy the minimum sample size of 20 employers, and as provided for in the approved methodology, data on salary movements were purchased from two external salary specialist companies. Document ICSC/76/R.11, containing the Commission's formal report on the Paris salary survey, is at the disposal of members of the Executive Board.

## ICSC Recommendations

6. The ICSC Commission discussed the findings of the Paris salary survey at its 76th session in February 2013; and the ICSC Chairman submitted the Commission's recommendations on 1 April 2013 to the Director-General, in her capacity as the Executive Head of the lead United Nations common system agency in Paris. The recommendations were as follows:

- A revised salary scale, with a survey reference date of 1 September 2012, which is 2.19% lower than the existing GS salary scale (in force since 1 October 2011). As the revised scale is lower than the existing one, the

Commission would expect this to be implemented with respect to staff recruited on or after the date of promulgation.

- Revised dependency allowances, with the same reference date of 1 September 2012, as follows:
  - annual spouse allowance increased from €2,305 to €2,443. Staff members in receipt of the allowance prior to 1 January 1988 would continue to receive €2,715;
  - annual child allowance increased from €1,909 to €1,949. The allowance for the first dependent child of a staff member without a spouse increased from €3,734 to €3,817.

7. The 2.19% reduction in the existing salary scale can be explained as follows:
- (a) the national indices used to update the GS salary scale since 2004 have grown more quickly than the change in the remuneration packages of the employers included in the salary surveys.
  - (b) a consequence of the reduction in the working week in UNESCO from 40 hours to 37.5 hours since the 2004 survey. Although the GS salary scale was not adjusted at the time this reduction was implemented, the methodology for comparing United Nations working hours with the hours worked by the local external comparators (typically 35 hours) has exerted a downward pressure on the salary comparison in the latest survey;
  - (c) a different mix of external comparators since the 2004 survey, not least as some of the previous participants refused to participate in 2012;
  - (d) a change in the methodology, as approved by the United Nations General Assembly in 2011, requiring the Ministry of Foreign Affairs to be included as the representative of the national civil service, and to be assigned a 10% weight rather than the previous 5%.

### **Observations by the Director-General**

8. The Director-General is satisfied that the salary survey was technically sound and carried out in full conformity with the established methodology, and that the concerns and issues raised by the administration and staff representatives were duly taken into account by the Commission in arriving at its final recommendations.

9. In order to take into account the situation of serving staff members, the Director-General proposes that the new salary scale (that is, 2.19% lower than the current scale) should be implemented with an effective date of 1 May 2013, but that this scale would only apply to GS staff recruited on or after that date. Staff on board prior to 1 May 2013 would continue to be paid against the existing (1 October 2011) salary scale. The new scale will remain in force until the 2.19% “gap” between the new and the existing scale has been eliminated through application of the interim adjustment methodology recommended by ICSC. In this respect, it is noted that the next interim review of the GS salary scale will take place on 1 September 2013, the 12 month anniversary of the salary survey.

10. The Director-General also proposes that the revised child and spouse allowances should be implemented with the same effective date, namely 1 May 2013. As the calculation of the two allowances is not linked to salary, the new amounts would be paid to all eligible staff, irrespective of when they joined UNESCO.

11. With respect to language allowances, payable to GS staff who pass a prescribed test in a working language of the General Conference, which is not their main language, these are calculated as a percentage of the salary paid to a G-5, Step 1. As a result of the revised scale, the revised language allowances as at 1 September 2012 will also be 2.19% lower than current amounts. The Director-General proposes that the lower language allowances should be implemented effective 1 May 2013 but that these would only apply to GS staff recruited on or after this date. Staff in service prior to 1 May 2013 will continue to be paid the current amount of the allowances.

12. In view of the above, the Director-General requests the Executive Board to authorize the application to UNESCO staff of the Commission's recommendations on the salary scale and the child and spouse allowances, and to endorse her proposal regarding payment of the language allowances, as described in paragraphs 9 to 11 above.

13. It should be noted that the next interim adjustment of the GS salary scale for Paris will take place in September 2013, in accordance with the established methodology. Although the salary scale proposed for new staff recruited on or after 1 May 2013 is 2.19% lower than the existing scale, this lower scale will eventually overtake the existing salary scale as a result of these interim adjustments, at which time the existing salary scale would be withdrawn.

### **Budgetary implications**

14. The implementation of the ICSC recommendations relating to the salary scale would have no financial implications for UNESCO. Indeed, to the extent that GS staff may be recruited on the new lower salary scale in the coming months, the new lower salary scale will result in notional savings until which time the gap with the existing scale is eliminated, probably in September 2014.

15. The financial implications of the measures proposed in the document will be about \$70k in a full year. However, the 36 C/5 budget forecast included an amount of \$2 million for the period September 2012 to December 2013, which will not be required if the decision is adopted to freeze the salary scale for General Service staff.

16. The financial implications arising from application of present and future recommendations of ICSC will be closely monitored and reported to the Executive Board.

### **Draft Decision**

17. The Executive Board is invited to consider the following draft decision:

The Executive Board,

1. Having examined the report of the Director-General on the salary survey for General Service and related category staff in Paris (191 EX/5 Addendum 2);
2. Having considered the conclusions and recommendations of the International Civil Service Commission (ICSC) on the survey conducted during September/October 2012, on the conditions of service among the best employers in Paris who have jobs comparable to those in the General Service and related categories at Headquarters,
3. Authorizes the Director-General:

- (a) to implement, from 1 May 2013, the salary scale recommended by ICSC for staff in the General Service and related categories at Headquarters, for new staff recruited to UNESCO on or after this date;
- (b) as recommended by ICSC, to base future interim adjustments of the new salary scale on 90% of the average movement in the salary indices for employees and intermediate professions, which are published by the *Ministère du travail, de l'emploi, de la formation professionnelle et du dialogue social*. The adjustments shall take place every 12 months or whenever the average of the two reference indices has moved by 5%, whichever is sooner, based on the latest indices available on the effective date of the revised salary scale, it being noted that next review is expected to take place in September 2013;
- (c) to continue to apply to staff in service on 30 April 2013 the existing General Service salary scale (effective date 1 October 2011) until this salary scale is "overtaken" by the new salary scale, as updated by the methodology described in paragraph 3(b), thereby ensuring that they experience no loss in net salary and pensionable remuneration;
- (d) to introduce revised annual allowances of €2,443 for a dependent spouse; €1,949 for a dependent child and €3,817 for the first dependent child of a staff member without a spouse effective 1 May 2013, while maintaining the existing annual amount of €2,715 for the dependent spouse allowance for staff receiving the allowance before 1 January 1988.
- (e) to establish lower language allowances from 1 May 2013, based on 5% of the net salary scale at grade G-5, Step 1, while maintaining the existing amounts for those staff in service on 30 April 2013.





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**REPORT BY THE DIRECTOR-GENERAL ON THE FOLLOW-UP TO  
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**PART IV**

**PERIODIC PROGRESS REVIEW OF THE HUMAN RESOURCES  
MANAGEMENT STRATEGY AND ACTION PLAN (2011-2016)**

**ADDENDUM 3**

**COMMENTS BY THE UNESCO STAFF UNION (STU)**

Pursuant to Item 9.2.E of the UNESCO Administrative Manual, the UNESCO Staff Union (STU) submits its comments on this report by the Director-General.

1. STU takes note of this progress report by the Director-General. While financial constraints may indeed lead to slower or deferred implementation of the strategy, as noted in paragraph 2 of Part IV of this document, STU points out that some deferrals reflect priority choices that are not in the interests of staff or of the Organization.
2. Furthermore, the Organization's financial crisis may not be used at all to justify the lack of progress on the implementation of staff management measures that have no financial implications, or to justify the continuing and unacceptable failure to comply with human resources regulations and policies, owing to a complete lack of control and transparency in their application and the decentralization of human resources management to the sectors, services and field offices, both of which, in practice, facilitate circumvention of the rules.
3. STU is concerned that career assessment, planning and organization and performance management are not given absolute priority in these times of financial crisis.
4. In regard to objective 1 (improving the delivery capacity of UNESCO), expected result 2 of the action plan "Efficient, rapid, cost-effective and transparent recruitment process", STU fails to see how transparency in the recruitment process and in monitoring violations of established rules and procedures would be improved under that system, since recruitment is always carried out in a decentralized manner by the various sectors and services of the

Organization. Nor does STU see how transparency can be ensured in the recruitment process if vacancy notices for PA posts are not published on UNESCO's employment website, as are other vacancy notices. Failure to publish these notices is an obstacle to competitive recruitment and to equal access for applicants from all regions to such posts.

5. As to expected result 3 (enhanced quantity and quality of training offer), STU is concerned that no training activities are to be conducted before 2014-2015. In these times of crisis, in which redeployed staff members may require training, priority should be given to staff members so redeployed.

6. Expected result 4 (motivated workforce) and expected result 6 (stimulating work environment): in regard to skills assessment, STU is now more concerned than ever that the tool will not be operational until 2014 for, in the current crisis, which may lead to staff being redeployed to posts and duties in which they can be most useful to the Organization, an effective skills assessment mechanism must be put in place as soon as possible. How can staff be redeployed if their skills cannot be assessed thoroughly before the tool is introduced as scheduled in 2014?

7. How can an overall strategy be accepted if it does not include a plan to draw up an inventory of available human resources before committing any expenditure, which can be costly, in order to find skills which UNESCO does possess internally but has not yet inventoried and thus cannot identify, exploit, maintain or enhance.

8. STU deplores, moreover, all non-rational use of permanent staff. It is unacceptable to STU that any of the daily professional duties of permanent staff members, recruited on the basis of their high level of skills and experience following a rigorous recruitment process, should be carried out instead by contractors, whatever their skills, which in any case incurs pointless expenditure that is detrimental to programme execution.

9. Expected result 5 (enhanced geographical mobility): STU is involved in the introduction of the new mobility policy. When it will be in place, STU will make the same demands as in the past – namely, that managers' decisions be transparent, consistent with the existing rules and, above all, effectively monitored by HRM.

10. Expected result 7 (improved quality of management and enhanced performance at managerial level): in view of the constant rise in mistreatment and abusive behaviour by certain managers, the 90°, 180° and 360° performance evaluation systems should be used to assess the performance of those who supervise staff and take decisions on behalf of the Organization. In that connection, STU deplores the suspension of management training and the postponement of the implementation of 180° feedback.

11. Expected result 8 (enhanced accountability, compliance and trust) and expected result 9 (core values and Standards of Conduct promoted): STU regrets that despite the introduction of mechanisms for reporting harassment and other forms of abuse, these problems persist and that the staff's confidence in those mechanisms has been seriously impaired as a result of their failure to produce effective results.

12. As to expected result 11 (geographically balanced workforce), although there has been a rise in the number of Member States represented within range, no indication has been given of the change in percentage of staff recruited from non-, under- and over-represented countries. STU is therefore still concerned about the persistent imbalance in the geographical distribution of staff and by functional level, in particular at the Director and higher levels in which Group I is predominant.

13. In regard to objective 3 (implement an effective HR planning), STU deplores the lack of succession planning for key posts and of a genuine knowledge transfer mechanism, which poses a serious threat to the Organization's institutional memory.

14. STU believes that performance management, evaluation, planning and the organization of professional career paths are a major priority and that, as they had initially been scheduled for the first quarter of 2013, they must now be initiated urgently and, above all, before the introduction of the new mobility policy or any restructuring or redeployment exercise.

15. STU therefore calls on the Director-General of UNESCO and on HRM in particular to establish a rigorous control mechanism to monitor all forms of abuse and effectively introduce without delay mechanisms that are crucial to effective and rational use of permanent staff.



United Nations  
Educational, Scientific and  
Cultural Organization

**Executive Board**  
Hundred and ninety-first session

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**Add.4**

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Item 5 of the agenda

**SURVEY OF THE SALARIES OF STAFF IN THE PROFESSIONAL,  
GENERAL SERVICE AND RELATED CATEGORIES IN PARIS**

**ADDENDUM 4**

**SUMMARY**

In accordance with Item 9.2.7 of the UNESCO Human Resources Manual, the International Staff Association of UNESCO (ISAU) comments on the 2012 annual report of the International Civil Service Commission (ICSC): report by the Director-General.

Survey of the salaries of staff in the Professional, General Service and related categories in Paris

(Document 191 EX/5, Part V Addendum 2)

**COMMENTS BY THE INTERNATIONAL STAFF ASSOCIATION OF UNESCO (ISAU) ON THE ANNUAL REPORT (2012) OF THE INTERNATIONAL CIVIL SERVICE COMMISSION (ICSC): REPORT BY THE DIRECTOR-GENERAL**

ISAU denounces the lack of transparency in the conditions in which the survey of local salaries in various duty stations was carried out and the resulting serious negative consequences for local staff. We have been informed, both by our representatives on the Local Salary Survey Committee and by the United Nations International Civil Servants Federation (UNISERV), to which our Association is affiliated, that the local salary survey in Paris produced negative results of **minus 2.19%** for the General Service (GS) category.

In the light of the serious concerns expressed by staff over the transparency and equity of this survey, we are currently undertaking the necessary action to support the initiatives taken at the local and international levels to respond to these problems.

The surveys in question were conducted using the new ICSC methodology implemented on 1 January 2012. Despite the best efforts of CCISUA, FICSA and UNISERV to defend the Flemming principle<sup>1</sup> in the ICSC working group in charge of revising the methodology used to conduct local salary surveys, several alterations have been made to these methods, notably:

- the national civil service is increasingly used as a reference employer;
- the Ministry of Foreign Affairs has been compulsorily adopted as the reference civil service, even though it is not one of the best employers in this field;
- many fringe benefits provided by employers are no longer taken into account; and
- meals and other services are valued in terms of their “cost to the employer” rather than their “value to the employee.”

Given that these alterations have already been made to the methodology used to carry out the recent survey in Paris, it goes without saying that the result could only turn out to be negative with a **lowered salary adjustment**.

ISAU therefore has no choice but to acknowledge the Director-General’s proposal aiming to secure authorization:

- “(a) *to implement, from 1 May 2013, the salary scale recommended by ICSC for staff in the General Service and related categories at Headquarters, for new staff recruited to UNESCO on or after this date;*
- (b) *to continue to apply to staff in service on 30 April 2013 the existing General Service salary scale (effective date 1 October 2011) until this salary scale is ‘overtaken’ by the new salary scale, as updated by the methodology described in paragraph 3(b), thereby ensuring that they experience no loss in net salary and pensionable remuneration.”*

ISAU wishes, however, to put all of this in context. Decisions to make “adjustments” to the survey methodology used in local salary surveys betray a thinly veiled or even deliberate intention to make savings at the expense of staff.

<sup>1</sup> “The purpose of the Flemming principle is to ensure that the pay of international civil servants matches the best conditions of service at the duty station [...] [and] to ensure parity of pay between international civil servants in the General Service category and the best-paid local workers in comparable jobs.” (Judgment 1641 of the Administrative Tribunal of the International Labour Organization.)

Let us be clear: ISAU has never been opposed to the idea of working in a more effective and streamlined manner or negotiating money-saving measures, even if its role is to protect the rights and defend the interests of UNESCO staff.

Nevertheless, in view of what has recently happened at the United Nations General Assembly and at ICSC level regarding the survey of GS staff salaries, we are justified in asking ourselves the following question: is the common system still the most appropriate mechanism for ensuring that the Organization's staff are motivated, committed and efficient, or would collective bargaining provide better results?

We are well aware that UNESCO staff are by no means sheltered from the effects of the financial crisis. Indeed, we note that measures imposed to tackle the crisis in certain Member States continually provoke social movements. In all evidence, the more unilaterally austerity measures are imposed without engaging in negotiation or social dialogue, the more severe the reactions they engender.

For the Executive

Sidiki Coulibaly  
President of ISAU



United Nations  
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# Executive Board

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### Item 5 of the agenda

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

#### **REPORT BY THE DIRECTOR-GENERAL ON THE IMPLEMENTATION OF 36 C/RESOLUTION 43 AND 190 EX/DECISION 5 (II) RELATED TO THE ASCENT TO THE MUGHRABI GATE IN THE OLD CITY OF JERUSALEM**

#### **ADDENDUM 5**

The Executive Board,

1. Having considered document 191 EX/5 Part I,
2. Acknowledges the concerned parties' commitment to implement the World Heritage Committee resolution 34COM7A20 (Brasilia consensus resolution) as well as their agreement to participate in an experts meeting on the Mughrabi Ascent in May 2013 in Paris as reflected by the Israeli representative's letter of 23 April 2013 to the Director-General;
3. Thanks the Director-General for her efforts and initiatives to lead to an understanding between all concerned parties and to the implementation of the above-mentioned resolution and invites her to continue these efforts;
4. Decides to include this item on the agenda of the 192nd session of the Executive Board and invites the Director-General to submit to it a follow-up report thereon.