



United Nations
Educational, Scientific and
Cultural Organization

Executive Board

Two hundred and seventh session

207 EX/5.IV.B Add.2

PARIS, 15 October 2019
Original: French

Item 5 of the agenda

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

PART IV

HUMAN RESOURCES ISSUES

ADDENDUM 2

COMMENTS BY THE INTERNATIONAL STAFF ASSOCIATION OF UNESCO (ISAU)

SUMMARY

B. Implementation of the Human Resources Management Strategy 2017-2022

Pursuant to Item 9.2.7 of the UNESCO Human Resources Manual, the International Staff Association of UNESCO (ISAU) submits its comments on human resources issues (document 207 EX/5.IV.B).

1. The strategy presented gives rise to a number of comments and, unfortunately, some criticism, especially on Annex IV (Draft amendments to Staff Regulations – Amendments to Staff Rules).

Classification Policy

2. ISAU regrets that the Bureau of Human Resources Management (HRM) has **deliberately** chosen not to inform Member States that the Administration plans to abolish Staff Rule 102.2 of the Manual, which entitles staff members to make individual requests for post reclassification. It is surprising that no mention of the deletion of that Rule appears in the document or in Annex IV, considering that it is the subject of a proposed major amendment to the Staff Regulations – amendments to the Staff Rules, to be submitted to Member States at the General Conference (document 40 C/48). ISAU has clearly expressed its total disagreement with the abolition of Staff Rule 102.2, which states:

Staff Rule 102.2 - ***Compatibility with classification standards***

Any staff member who considers that the nature of the duties or the level of responsibilities required of him or her are not compatible with the classification standards or criteria applicable to the grade of his or her post may, at any time, submit to the Director-General a request for the



Job: 201913127

reclassification of the post, provided that there has been a substantial modification in the structure and responsibilities of the unit to which the post belongs, and consequently in the responsibilities of the claimant.

3. ISAU emphasizes that to deprive staff of the right to make requests for reclassification is a **violation of the acquired rights of staff**. We find it difficult to understand such a decision, given that individual reclassifications concern only very few cases, since such reclassification requests are already subject to strict criteria. We also recall that the act of making a request does not imply that it must be accepted.

4. It was surprising that HRM simply submit a paragraph which, moreover, is not clear, in paragraph 3 of Annex IV, Regulation 4.2.

“In appointing staff members, the Director-General shall, except in the case of appointments resulting from post reclassifications **as prescribed by the Director-General ...**” Indeed, we do not have enough information to go on. What is meant by “**prescribed by the Director-General**”? How can we understand this distinction, this contradiction even, between decisions and prescriptions of the Director-General? We seek clarification from the Administration. Under what conditions are these “prescriptions” made?

Statutes of the Appeals Board - Annex A to the Staff Regulations and Staff Rules.

5. Here, too, we regret that HRM submitted its proposed amendments to the Executive Board when we had expressed reservations about the fact that there was no consensus on some points. It is regrettable that no discussions were held at the same time with the staff associations, the Advisory Council on Personnel Policies (ACPP) and the Appeals Board. We must therefore ask ourselves what good are the comments drawn up by the associations, the Appeals Board and the ACPP, if our concerns are not taken into account.

6. It would have been desirable, for the sake of clarity and transparency, that HRM should submit to the Executive Board proposals for changes to Annex A in “track changes” format, so that it could see the changes. This presentation suggests to us that there is a concealed desire to make reading the text confusing.

7. The proposed amendment on the composition of the Appeals Board contains inconsistencies. Why should the number of members elected be increased to 20 for each group, whereas the Board’s membership is reduced to three members? Moreover, the Appeals Board has informed us of the difficulty of finding 15 elected members for each group. Why then increase the number to 20? Reducing the membership to three members **with only one staff representative is to negate any real debate**.

8. Furthermore, we do not understand the need to have two Alternate Chairpersons. Are these Alternate Chairpersons paid only when they sit?

9. ISAU had also expressed its disagreement regarding the HRM proposal that a hearing should be held “*as soon as possible*” (Annex A, para. 18). We asked HRM to **specify the duration of this period**. In addition, ISAU regrets that the Administration has not followed its proposal to set the deadline for the Director-General to decide on cases at 30 days. It must be said that the 90-day period proposed in paragraph 24 is far too long.

10. ISAU does not accept that participation by the staff associations should be “**subject to the agreement of the Appellant**”. We do not object to the right for the appellant to challenge a member appointed by the associations, but **we absolutely cannot accept that the associations should be denied the right to participate in hearings of the Appeals Board**. We have also asked for the associations to be able to take the floor **during the debate** and we regret that the request was not accepted.

Disciplinary Procedures and Measures

11. ISAU acknowledges the need to simplify disciplinary procedures provided that the Administration shows itself to be **objective and impartial, ensuring fair treatment** for all staff.

Recruitment

12. Regarding the main document, a key point for staff relates to the reform of recruitment and promotion, which gives the Assistant Directors-General (ADGs) responsibility for recruitment of P-1 to P-4 staff. The pragmatic concern for savings and promptness put forward to justify this reform must not, however, outweigh the higher values of efficiency and justice, non-compliance with which regularly proves costly to the Organization in terms of time and money.

13. Delegating recruitment for P-1 to P-4 posts to ADGs cannot be effective without the **genuine involvement of HRM**, since that delegation is not accompanied by human resources-related capacity building in the sectors. **HRM must remain the guarantor of the consistency of recruitment and career management.**

14. ISAU continues to **denounce the lack of transparency in the recruitment of Project Appointments (PAs)**, which number over 450 and often duplicate existing posts. Their recruitment is subject neither to Appointment Review Boards (ARB) nor to geographical distribution, despite the fact that these are Organization staff members, some in senior positions in management, planning and representation; this should not be done by violating the principle of geographical diversity, which should guide all decisions relating to recruitment at UNESCO. We call once again for the Administration to take immediate steps to rectify the situation.

15. Furthermore, the recruitment of Young Professionals must not be the sole measure to improve geographical distribution. There is no point in including candidates from non-represented/underrepresented countries in short lists if a member of an overrepresented group is ultimately appointed. The geographical diversity of staff must be taken into account at **all** levels.

16. Information on geographical balance includes only Director posts (Table 1). Despite our repeated requests, the Administration continues to withhold this information on the total number of posts subject to geographical distribution.

17. ISAU welcomes the implementation of partnerships but regrets that HRM has not provided the information about the nationalities of directors and experts.

Mobility

18. It is regrettable that the outcome of the first mobility exercise is not included in this document. ISAU has asked HRM to take the school calendar into account so that staff can better reconcile their mobility and the demands of family life, and to provide better support services. We regret that functional mobility will not be implemented before the last quarter of 2019, that is, in a manner completely detached from geographic mobility. We believe that is a strategic error, which will lead to suspicion of a narrowly bureaucratic approach to the concept of mobility, which is still primarily functional. Geographical mobility is not inherently a matter of physical displacement, but a relocation of the functions of a member of the staff from one service where he or she has worked to another, where he or she is expected to best serve the Organization. On the topic of functional mobility, it hardly needs to be mentioned that the associations were not consulted on the modalities.

19. In addition, the human resources management strategy does not appear to have been closely developed in relation to the reform of the field offices and the development of aspects of matters relating to Pillar Three of the strategic transformation. This is particularly true of mobility which, more than any other reform, should have been performed in parallel with the reform of offices. Again, there is a risk of a reform whose transition will be costly in both budgetary terms and those of efficiency and effectiveness, as it will automatically result in an additional aspect of mobility. Thus, we fear that

staff will be the adjustment variable of such a planned reform, detached from geographical mobility as well as functional mobility.

20. The main part of the document on the strategy addresses the overall framework of the values and culture of UNESCO and the skills of staff members. However, it lacks a clear reference to those functions of UNESCO which must be considered in order to clarify the profiles required within the Organization to best fulfil such functions. This point is scarcely mentioned in the document, even though it is on this basis that the comparative advantage of UNESCO can be enhanced.

Global staff survey

21. ISAU is surprised to find no mention of the staff associations in the section of the document relating to the global staff survey. In particular, we draw attention to the second area for improvement, *“to ensure that the leadership of the Organization listens to and understands staff ideas and opinions, encourages innovation and creativity – so essential to this Organization – and is driving and managing change effectively”*. It is difficult to see how such a recommendation could be implemented without elected staff representatives being involved in such consultations. This omission cannot be innocuous, it reflects a lack of interest in our associations that will ultimately undermine the effectiveness of our Organization. It should be recalled that UNESCO's mandate makes its staff its first resource and its primary capital. If it neglects its staff associations, UNESCO would deny itself a source of information and advice from which the Organization as a whole, including, especially, the Member States, needs to benefit in a transparent manner and in the interests of efficiency and justice.

22. The Strategy is apparently focused on the creation of an enabling and engaging work environment. However, to date, we have seen no improvement. **The career development plan remains non-existent** despite statements by the Administration. **Likewise, there is no merit-based promotion policy** to motivate staff. Our colleagues are **overburdened and stressed and are lacking motivation in the absence of career prospects**.



United Nations
Educational, Scientific and
Cultural Organization

Executive Board

Two hundred and seventh session

207 EX/5.IV.B

PARIS, 13 September 2019
Original: English

Item 5 of the provisional agenda

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PART IV

HUMAN RESOURCES ISSUES

SUMMARY

B. Implementation of the Human Resources Management Strategy 2017-2022

Pursuant to [205 EX/Decision 5.IV](#), the Director-General presents a full report of the implementation of the Human Resources Management Strategy for 2017-2022.

Decision required: paragraph 29.



JOB: 20191105F

B. Implementation of the Human Resources Management Strategy for 2017-2022 (Follow-up to [205 EX/Decision 5.IV](#))

1. The Human Resources Management Strategy (HRM Strategy) for 2017-2022 was approved by the General Conference in November 2017. The Strategy, which is grounded on the Organization's Medium-Term Strategy 2014-2021, focuses on **two primary objectives: The strengthening of staff capabilities for the Sustainable Development Goals (SDGs) and the creation of an enabling and engaging work environment:**

- The strengthening of staff capabilities for the SDGs ensures that the Organization is equipped with a competent workforce to deliver on its evolving mandates more effectively and efficiently, through planning talent needs, attracting the right talent, and retaining and further developing talent.
- The creation of an enabling and engaging work environment provides the Organization with opportunities to maximise contribution of staff, individually and through teams, with high motivation and engagement.

Under these two objectives, a set of 12 initiatives are planned to be carried out over a 6-year period, as set out in the Implementation Plan (**Annex I**).

2. Since the approval of the HR Strategy by the General Conference in 2017, significant progress has been made. The **Strategic Transformation project**, launched in 2018, provides impetus to modernize the way the Organization manages its human resources and enhances efficiency and effectiveness of human resource management processes. These initiatives cover a wide spectrum of human resource areas, including mobility, delegation of authority, learning and development initiatives, and directly reinforce the objectives set out by the Human Resources Management Strategy. The **MOPAN** Assessment which refers to the HR Strategy in particular as relating to performance management also sees that issue addressed through the revised performance management policy, which will enter into effect in 2020. This report provides details on the progress of all Human Resources' initiatives through June 2019 as well as the next steps.

3. A number of policy revisions implemented under the HR Strategy and the Strategic Transformation will require amendments to Staff Regulations. These proposed amendments will be submitted to the General Conference at its 40th session under the document "Staff Regulations and Staff Rules". They are set out in **Annex IV** of this document for an initial review by the Executive Board, as required.

Strengthening Staff Capabilities for the SDGs

Initiatives	Activities/Milestones	Next steps
1. UNESCO Competency Framework	Key competencies integrated in the Vacancy Notices; UNESCO Values and Competency booklet accessible to applicants and hiring managers	Identify Competency development needs in the Performance assessment process (2020, as part the performance evaluation policy review)
2. Workforce Planning	Overall framework developed. Workforce plans being piloted with a Programme Sector (Culture)	Develop Workforce plans with all Sectors (2020)
3. Recruitment	<ul style="list-style-type: none"> ▪ Updated recruitment policy implemented 	

	<ul style="list-style-type: none"> ▪ Initial Review of the new recruitment process implemented, further efficiencies put in place ▪ Authority in Recruitment delegated to ADGs for P-1 to P-4 ▪ Timeline of 130 days for recruitment implemented and monitored (From 1 November 2017 to 30 June 2019: average 168 days) ▪ Outreach strategy and plan developed and implemented 	Continued implementation of outreach plan (2019/2020)
4. Mobility	<ul style="list-style-type: none"> ▪ Pilot exercise for Directors & Heads of Field Offices conducted (March-June 2018) ▪ Mobility Policy issued (November 2018); Mobility programme implemented (April 2019 onwards) 	Functional mobility to be launched in 2020
5. Learning and Development	<ul style="list-style-type: none"> ▪ Learning and Development Action Plan developed and funded (US \$1 million): ▪ Learning and development activities under “the Invest for Efficiency Delivery” implemented. 	Implement the Learning and Development Action Plan: develop and deliver learning programmes, in priority: Senior Leadership Programme in 2019 and 2020 for P-5 Heads of field offices and Directors in Headquarters and field; Complete development of modules and workshops, and launch. Pursue targeted roll-out of modules, supported by blended learning.
6. Geographically diverse workforce (See Progress on Action Plan under paras. 17 & 18 below)	<ul style="list-style-type: none"> ▪ Young Professional Programme 2018 implemented. 12 YPPs joined UNESCO by mid-2019. ▪ Dashboard to monitor geographical distribution implemented for Senior Management Team ▪ Measures to improve geographical representation implemented (see separate document 207 EX/5.IV.C) 	Launch next round of YPP in 2020 based on the lessons learned review of the 2018 exercise conducted in 2019
7. Gender parity at all levels (See Progress on Action Plan under para. 19 below)	<ul style="list-style-type: none"> ▪ Measures to improve gender parity implemented ▪ Mentoring scheme designed to support career transitions for all staff particularly women moving to senior roles 	Implement mentoring programme (2019/ 2020)
8. Classification	<ul style="list-style-type: none"> ▪ A revised classification policy developed. 	Issuance of the revised classification policy January 2020
9. Human Resource Partnerships	<ul style="list-style-type: none"> ▪ Strategic Framework for HR partnerships developed (April 2018) 	Implementation of the Framework, expansion of partnerships, in support of programme and geographical/gender diversity

4. In order to fulfil the objective of strengthening staff capabilities for the Organization's major mandates, putting in place a robust talent management framework is essential. Over the last twelve months, the Organization has put in significant efforts to advance on the development and implementation of an effective and efficient talent management framework encompassing workforce planning, recruitment, learning and development, and performance management.

5. **Workforce planning:** An overall workforce planning framework has been developed to anticipate demand of talent and ensure the corresponding supply to achieve the Organization's mandates. A pilot workforce planning exercise to test the framework is being undertaken with the Culture Sector, with a workforce plan to be completed by the end of 2019. Based on the customized workforce data and forthcoming qualitative analysis, it aims to identify any core workforce gaps and establish specific short-term and long-term workforce plans to address those gaps as well as the three-year horizon goals. This will be followed by implementation of the workforce plans in the first quarter of 2020 and periodic updates in continued and close coordination between the Sector and HRM. Workforce plans will be developed with the other Programme Sectors in 2020. Simultaneously, possibilities to utilize a software system that supports a more systematic and sustainable demand and supply analysis are being explored.

6. **Recruitment:** The updated recruitment policy was promulgated in November 2017 and has resulted in a speedier recruitment process. Covering the period from 1 November 2017 to 30 June 2019, the recruitment timeline has been reduced to 168 days, which is a reduction by 16% compared to over 200 days prior to the launch of the updated policy. Implementation of the policy has been reviewed, and further fine-tuning implemented. In addition, since March 2019, recruitment authorities have been delegated to ADGs for appointments up to P-4. Such delegation of authority allows for a more efficient decision process and strengthened accountability for senior managers.

7. **The 2018 Young Professionals Programme (YPP)**, was launched in April 2018 and 104 non-represented and under-represented Member States were invited to participate in it. A total of 12 Young Professionals from non- and under-represented countries were selected under the Programme and joined UNESCO in 2019, improving the geographical representation of Member States. A lessons learned review has been undertaken with a view of improving the efficiency and effectiveness of the process and will be incorporated in the next exercise which is expected to take place in 2020.

8. To actively identify sources of talent and establish a wide talent pool taking into account equitable geographical representation and gender parity, HRM has developed a **Talent Outreach Strategy** and plan. As part of the Talent Outreach Strategy, HRM will continue to closely work with hiring managers as well as the Permanent Delegations, National Commissions, Institutional Partners, NGOs, and the Field Office Network to further identify and develop networks and partners which can assist in triggering applications from qualified candidates from non- and under-represented countries. Based on the evaluation of results yielded through a survey sent to all Member States at the end of 2018, HRM has conducted a first joint talent outreach mission to Sweden in collaboration with the National Commission of Sweden to UNESCO and other United Nations agencies. Such joint outreach missions with Sectors and Programmes and other United Nations agencies, online career events targeting regions of non- and under-represented countries and an increased presence on social media have been conducted and yielded positive feedback and impact. It should be noted that concrete improvements in terms of an increase of the appointments of qualified candidates from non – and under-represented countries are expected mid- to long-term. HRM is committed to strengthen the monitoring and reporting of such activities.

9. **Mobility:** Mobility is a key element in talent management as it enables staff to broaden their experience, skills and knowledge, thereby supporting their career development and allowing the Organization to have more agile, versatile and broadly skilled workforce, and permitting managers to have more motivated staff. The new managed mobility programme was issued in 2018 with the first mobility exercise launched in April 2019. The policy covers both geographical and functional

mobility; the first exercise covered geographical mobility and the first assignment decisions were announced to staff in July 2019. Functional mobility will be implemented in Q4 2019 and Q1 2020.

10. **Learning and Development:** Learning and development provides staff with opportunities to enhance their ability to carry out their functions effectively, particularly in a fast changing environment. It also ensures that the Organization has the updated talent to not only achieve the current objectives but also to be able take on new challenges.

11. UNESCO had not benefitted from any systematic training programmes at the corporate level due to the lack of funding since 2012. This was evident in the results of the Global Staff Survey, which was conducted in early 2018 as learning and development was one of the three priority areas for improvement identified by staff. Owing to the *Invest for Efficient Delivery Plan*, a number of essential learning initiatives could be resumed and their roll-out and development continue.

12. Regular Induction Welcome Sessions are delivered for newcomers to the Organization, as both face-to-face sessions at Headquarters and by Skype for Business for colleagues in field offices.

13. Individual career management support is now also provided on an ad hoc basis, particularly in relation to skill identification and analysis, and recruitment applications.

14. While the *Invest for Efficient Delivery Plan* has been an important initiative to address some of urgent learning needs, it is a one-time initiative and the Organization needs a sustained mechanism for providing staff with continuous learning and development opportunities. In this context, HRM has recently developed a corporate wide learning and development action plan, which focuses on aligning learning and development activities with needs of programmes. It includes three main programmes: core skills; leadership and management development; and competency development with a focus on organizational values. In order to implement the action plan, the Organization needs to secure sustained funding.

15. Funding of \$1 million was approved at the 206th Executive Board to support two key learning and development initiatives which underpin the Strategic Transformation's pillar 2 project: Change of Management Culture:

- Senior leadership development program targeting an estimated 76 senior managers, at Director level and P-5 Heads of field offices. The programme will be delivered over three or four cohorts during 2019 and the first quarter of 2020. This will include a 360-degree feedback for participants; an identification and clarification of own development needs, and a plan for skill development through a deeper focus on priority competencies including delegation, feedback, coaching and conflict management.

16. The Agile Methodology to promote Transversal teams in UNESCO: Agile is a project management approach which supports improved communication and trust, delegated problem-solving, greater team autonomy, and enhanced creativity and innovation. It includes elements such as cross-functionality and self-organization of teams, collaboration, and managing complex adaptive problems. The Education Sector and HRM continue to work on a pilot to create transversal teams to work on four thematic areas, using this approach as a working tool. The approach will be rolled out across the Organization based on feedback from staff involved in the pilot and lessons learned from the implementation.

17. **Classification:** Following the External Auditor's recommendations, changes to the classification process have been proposed and the classification policy has been updated. The changes aim, in particular, at embedding the classification process in the Programme and Budget planning exercise and linking it to the new performance management process, while at the same time aligning UNESCO's policy with United Nations practice. The revised policy is scheduled for implementation in January 2020.

18. Human Resources Partnerships: Deployments under HR Partnerships are successful in bringing added expertise, talent, innovation, and knowledge from different type of partners coming from all the regions of the world. Work has started to implement the Strategic Framework for Human Resource Partnerships presented to the Executive Board in April 2018. HR Partnerships are promoted under the Strategic Transformation Working Group 3. As at June 2019, 23 JPOs are working in the Organization (19 posted at Headquarters and 4 in the field) financed by 9 Donors, whereas 15 new JPOs are expected to come on board by the end of the year. A new JPO agreement was signed with Kuwait in March 2019. A total of 38 experts from 18 countries – throughout the regions – were seconded or loaned to UNESCO, mainly to support Programme Sectors, at Headquarters and in the field. Over the same period, 101 trainees (43 at Headquarters and 58 in field offices) were sponsored by some 15 governmental, academic institutions and private sector from 10 countries. They have been assigned to UNESCO's programmes, the majority of them for periods of at least 12 months. In addition, a Youth Volunteer from the African Union has been deployed to UNESCO. During the same period, 12 United Nations Volunteers (UNVs) were deployed in UNESCO.

Create an Enabling and Engaging Work Environment

Initiatives	Activities/Milestones	Next steps
1. Culture of accountability and transparency	<ul style="list-style-type: none"> ▪ Global Staff Survey conducted (February 2018) ▪ Follow-up Action Plan developed ▪ Delegation of authority in recruitment implemented 	<p>Implement Follow up Action Plan Conduct next Staff Survey (2020)</p> <p>Roll out delegation of authority in other HR matters in Fall 2019</p>
2. Performance Management	<ul style="list-style-type: none"> ▪ Updated performance policy developed 	Issue the revised performance policy in Fall 2019 for implementation in January 2020
3. Ethics/Standards of Conduct	<ul style="list-style-type: none"> ▪ New Gift Policy developed and issued (May 2019) ▪ Guidance on Conflict of Interest issued (in recruitment) 	Develop Guidance on Conflict of Interest in other HR areas
4. Internal Justice System	<ul style="list-style-type: none"> ▪ Revised Disciplinary procedure developed and issued (June 2019) ▪ Revised anti-harassment policy developed and issued (June 2019) ▪ Draft review of the Internal Appeal System developed ▪ Review of the Rebuttal process (Performance) initiated 	<p>Issue the revised Appeals Board Statutes (2020)</p> <p>Implement the new rebuttal process (2020)</p>
5. Staff Well-Being	<ul style="list-style-type: none"> ▪ Telework Agreements in place (68 staff on telework in 2018/19) 	<p>Develop Staff Well Being Framework (2019/2020)</p> <p>Develop other Flexible Work arrangements (2019/2020)</p>

19. Performance management: Like other elements of talent management, the objective of an effective performance management system is two-folded: encourage staff to perform their functions at the highest level and maximise their potential and enable the Organization to fulfil its objectives. As the issues of the current performance management system have been identified following an external audit, HRM has developed a **new performance management policy** and process for

implementation in January 2020. The key changes to the policy are the strong focus on development, career, and frequent feedback; and the introduction of an annual cycle (reports will henceforth be established every year, and no longer every two years). These features will contribute to a stronger and more efficient performance culture.

20. Under the objective of creating an enabling and engaging work environment, one of the main initiatives is to review the current **Internal Justice System**. The review focuses on making the process speedier, enhancing the transparency and consistency, and providing more clarity to roles and responsibilities of parties involved in the system, while ensuring due processes. In this context, proposals for the review of the **Internal Appeal** system have been developed, and amendments to the Statutes of the Appeals Board are being submitted to the General Conference at its 40th session. The **disciplinary process** has been reviewed and a new policy and procedure issued, with updated provisions. A revised **anti-harassment policy** has been developed and issued, with its provisions aligned on the United Nations Common System model approved by the Chief Executive Board (CEB). The performance rebuttal system has been reviewed and proposals are being finalized for issuance in January 2020, at the same time as the new Performance Management system.

21. A global, competent and engaged workforce must be, by definition, a healthy workforce. As the Organization is asked to achieve maximum effect within the limited resources available, staff wellbeing should be given a high priority. A **Staff Well-Being Framework**, which will include expanded flexible work arrangements and occupational health and safety strategy, will be developed to promote ways to help staff balance the demands of work with life outside the office but also respond to the challenge in finding new and better ways of managing people, time, and workloads. The project is expected to start in the fall of 2019.

Monitoring and Reporting

22. For effective and timely implementation of the HRM Strategy, robust monitoring of progress using data and statistical information is essential. It will allow for identification of issues that impede the implementation and for discussion with relevant entities to resolve such issues. HRM developed the following dashboards for this purpose:

- (i) The HR Dashboard, for ADG/Directors of Bureaux, which monitors key HR indicators, including workforce composition, geographical distribution and gender parity, vacancy rate, retirements, absenteeism, completion of performance reports.
- (ii) The HRM Strategy Dashboard, which allows HRM to monitor progress against all key initiatives in the HRM strategy. It will integrate the follow up actions to the Global Staff Survey results.

HRM also makes available [Key HR Data](#) for Member States on UNESCO.int.

Action Plans on Geographical Distribution and Gender Parity [Annexes II and III]

23. The number of represented countries has decreased from 81% in January 2018 to 78% in June 2019. The number of normally represented countries has slightly decreased from 37% to 36%. At the same time, outreach measures will be actively pursued: use of social media, participation in career fairs, outreach missions to selected countries, meetings with regional groups and individual meetings with targeted non- and under-represented countries.

24. At Director level, the representation has shown slight variations (in absolute numbers) in all Groups, with an increase by 5 in Group Vb, as follows:

**Table 1: Director staff (on geographical posts) by Regional Group
(January 2018 - June 2019)***

	Group I	Group II	Group III	Group IV	Group Va	Group Vb	Total
January 2018	25 (42%)	3 (5%)	9 (15%)	9 (15%)	8 (13%)	6 (10%)	60
June 2019	26 (39%)	4 (6 %)	8 (12%)	8 (12%)	10 (15%)	11 (16%)	67

* Including two Directors of US nationality

25. Gender Parity has been maintained in June 2019. As shown in [Table 2](#), women are represented at 51% in the professional and higher level category. . The % of women at P-5 level however, is still lagging behind at 31%. Targeted action (including management training) will continue to be required to address this imbalance. At junior levels, on the other hand (P-1/P-2, P-3), women are the majority at 63% and 52%, respectively. HRM will monitor the recruitment process to ensure that both men and women are shortlisted for junior positions, with a view to addressing the imbalance.

Table 2: Gender Parity (RP/EXB) as at 30 June 2019

Grade	F	%F	M	% M	Total
DDG/ADG	3	30%	7	70%	10
D-2	10	50%	10	50%	20
D-1	27	53%	24	47%	51
Total D+	40	49%	41	51%	81
P-5	40	31%	90	69%	130
P-4	123	48%	133	52%	256
P-3	169	52%	154	48%	323
P-1/P-2	162	63%	97	37%	259
Total P	494	51%	474	49%	968
Total D/P	534	51%	515	49%	1,049

The Global Staff Survey and the Strategic Transformation

26. The 2018 Global Staff Survey attracted a response rate of 65%. The results of the survey [[UNESCO Global Staff Survey 2018](#)] confirm the strong engagement of the staff, its commitment to the mandate of UNESCO and its sense of pride to be working for the Organization. The results also show areas for improvement, with three priority areas:

- (i) to work on the **values and culture of the Organization**, by creating a more open and inclusive atmosphere; where staff well-being is the utmost consideration; and which promotes communication, feedback and a culture which recognizes accomplishments;
- (ii) to ensure that the **leadership of the Organization** listens to and understands staff ideas and opinions, encourages innovation and creativity - so essential to this Organization - and is driving and managing change effectively;
- (iii) to place **learning and development** at the centre of human resources, by increasing the range and quantity of learning opportunities for staff.

27. The above findings confirm the relevance of many of the initiatives already planned in the HRM Strategy. HRM has developed a follow-up action plan to ensure that the survey results, particularly

the priority issues, are systematically followed through in a timely manner. In addition, some of the follow-up actions are part of the work of the **Strategic Transformation Project**, in particular the Thematic Working Groups of **Operational Efficiency** and **Communications**.

28. Results were shared with Senior Managers including Directors of field office/category 1 Institutes, with a view to initiating specific actions for the areas for improvement in their Sector/Bureau. HRM set up a network of focal points in Sectors/Bureaux to promote exchanges on the various actions initiated as a follow up to the survey. Preparations for the next staff survey are underway for launching in early 2020.

Proposed draft decision

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

The Executive Board,

1. Recalling [205 EX/Decision 5.IV](#),
2. Having examined document 207 EX/5.IV.B,
3. Takes note of the progress achieved in the implementation of the Human Resources Management Strategy for 2017-2022;
4. Requests the Director-General to present a full report on the implementation of the Human Resources Management Strategy for 2017-2022 to it at its 209th session and to the General Conference at its 41st session.

ANNEX I

UNESCO HUMAN RESOURCES MANAGEMENT STRATEGY FOR 2017-2022 IMPLEMENTATION PLAN

 : Initial timeframe approved [39 C/43](#)
 : Revised timeframe [205 EX/5](#) (August 2018)

Objective 1. Strengthen Staff Capabilities for the Sustainable Development Goals											
Initiatives	Short Description	Performance Indicators	Time-frame						Responsible		
			2017	2018	2019	2020	2021	2022	HRM	Staff	Managers
1. Implement Competency Framework for UNESCO staff	Integrate the UNESCO Competency Framework in Human Resources Processes: include competencies in job profiles, in the selection process, the performance management process and in the learning programmes. Systematically promote competencies and values with a view to internalize them and embed them in UNESCO's culture.	Key competencies are included in Vacancy Notices. Interviews are systematically competency-based. Competency development needs are identified through performance assessment. Learning programmes are in place to develop targeted competencies.							✓	✓	✓
2. Develop and implement Workforce Planning	Ensure that HR planning is integrated into the Programme and budget planning. Develop workforce planning tool, to assess current capabilities, identify staffing risks and gaps on a 3-year horizon. Develop a Workforce plan between managers and HRM to cover recruitment, learning and development actions.	Workforce plan developed and implemented with each Sector. Reduction in number of posts vacant after retirement.							✓		✓
3. Hire quality, committed candidates, with the expertise and skills required for the SDGs.	Develop and implement outreach strategies to attract a diversity of top candidates. Use assessment techniques where suited. Simplify the procedure and process, while ensuring its transparency. Make the process more rapid, with a timeline of 4-5 months from the issuance of the vacancy notice to the selection decision. Implement Service Level Agreements and monitor compliance.	Timeline of 4-5 months complied with in 75% of posts recruited.							✓		✓

Initiatives	Short Description	Performance Indicators	Time-frame						Responsible		
			2017	2018	2019	2020	2021	2022	HRM	Staff	Managers
4. Achieve a geographically diverse workforce at all levels.	<p>Implement measures set out in the Action Plan to improve the geographical distribution (Annex II), in order to reduce the number of under-represented and non-represented Member States and increase the number of normally represented countries.</p> <p>Work with Member States concerned to identify best avenues to attract qualified candidates at all levels. Pursue the Young Professional Programme every biennium, starting from 2018.</p>	85% Member States represented in the Secretariat by 2022.							✓		✓
5. Achieve Gender Parity at all levels.	<p>Implement measures set out in the Action Plan to achieve Gender Parity (Annex IV), to ensure that the principle of Gender Equality is embedded in all HR processes; and that gender parity is achieved and maintained at all levels, in particular at the Director level and above.</p> <p>Put in place specific measures to support the development of women in managerial and leadership roles.</p>	<p>50% women staff at all levels, including at Director level and above by 2020.</p> <p>% of women trained in leadership/managerial programmes.</p>							✓	✓	✓
6. Implement a managed mobility programme.	<p>Develop and implement a managed mobility programme covering both geographical mobility for international professional staff and functional mobility for general service staff by 2018.</p> <p>Facilitate the movements of staff at P-1 to P-3 level early in their careers.</p> <p>Promote mobility, by making it a requirement for promotion to P-5 level. Implement short-term assignments to foster mobility.</p>	<p>Above 10% geographical mobility rate for International Professional staff per biennium.</p> <p>% of functional mobility per biennium.</p> <p>Number of moves of staff with more than 6 years in same post/function.</p> <p>Number of successful short-term assignments.</p>							✓	✓	✓
7. Implement the learning package under the Invest for Efficient Delivery Plan to build staff capacity	Develop and implement learning initiatives under the "Invest for Efficiency Delivery Plan". Target priority areas such as Resource Mobilization, Project management, Programme delivery at country level within the UN system,	<p>% of target population trained in each module.</p> <p>% of targeted staff coached</p>							✓	✓	✓

and equip them with the skills required for the SDGs.	Leadership, Gender equality, Ethics, IT tools and corporate applications. Adopt flexible, blended learning approaches, and leverage technology. Introduce coaching and mentoring programmes as part of learning and development.	Number of mentoring relationships in place for targeted staff										
Create an enabling and engaging work environment												
Initiatives	Short Description	Performance Indicators	2017	2018	2019	2020	2021	2022	HRM	Staff	Managers	
8. Review the contractual framework to fit the need for a flexible workforce, whilst ensuring appropriate conditions of service.	Review the duration of fixed-term contracts by 2018, and further streamline temporary contracts, as required. Review “non-” staff contracts, in consultation with other United Nations agencies, with a view to ensure appropriate use and conditions of service.	New Fixed-term contract duration implemented. Reviews carried out (temporary and non-staff).							✓			
9. Implement an Organizational structure fit for purpose with generic roles, and clear career paths	Develop and roll out generic job profiles for a majority of typical jobs in UNESCO. Develop career paths with competency and skills requirements for each of the main career streams in the Organization.	% of jobs covered by a generic job profile. Career paths developed for main identified career streams.							✓		✓	
10. Focus on manager's performance; Recognize team performance; Support a culture of accountability and transparency, and promote Ethics.	Ensure that staff well-being/duty of care is included in the performance assessment of managers. Review and implement the Team Award Programme. Conduct a staff survey every 2 years starting end 2017. Develop a Gift policy and guidance on Conflicts of Interest, with the Ethics Office. Communicate HR information regularly to staff and Member States, on the transparency portal and on intranet.	Staff well being / duty of care assessed as part of the managerial competence “managing performance” At least 2 teams rewarded per biennium. Staff surveys conducted. Gift Policy and Guidance on Conflicts of Interest issued and implemented. HR data published.							✓		✓	

Initiatives	Short Description	Performance Indicators	2017	2018	2019	2020	2021	2022	HRM	Staff	Managers
11. Foster an inclusive and healthy workplace.	Implement Telework Agreements and explore other flexible work modalities.	Number of successful telework agreements put in place. Other flexible work modalities introduced.							✓		✓
	Develop and implement an Occupational Health Policy.	Occupational health policy introduced							✓		
	Review the internal appeal system with a view to ensure reasonable delays.	Timeline of appeals reduced							✓		
12. Develop HRM staff capability and simplify key HR processes to improve operational effectiveness, including response time.	Develop key capabilities and skills for HR professionals, through learning and developmental assignments.	Number of development plans established to enhance HR competencies.							✓		
	Conduct a systematic review of staff rules.	Staff Rules reviewed.									
	Simplify key HR processes.	75% of the key processes reviewed and simplified									
	Establish Service Level Agreements for key HR processes, and monitor performance.	At least 50% of key HR processes have SLAs by 2019, the other half by 2021.									

ANNEX II

UNESCO GEOGRAPHICAL DISTRIBUTION ACTION PLAN FOR 2017-2022

OBJECTIVE 1: Increase the number of represented and normally represented countries to achieve a more balanced geographical distribution							
Expected Results	Initiatives	Performance Indicators	Time-frame	Responsible			Progress Update
				HRM	Managers	Staff	
1. 85% represented countries by 2022 2. 40% normally represented countries by 2022	<p>(a) Recruit Young Professionals each biennium from non- (NR) and under-represented (UR) countries, and ensure that at least 70% of the P1/P2 posts be retained for the Young Professional Programme.</p> <p>(b) Create a roster for pre-selected YPP candidates to enable managers to identify qualified candidates for project assignment or other posts.</p> <p>(c) Maximize the use of social media and use new technology such as webinars, to outreach qualified candidates from UR/NR countries.</p> <p>(d) Keep traditional direct contact with candidates from UR/NR countries, through missions, job fairs, etc.</p> <p>(e) Organize meetings with regional groups, especially ASPAC, GRULAC and Africa, and individual meetings with targeted UR/NR countries.</p> <p>(f) Contact Heads of Fields Offices of UNESCO to contribute to engaging UR/NR countries.</p> <p>(g) Implement the requirement that short-lists for all levels include at list one candidate from NR/UR countries.</p> <p>(h) Attract more candidates from NR/UR countries through UNV or other similar programmes.</p>	<p>Number of represented countries</p> <p>Number of normally represented countries</p>	2017-2022	✓	✓		
OBJECTIVE 2: Achieve a better balance among regional groups at senior level (Director and above)							
Expected Results	Initiatives	Key Performance Indicators (KPI)	Time-frame	Responsible			Progress Update
				HRM	Managers ODG/GE	Staff	
3. Enhanced geographical balance of senior level staff across regional groups by 2022	(a) Establish objectives for senior posts (starting from P-5 and above) with each Sector/Bureau based on the forecasted vacancy rate, taking into account the impact of upcoming retirements over the next 6 years.	Representation of Director staff and above across regional groups	2017-2022	✓	✓	✓	

ANNEX III

UNESCO GENDER PARITY ACTION PLAN FOR 2017-2022

OBJECTIVE 1: Achieve Gender Parity at all levels, including at Senior Level								
Expected Results	Initiatives	Performance Indicators	Time-frame	Responsible				Progress Update
				HRM	Managers	ODG/GE	Staff	
1. Gender balance achieved at all levels, including at senior level (P-5 and above).	<p>1.1. Establish gender targets at senior level by Sector/Bureau based on an assessment of the situation and monitor on regular basis.</p> <p>1.2 Set up outreach activities to increase the number of women candidates: Contact women's professional associations and networks, and advertise P-5 and above posts through them. Outreach toward potential women candidates through missions, webinars. Create roster for women candidates in the e-recruitment system. Work with other UN Agencies to identify qualified women at senior level positions</p> <p>1.3 Take measures at selection stage to increase the number of the under-represented gender (women or men)</p> <p>1.4 Implement requirement that short-lists include at least one qualified woman; apply a hiring ratio of 1 to 1 for P-5 posts and above.</p>	<p>Gender Parity (50%) is achieved at Director and P-5 level.</p> <p>Number of qualified women applicants increased.</p>	2017-2020	✓	✓	✓		
OBJECTIVE 2: Enhance women's professional development through dedicated training initiatives								
Expected Results	Initiatives	Key Performance Indicators (KPI)	Time-frame	Responsible				Progress Update
				HRM	Managers	ODG/GE	Staff	
2. Increased number of women ready to take on new roles including leadership roles, and equipped with the required competencies and skills	<p>2.1 Launch mentoring programme for P-3/P-4 women staff.</p> <p>2.2 Organize training workshops for women staff such as on networking and succeeding in interviews.</p> <p>2.3 Develop "Women in Leadership" modules for women staff at P-4 and above levels.</p>	<p>% of women participating in development activities.</p> <p>% of women appointed to new roles</p> <p>% of women appointed to D-1 and above posts</p> <p>Effectiveness rate with the learning and development activities</p>	2017-2022	✓	✓	✓	✓	

OBJECTIVE 3: A gender equality-conscious workplace								
Expected Results	Initiatives	Key Performance Indicators (KPI)	Time-frame	Responsible				Progress Update
				HRM	Managers	ODG/GE	Staff	
3. Enhanced awareness of gender equality and gender unconscious bias	<p>3.1 Include a module on Gender Equality in training programmes, such as induction and leadership</p> <p>3.2 Monitor the implementation of the mandatory Gender Equality training for all staff.</p> <p>3.3 Ensure Gender Equality is included in the interview process. Add interview questions on gender equality to assess candidates' competencies on gender equality matters; ensure that awareness of gender unconscious bias is included in competency-based interview training for hiring managers</p> <p>3.4 Develop and implement actions to reduce gender unconscious bias.</p>	<p>Effectiveness of training programmes</p> <p>% of staff attending the Gender Equality training</p>	2017-2022	✓	✓	✓	✓	
4. Gender-conscious performance appraisal	4.1 Include Gender Equality indicators in the performance appraisal of managers.		2018	✓		✓	✓	
OBJECTIVE 4: A gender-friendly workplace contributing to professional growth								
Expected Results	Initiatives	Key Performance Indicators (KPI)	Time-frame	Responsible				Progress Update
				HRM	Managers	ODG/GE	Staff	
5. Exit interview targeting women staff	5.1 Conduct exit interviews with P and above women staff who leave UNESCO	Number of exit interviews conducted	2017-2022	✓			✓	
6. Work-life balance working arrangements	6.1 Telework policy and other flexible work modalities	Number of men and women staff taking up telework and their satisfaction rate, as well as the effectiveness of these arrangements within a team. Other Flexible Work modalities as required	2017-2022	✓				
7. Enhanced role of Gender Focal Points	7.1 Include Gender Focal points duties and responsibilities in the respective job descriptions.	Job Descriptions reflecting gender focal points responsibilities	2018	✓		✓		
8. Setup informal gender networks	8.1 Support the setup of informal networks of HR staff/managers working on gender.	Output/outcome of the meetings within the gender networks	2017-2022	✓				

ANNEX IV

Draft Amendments to Staff Regulations – Amendments to Staff Rules

(in Document on Staff Regulations and Staff Rules submitted to the General Conference under 40 C/48

1. This document is submitted for information and review by the Executive Board, in advance of the submission of the comprehensive document on “Staff Regulations and Staff Rules” which will be submitted to the General Conference at its 40th session.
2. The purpose of this document is to provide advance information to the Executive Board on amendments to the Staff Regulations which will be presented for approval to the General Conference, and which are proposed in the context of the review of Human Resource policies. Detailed information on the proposed amendments, as well as on the related Staff Rules being considered by the Director-General to implement the amended Staff Regulation(s) is contained in 40 C/48 “Staff Regulations and Staff Rules”.
3. The proposed amendments are set out below in the context of the review of the following HR policies and processes:

A. Classification Policy

Chapter IV Appointment, Promotion and Transfer

Regulation 4.2.

“In appointing staff members, the Director-General shall, except in the case of appointments resulting from post reclassifications **as prescribed by the Director-General**, use a competitive process in order to secure the highest standards of efficiency, competence and integrity.”

B. Disciplinary Procedure

Chapter IX Separation from service

Regulation 9.1.1.

The Director-General may also, giving his reasons therefor, terminate the appointment of a staff member:

~~(a) If the conduct of the staff member indicates that the staff member does not meet the highest standards required by Article VI of the Constitution and by Chapter I of the Staff Regulations.~~

(a) If facts anterior to the appointment of the staff member and relevant to his suitability and which reflect on his present integrity come to light, which, if they had been known at the time of his appointment, should, under the standards established in the Constitution, have precluded his appointment.

~~No termination under the provisions of this Regulation shall take effect until the matter has been considered and reported on by a special advisory board appointed for that purpose by the Director-General. This Board shall consist of four staff members chosen by the Director-General in agreement with the staff association or associations and shall have a chairperson nominated by the President of the International Court of Justice. Its reports and opinions, accompanied by a statement of the reasons therefor, shall be communicated to the staff members concerned.~~

Chapter X Disciplinary measures

Regulation 10.1

~~The Director-General shall establish administrative machinery with staff participation to advise him or her in disciplinary cases.~~

Failure by a staff member to comply with his or her obligations under the Constitution, the Staff Regulations and Staff Rules or other administrative issuance, or to observe the Standards of Conduct expected of an international civil servant, may amount to misconduct, and may lead to the institution of a disciplinary process and the imposition of disciplinary measures for misconduct.

Regulation 10.2

~~The Director-General may impose disciplinary measures on staff members whose conduct is unsatisfactory.~~

~~Notwithstanding the provisions of Regulation 10.1, the Director-General may summarily dismiss a staff member for serious misconduct.~~

Rule 110.1 Disciplinary measures

- (a) The disciplinary measures which the Director-General may impose on staff members **for misconduct** ~~whose conduct is unsatisfactory~~ are:
- (i) written censure
 - (ii) **suspension without pay for a specified period;**
 - (iii) deferment, **for a specified period,** ~~or withholding of within-grade~~ **eligibility for salary increment;**
 - (iv) **loss of one or more steps in grade;**
 - (v) ~~blockage of~~ **deferment, for a specified period, of consideration for promotion;**
 - (vi) demotion by transfer;
 - (vii) termination
 - (viii) summary dismissal.
- (b) In imposing a written censure, the Director-General may decide that it shall be removed from the staff member's record if there has been no recurrence of unsatisfactory conduct within a period to be fixed by the Director-General.
- ~~(c) In imposing the deferment or withholding of within-grade salary increment, the Director-General shall fix the period of deferment or the number of increments to be withheld.~~
- ~~(d) In imposing blockage of promotion, the Director-General shall fix the period during which this measure shall be applied.~~

Rule 110.2 Joint Disciplinary Committee (deleted)

C. Appeal Process Review

Chapter XI Appeals

Regulation 11.1

The Director-General shall maintain an Appeals Board, with staff participation, to advise ~~him or her~~ **them** when a staff member lodges an appeal against a disciplinary action **measure** or against an administrative decision, alleging that it conflicts with the terms of ~~his or her~~ **their** appointment or with any relevant regulation or rule. **Staff members shall have access to the Appeals Board in accordance with the Statutes of that Board** (see Annex A).

Rule 111.1.

~~Staff members shall have access to the Appeals Board in accordance with the Statutes of that Board (see Annex A).~~

Annex A (to the Staff Regulations and Staff Rules)

Statutes of the Appeals Board

Purpose of the Appeals Board

1. The Appeals Board (hereinafter referred to as “*the Board*”) shall advise the Director-General, with whom the final decision shall rest, on appeals made by members of the staff.

Composition of the Board

2. The Board shall be composed of three members, all having equal votes, as follows:
 - (a) A Chairperson or one of the two alternate Chairperson (s) appointed by the Executive Board.
 - (b) One member representing the Administration, appointed by the Director-General or by his/her designated representative, subject to subparagraph (d) and paragraph 3 below, for each appeal.
 - (c) One member representing staff, appointed in rotation, subject to subparagraph (d) and paragraph 3 below, for each appeal, by the Chairperson of the Board from a Staff Panel divided into two groups elected every two years by a ballot of staff members as follows: Group I: twenty members from the Professional category and above; Group II: twenty members from the General Service category. Not more than three of the twenty members in Group I, and not more than five in Group II should, to the extent possible, be of the same nationality.
 - (d) In appointing members for each appeal the Director-General, or his/her designated representative and the Chairperson of the Board shall not appoint any member from the Appellant’s Division, Bureau or Office and shall observe the principle of equitable geographical distribution.
3. The appellant may object to up to two members of the Board, with the exception of the Chairperson or the alternate Chairperson. The Administration may object to the member of the Staff Panel. In such cases, new members shall be appointed in accordance with paragraph 2 (b), (c) and (d).
4. The Director-General shall appoint a Secretary to the Board.
5. Associations representative of staff under Staff Regulation 8.1 may be represented by an observer at all hearings of the Board, subject to the agreement of the Appellant.

Jurisdiction of the Board

6. The Board shall consider appeals against an administrative decision or against a disciplinary measure where a staff member alleges that it conflicts either in substance or in form with the terms of his or her contract, or with any Staff Regulation or Staff Rule relevant to his or her case.
7. In cases in which the decision appealed against is based on grounds of performance, the Board shall not have jurisdiction to determine the substantive question of performance, but only the question as to whether the decision was affected by prejudice or other extraneous factor, or whether there was a procedural flaw.

8. A staff member, in agreement with the Director-General, may waive his or her right of recourse to the Board and appeal directly to the Administrative Tribunal of the International Labour Organization and in such case the decision impugned shall be considered as final and the staff member shall be deemed to have exhausted all other means of contesting it.

Preliminary procedure: Administrative Review

9. A staff member who wishes to contest an administrative decision or disciplinary measure shall first address a written request for administrative review to the Director-General. The request shall be addressed to the Director-General through the Director of the Bureau of Human Resources Management, within a period of 60 calendar days from the date of receipt of the administrative decision or of the disciplinary measure contested by the staff member. The request for review shall clearly identify the administrative decision or disciplinary measure against which the appeal is directed, including its date of receipt.
10. The ruling of the Director-General, or of the official to whom such authority has been delegated on the request for administrative review shall be communicated to the staff member by the Director of the Bureau of Human Resources Management within 60 calendar days of the date of receipt of the request.
11. If the staff member wishes to pursue his or her appeal, he or she shall address a Notice of Appeal in writing to the Secretary of the Appeals Board. The time-limit for the submission of a Notice of Appeal, to be counted from the date of receipt of the Director-General's ruling (or, if no ruling was communicated to the staff member within the time-limit under paragraph 10 above, from the expiry of that time-limit), is 30 calendar days.
12. The Notice of Appeal shall clearly identify the administrative decision or disciplinary measure against which the appeal is directed, including its date of receipt, the date of the request for review and the date of the Director-General's ruling or the fact that no ruling was communicated to the Appellant within the applicable time-limit.

Procedure before the Appeals Board

13. Within 90 calendar days of the Notice of Appeal, the Appellant or his or her representative shall file an Appeal using the form set forth in the Appendix to these Statutes. If the Appeal is irregular in any respect, the Secretary of the Board shall return it for rectification, and may grant up to 30 calendar days for resubmission. The Appellant shall specify in his or her Appeal whether he or she requests a hearing.
14. Upon receipt of the Appeal, the Secretary of the Board shall immediately forward copies to the Chairperson of the Board and to the Administration.
15. Within 90 calendar days of the receipt of the Appeal, the Administration shall submit its Reply to the Secretary of the Board, with supporting documents. The Secretary of the Board shall immediately forward copies of the Reply to the Chairperson and to the Appellant.
16. Upon receipt of the Administration's Reply (or, failing such a Reply upon expiry of the time limit for its submission), the Chairperson and the Director-General or the official to whom such authority has been delegated shall appoint members of the Board, in accordance with paragraph 2, to examine the Appeal. The Secretary of the Board shall inform the persons appointed and shall inform the Appellant of their names. Copies of the Appeal and Reply shall be forwarded to the members of the Board, as soon as they accept their appointment.
17. Members so appointed who are no longer able to serve shall notify the Secretary of the Board immediately. They shall return to the Secretary any documents relating to the Appeal.

18. If the Appellant has requested a hearing, the Secretary of the Board shall convene the Board to hear the Appeal as soon as possible after receiving the Administration's Reply under paragraph 15 (or, failing such a reply, after the expiry of the time-limit for its submission).
19. The Chairperson may dismiss an Appeal should the Appellant not present himself or herself at the hearing. The Appellant may request one postponement of the hearing for serious cause.
20. Only those persons whose presence is foreseen by these Statutes may attend the hearing. It shall commence with a brief oral statement of the Appeal by the Appellant or his or her representative, followed by an oral reply by the representative of the Director-General. The parties may give evidence orally and call witnesses. The Parties and the Chairperson of the Board may question all those who give evidence. The Chairperson may request the disclosure of evidence from the Parties. Observers may not take the floor during the debate. They may make an oral statement at the end of the hearing.
21. On completion of the hearing, the Board shall deliberate in private.
22. At the end of these deliberations, the Board shall, by a majority vote, adopt a Report summarizing the Board proceedings and advising the Director-General on what action, if any, he or she should take. Dissenting votes, and dissenting opinions (if the dissenting members desire) shall be stated in the Report. The Report of the Board and the Board's recommendations should be based on the relevant Staff Regulations and Staff Rules of UNESCO and any other administrative issuance governing the conditions of service of staff members of the Organization.
23. The Secretary of the Board shall forward the report to the Director-General and a copy to the appellant, within 60 calendar days following the end of the session.
24. The Director-General shall make a decision thereon within a reasonable delay, and no later than 90 calendar days following the receipt of the Report. The Appellant and the Chairperson shall be notified accordingly.

General Provisions, Records and Reports

25. The term "Party" refers to either the Appellant or the Administration, who are together referred to as "the Parties".
26. Hearings may be held in person or via remote facilities. The Chairperson and the Board members may attend the hearings of the Board either in person or remotely.
27. Neither Party shall have the right to external legal representation before the Board. The Appellant may designate a staff member to represent him or her in the Board proceedings.
28. All persons involved in the Board proceedings shall maintain strict confidentiality in all matters related to those proceedings. Records of the Board shall be confidential and shall be kept by the Secretary of the Board. The Appellant and the Administration may disclose the report in his or her Appeal to the Administrative Tribunal.
29. The time limits contained in these Statutes shall run from the day following the receipt of the relevant decision or notification. The Chairperson may extend time limits in exceptional circumstances.
30. When the Chairperson of the Appeals Board considers that an Appeal is manifestly irreceivable or without merit, he or she recommends to the Director-General that the Appeal is dismissed. The Secretary of the Appeals Board shall convey the Director-General's decision on the matter to the Appellant.

31. Failure by the Appellant to observe the time limits set out in these Statutes will render the Appeal irreceivable.
32. In case the Parties agree to engage in informal resolution, the Chairperson may suspend the Board proceedings and the applicable time limits as may be necessary.
33. All decisions, notifications, rulings and reports referred to in these Statutes may be conveyed to the Parties by electronic means of communication.

Appeals by staff members in Field Duty Stations

34. The Appellant and their representative have the right to remotely attend the hearing, or attend the hearing in person provided that he or she travels at his or her own expense. Upon request from the Appellant, special leave with pay shall be granted for the purpose of attending the hearing either in person or remotely.

Amendment of these Statutes

35. These Statutes, including the Appendix, may be amended by the Executive Board.

Appendix to the Statutes of the Appeals Board

Form in which appeals by Staff Members shall be drawn up.

Appeals shall be submitted in one copy in the following form, in one of the working languages.

Form

- (a) Surname and first name of the Appellant.
- (b) Nationality of the Appellant.
- (c) The Appellant's mailing and e-mail addresses for the purpose of the proceedings.
- (d) Grade of the Appellant, Sector, Service or Bureau to which he belongs, his or her duty station and a statement of his or her duties.
- (e) The administrative decision or disciplinary measure against which the Appeal is directed, including its Authority and date.
- (f) Date of the request for administrative review submitted under paragraph 9.
- (g) Date of the Director-General's ruling under paragraph 10 (or date by which such ruling should have been communicated).
- (h) A signed list of documents submitted. These documents must include the text of the Appellant's request for review, and the text of the Director-General's ruling on the request (or a statement that no ruling was made within the statutory time-limit).

Additional documents may be included by the Appellant.

- (i) A short statement of facts and arguments advanced.
- (j) A Statement indicating whether the Appellant requests a hearing.
- (k) List of witnesses whom the Appellant wishes to hear.
- (l) Conclusions and Relief sought by the Appellant.
- (m) Date and Appellant's signature



United Nations
Educational, Scientific and
Cultural Organization

Executive Board

Two hundred and seventh session

207 EX/5.IV.B Corr.

PARIS, 24 September 2019
Original: English

Item 5 of the provisional agenda

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

PART IV

HUMAN RESOURCES ISSUES

B. Implementation of the Human Resources Management Strategy 2017-2022

CORRIGENDUM

Annex IV should read as follows:

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(in document on Staff Regulations and Staff Rules submitted to the General Conference
under [40 C/48](#))

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Job: 201912790

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 - (v) ~~blockage of~~ **deferment, for a specified period, of consideration for promotion;**
 - (vi) demotion by transfer;
 - (vii) termination
 - (viii) summary dismissal.
- (b) In imposing a written censure, the Director-General may decide that it shall be removed from the staff member's record if there has been no recurrence of unsatisfactory conduct within a period to be fixed by the Director-General.
- ~~(c) In imposing the deferment or withholding of within-grade salary increment, the Director-General shall fix the period of deferment or the number of increments to be withheld.~~
- ~~(d) In imposing blockage of promotion, the Director-General shall fix the period during which this measure shall be applied.~~

Rule 110.2 Joint Disciplinary Committee (deleted)

C. Appeal Process Review

Chapter XI Appeals

Regulation 11.1

The Director-General shall maintain an Appeals Board, with staff participation, to advise ~~him or her~~ **them** when a staff member lodges an appeal against a disciplinary ~~action~~ **measure** or against an administrative decision, alleging that it conflicts with the terms of ~~his or her~~ **her** or his appointment or with any relevant regulation or rule. **Staff members shall have access to the Appeals Board in accordance with the Statutes of that Board** (see Annex A).

Rule 111.1.

~~Staff members shall have access to the Appeals Board in accordance with the Statutes of that Board (see Annex A).~~

Annex A (to the Staff Regulations and Staff Rules)

Statutes of the Appeals Board

Purpose of the Appeals Board

1. The Appeals Board (hereinafter referred to as “*the Board*”) shall advise the Director-General, with whom the final decision shall rest, on appeals made by members of the staff.

Composition of the Board

2. The Board shall be composed of three members, all having equal votes, as follows:
 - (a) A Chairperson or one of the two alternate Chairperson (s) appointed by the Executive Board.
 - (b) One member representing the Administration, appointed by the Director-General or by his/her designated representative, subject to subparagraph (d) and paragraph 3 below, for each appeal.
 - (c) One member representing staff, appointed in rotation, subject to subparagraph (d) and paragraph 3 below, for each appeal, by the Chairperson of the Board from a Staff Panel divided into two groups elected every two years by a ballot of staff members as follows: Group I: twenty members from the Professional category and above; Group II: twenty members from the General Service category. Not more than three of the twenty members in Group I, and not more than five in Group II should, to the extent possible, be of the same nationality.
 - (d) In appointing members for each appeal the Director-General, or his/her designated representative and the Chairperson of the Board shall not appoint any member from the Appellant’s Division, Bureau or Office and shall observe the principle of equitable geographical distribution.
3. The Appellant may object to up to two members of the Board, with the exception of the Chairperson or the alternate Chairperson. The Administration may object to the member of the Staff Panel. In such cases, new members shall be appointed in accordance with subparagraphs 2 (b), (c) and (d) above.
4. The Director-General shall appoint a Secretary to the Board.
5. Associations representative of staff under Staff Regulation 8.1 may be represented by an observer at all hearings of the Board, subject to the agreement of the Appellant.

Jurisdiction of the Board

6. The Board shall consider appeals against an administrative decision or against a disciplinary measure where a staff member alleges that it conflicts either in substance or in form with the terms of his or her contract, or with any Staff Regulation or Staff Rule relevant to his or her case.
7. In cases in which the decision appealed against is based on grounds of performance, the Board shall not have jurisdiction to determine the substantive question of performance, but only the question as to whether the decision was affected by prejudice or other extraneous factor, or whether there was a procedural flaw.

8. A staff member, in agreement with the Director-General, may waive his or her right of recourse to the Board and appeal directly to the Administrative Tribunal of the International Labour Organization and in such case the decision impugned shall be considered as final and the staff member shall be deemed to have exhausted all other means of contesting it.

Preliminary procedure: Administrative Review

9. A staff member who wishes to contest an administrative decision or disciplinary measure shall first address a written request for administrative review to the Director-General. The request shall be addressed to the Director-General through the Director of the Bureau of Human Resources Management, within a period of 60 calendar days from the date of receipt of the administrative decision or of the disciplinary measure contested by the staff member. The request for review shall clearly identify the administrative decision or disciplinary measure against which the request for administrative review is directed, including its date of receipt.
10. The ruling of the Director-General on the request for administrative review shall be communicated to the staff member by the Director of the Bureau of Human Resources Management within 60 calendar days of the date of receipt of the request.
11. If the staff member wishes to pursue his or her recourse, he or she shall address a Notice of Appeal in writing to the Secretary of the Appeals Board. The time-limit for the submission of a Notice of Appeal, to be counted from the date of receipt of the Director-General's ruling (or, if no ruling was communicated to the staff member within the time-limit under paragraph 10 above, from the expiry of that time-limit), is 30 calendar days.
12. The Notice of Appeal shall clearly identify the administrative decision or disciplinary measure against which the appeal is directed, including its date of receipt by the Appellant, the date of the request for administrative review and the date of the Director-General's ruling or the fact that no ruling was communicated to the Appellant within the applicable time-limit.

Procedure before the Appeals Board

13. Within 90 calendar days of the Notice of Appeal, the Appellant or his or her representative shall file an Appeal using the form set forth in the Appendix to these Statutes. If the Appeal is irregular in any respect, the Secretary of the Board shall return it for rectification, and may grant up to 30 calendar days for resubmission. The Appellant shall specify in his or her Appeal whether he or she requests a hearing.
14. Upon receipt of the Appeal, the Secretary of the Board shall immediately forward copies to the Chairperson of the Board and to the Administration.
15. Within 90 calendar days of the receipt of the Appeal, the Administration shall submit its Reply to the Secretary of the Board, with supporting documents. The Secretary of the Board shall immediately forward copies of the Reply to the Chairperson and to the Appellant.
16. Upon receipt of the Administration's Reply (or, failing such a Reply upon expiry of the time limit for its submission), the Chairperson and the Director-General shall appoint members of the Board, in accordance with paragraph 2, to examine the Appeal. The Secretary of the Board shall inform the persons appointed and shall inform the Appellant of their names. Copies of the Appeal and Administration's Reply shall be forwarded to the members of the Board, as soon as they accept their appointment.
17. Members so appointed who are no longer able to serve shall notify the Secretary of the Board immediately. They shall return to the Secretary of the Board any documents relating to the Appeal.

18. If the Appellant has requested a hearing, the Secretary of the Board shall convene the Board to hear the Appeal as soon as possible after receiving the Administration's Reply under paragraph 15 (or, failing such a reply, after the expiry of the time-limit for its submission).
19. The Chairperson may dismiss an Appeal should the Appellant not present himself or herself at the hearing. The Appellant may request one postponement of the hearing for serious cause.
20. Only those persons whose presence is foreseen by these Statutes may attend the hearing. It shall commence with a brief oral statement of the Appeal by the Appellant or his or her representative, followed by an oral reply by the representative of the Director-General. The Parties may give evidence orally and call witnesses. The Parties and the Chairperson of the Board may question all those who give evidence. The Chairperson may request the disclosure of evidence from the Parties. Observers may not take the floor during the debate. They may make an oral statement at the end of the hearing.
21. On completion of the hearing, the Board shall deliberate in private.
22. At the end of these deliberations, the Board shall, by a majority vote, adopt a Report summarizing the Board proceedings and advising the Director-General on what action, if any, he or she should take. Dissenting votes, and dissenting opinions (if the dissenting members desire) shall be stated in the Report. The Report of the Board and the Board's recommendations should be based on the relevant Staff Regulations and Staff Rules of UNESCO and any other administrative issuance governing the conditions of service of staff members of the Organization.
23. The Secretary of the Board shall forward the Report to the Director-General and a copy to the Appellant, within 60 calendar days following the end of the session of the Board.
24. The Director-General shall make a decision thereon within a reasonable delay, and no later than 90 calendar days following the receipt of the Report. The Appellant and the Chairperson shall be notified accordingly.

General Provisions, Records and Reports

25. The term "Party" refers to either the Appellant or the Administration, who are together referred to as "the Parties".
26. Hearings may be held in person or via remote facilities. The Chairperson and the Board members may attend the hearings of the Board either in person or remotely.
27. Neither Party shall have the right to external legal representation before the Board. The Appellant may designate a staff member to represent him or her in the Board proceedings.
28. All persons involved in the Board proceedings shall maintain strict confidentiality in all matters related to those proceedings. Records of the Board shall be confidential and shall be kept by the Secretary of the Board. The Appellant and the Administration may disclose the Report before the Administrative Tribunal.
29. The time limits contained in these Statutes shall run from the day following the receipt of the relevant decision or notification. The Chairperson may extend time limits in exceptional circumstances.
30. When the Chairperson considers that an Appeal is manifestly irreceivable or without merit, he or she recommends to the Director-General that the Appeal is dismissed. The Secretary of the Board shall convey the Director-General's decision on the matter to the Appellant.

31. Failure by the Appellant to observe the time limits set out in these Statutes will render the Appeal irreceivable.
32. In case the Parties agree to engage in informal resolution, the Chairperson may suspend the Board proceedings and the applicable time limits as may be necessary.
33. All decisions, notifications, rulings and reports referred to in these Statutes may be conveyed to the Parties by electronic means of communication.
34. The Director-General may delegate his or her authorities under these Statutes.

Appeals by staff members in Field Duty Stations

35. The Appellant and her or his representative have the right to attend the hearing either remotely, or in person provided that he or she travels at his or her own expense. Upon request from the Appellant, special leave with pay shall be granted for the purpose of attending the hearing either in person or remotely.

Amendment of these Statutes

36. These Statutes, including the Appendix, may be amended by the Executive Board.

Appendix to the Statutes of the Appeals Board

Form in which appeals by Staff Members shall be drawn up.

Appeals shall be submitted in one copy in the following form, in one of the working languages of the Secretariat.

Form

- (a) Surname and first name of the Appellant.
- (b) Nationality of the Appellant.
- (c) The Appellant's mailing and e-mail addresses for the purpose of the proceedings.
- (d) Grade of the Appellant, Sector, Service or Bureau to which he or she belongs, his or her duty station and a statement of his or her duties.
- (e) The administrative decision or disciplinary measure against which the Appeal is directed, including its Authority and date.
- (f) Date of the request for administrative review submitted under paragraph 9.
- (g) Date of the Director-General's ruling under paragraph 10 (or date by which such ruling should have been communicated).
- (h) A signed list of documents submitted. These documents must include the text of the Appellant's request for administrative review, and the text of the Director-General's ruling on the request (or a statement that no ruling was made within the statutory time-limit).

Additional documents may be included by the Appellant.

- (i) A short statement of facts and arguments advanced.
- (j) A Statement indicating whether the Appellant requests a hearing.
- (k) List of witnesses whom the Appellant wishes to hear.
- (l) Conclusions and Relief sought by the Appellant.
- (m) Date and Appellant's signature