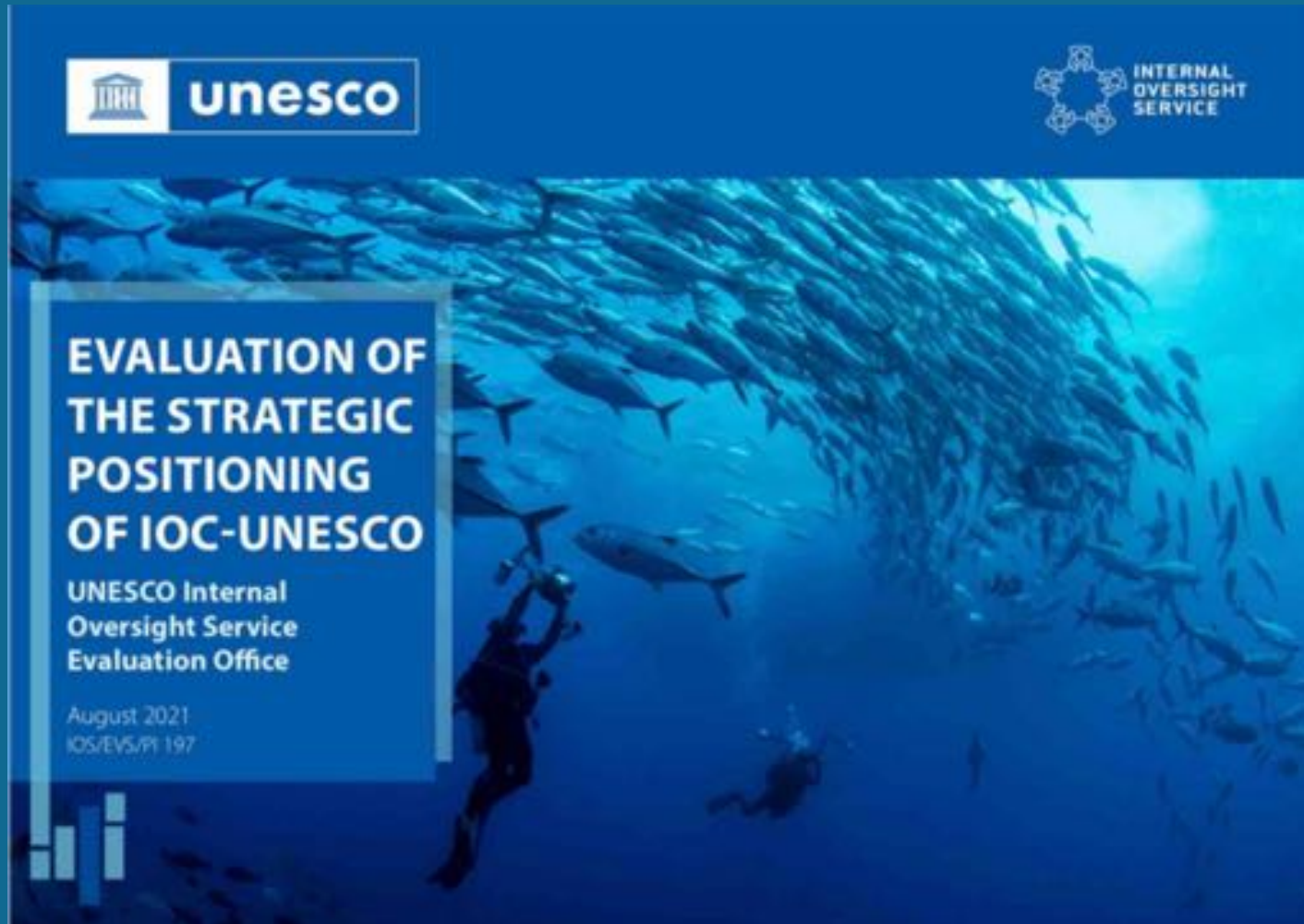


# Item 14: Strategic positioning of IOC



## IOC-UNESCO Strategic Positioning Evaluation and Recommendations

Draft Implementation Plan

15<sup>th</sup> December 2021

OpenCities Ltd

# Contents

<b>Abstract</b>	3
<b>Acknowledgements</b>	3
<b>Acronyms and Abbreviations</b>	6
<b>Executive Summary</b>	7
<b>Management Response</b>	11
<b>Introduction</b>	15
Overview of IOC-UNESCO	15
Evaluation objectives	18
Methodology	18
Limitations	19
<b>Main Findings</b>	21
<b>Conclusions</b>	40
<b>Recommendations</b>	41
<b>Annexes</b>	43
Annex A: Terms of Reference	44
Annex B: Judgements on ToC Assumptions	51
Annex C: Bibliography	52
Annex D: Interview Respondents	53
Annex E: Flagship Programmes	56
Annex F: Mapping the Essential Ocean Variables (EOVs) against the HLOs	57
Annex G: Evaluation Team Biodata	58
Annex H: Methodology	
Annex I: Evaluation Matrix	
Annex J: Interview and Case Study Protocols	
Annex K: Aggregated Survey Responses	

## EVALUATION OF THE STRATEGIC POSITIONING OF IOC-UNESCO

UNESCO Internal Oversight Service Evaluation Office

August 2021  
IOEVS/P/197

[Go to page 44](#)

# Questions posed (1)

**Alignment** with processes and frameworks such as UNESCO's Expected Results Framework, the Agenda 2030 including its Sustainable Development Goal 14 on Life Under Water, the UN Decade of Ocean Science for Sustainable Development, UNFCCC and its Paris Agreement, and the Convention on Biological Diversity, the Sendai Framework

Strategic **positioning vis-à-vis** international and national **partners** and related policy processes and frameworks appropriate and coherent?

Positioning to leverage its **comparative advantage for** the upcoming **Decade** of the Ocean

## Questions posed (2)

What **results**, intended or unintended, have been achieved in the areas of IOC-UNESCO's High-Level Objectives, including the Global Ocean Science Report?

What **outcomes** can be observed in relation to **gender equality**, inclusion of disadvantaged groups and in the area of Priority Africa?

What are the **key achievements and challenges** for IOC-UNESCO's work?

To what extent has IOC-UNESCO contributed to **capacity development for Member States** at the individual, institutional and political levels?

## Questions posed (3)

How appropriate are current **efforts for monitoring and evaluation** of IOC-UNESCO's results and way of working?

What lessons can be identified for IOC-UNESCO's current **visibility** and communication tools, measures and strategy?

To what extent does IOC-UNESCO ensure **sustainability of its work**, including through development and a targeted resource mobilization strategy and the maintenance of strategic partnerships?

# Key Results from Surveys (1)

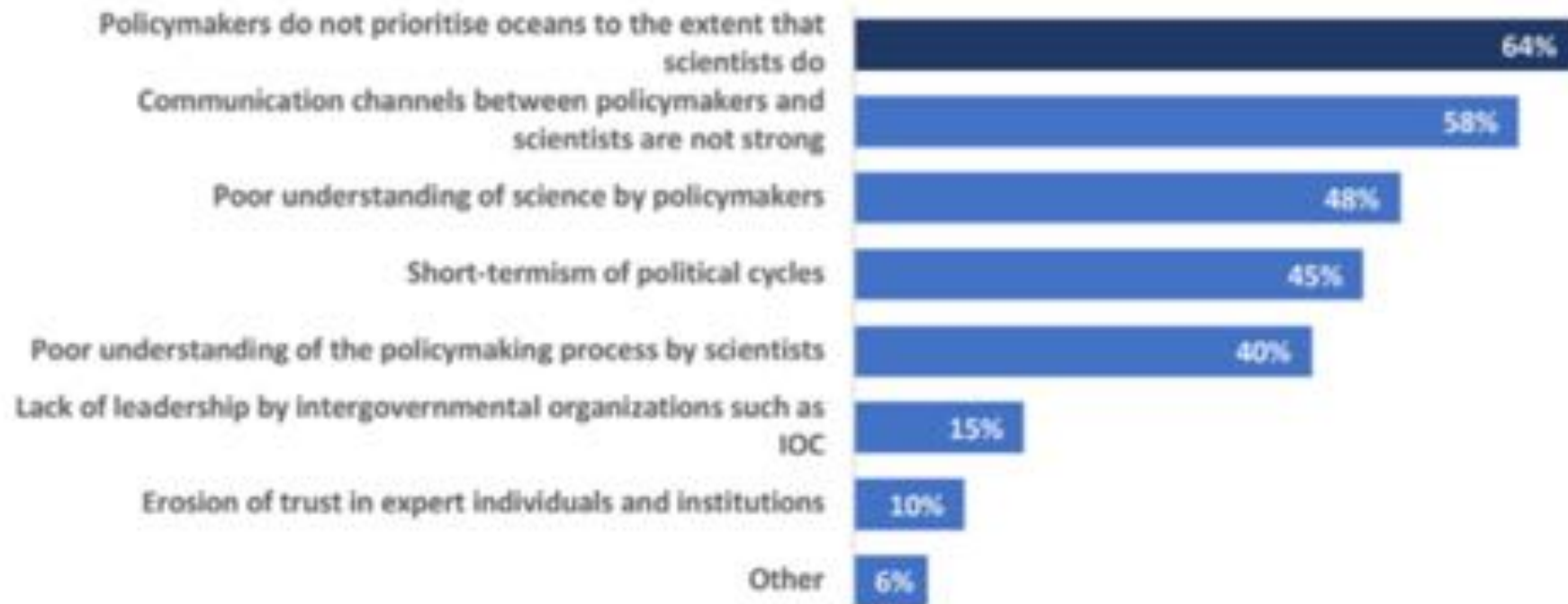
Figure 6: IOC-UNESCO's Strengths <sup>50</sup>





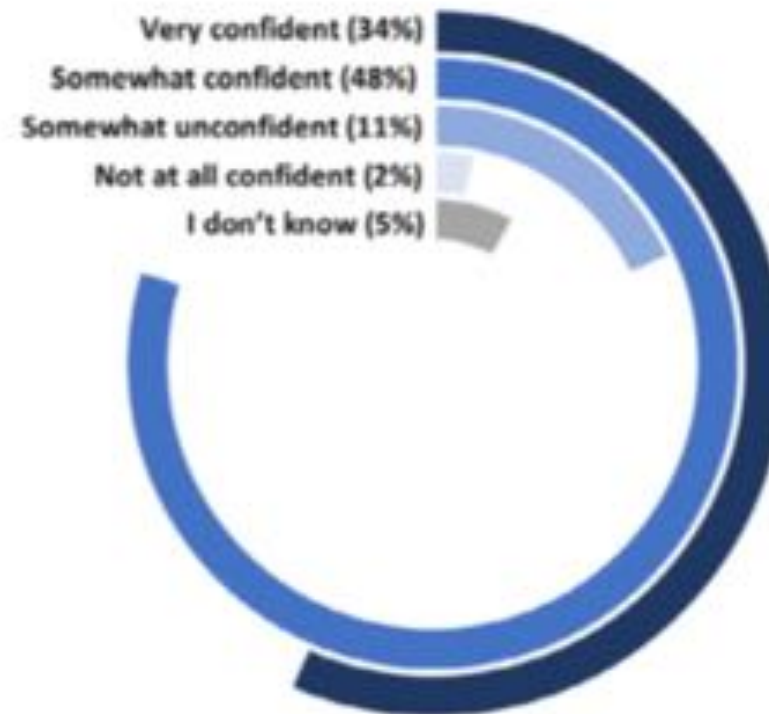
# Key Results from Surveys (2)

*Figure 4: Barriers to Science-Based Policymaking for the Oceans<sup>28</sup>*



# Key Results from Surveys (3)

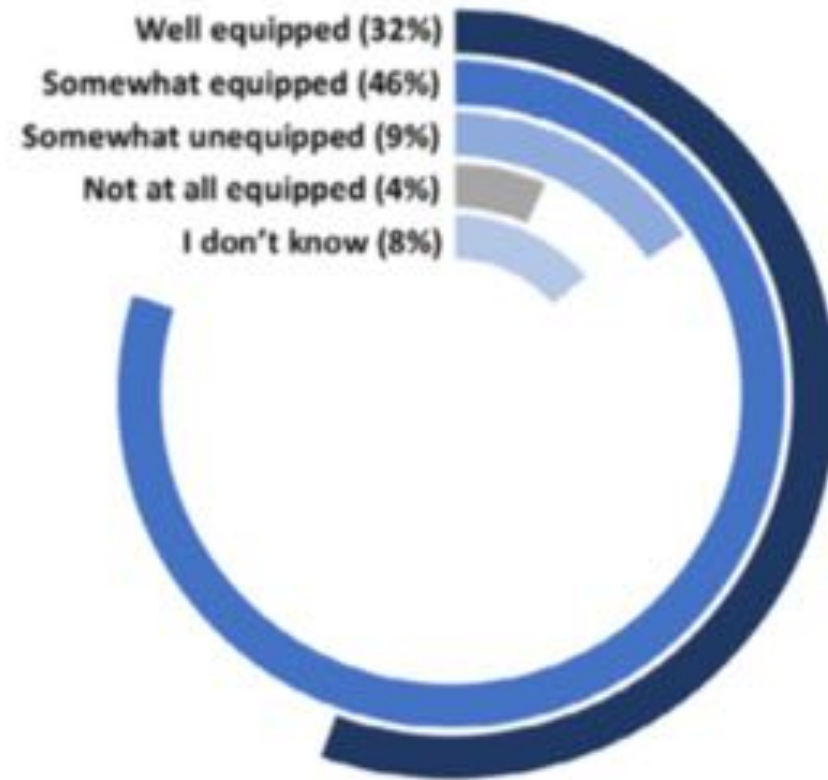
*Figure 5: Confidence in IOC-UNESCO to lead a Successful Ocean Decade*





# Key Results from Surveys (4)

*Figure 7: IOC-UNESCO readiness for capacity development*



# Key Results from Surveys (5)

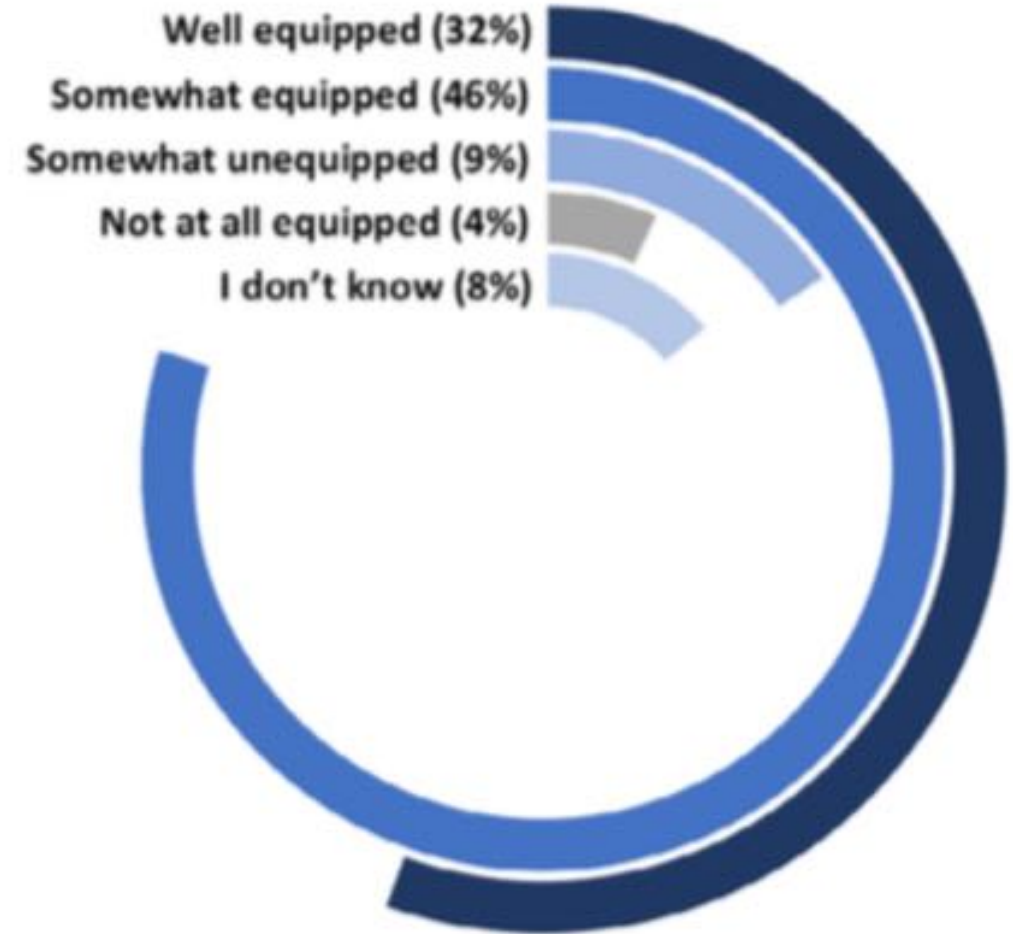
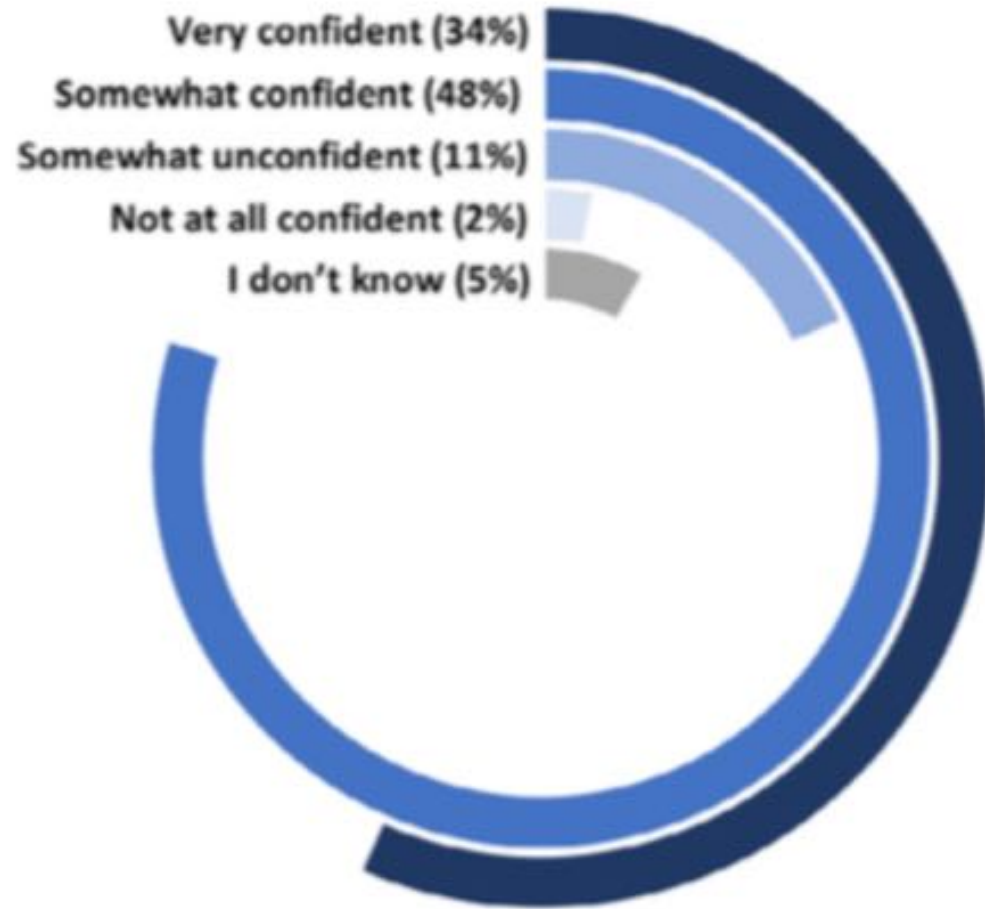
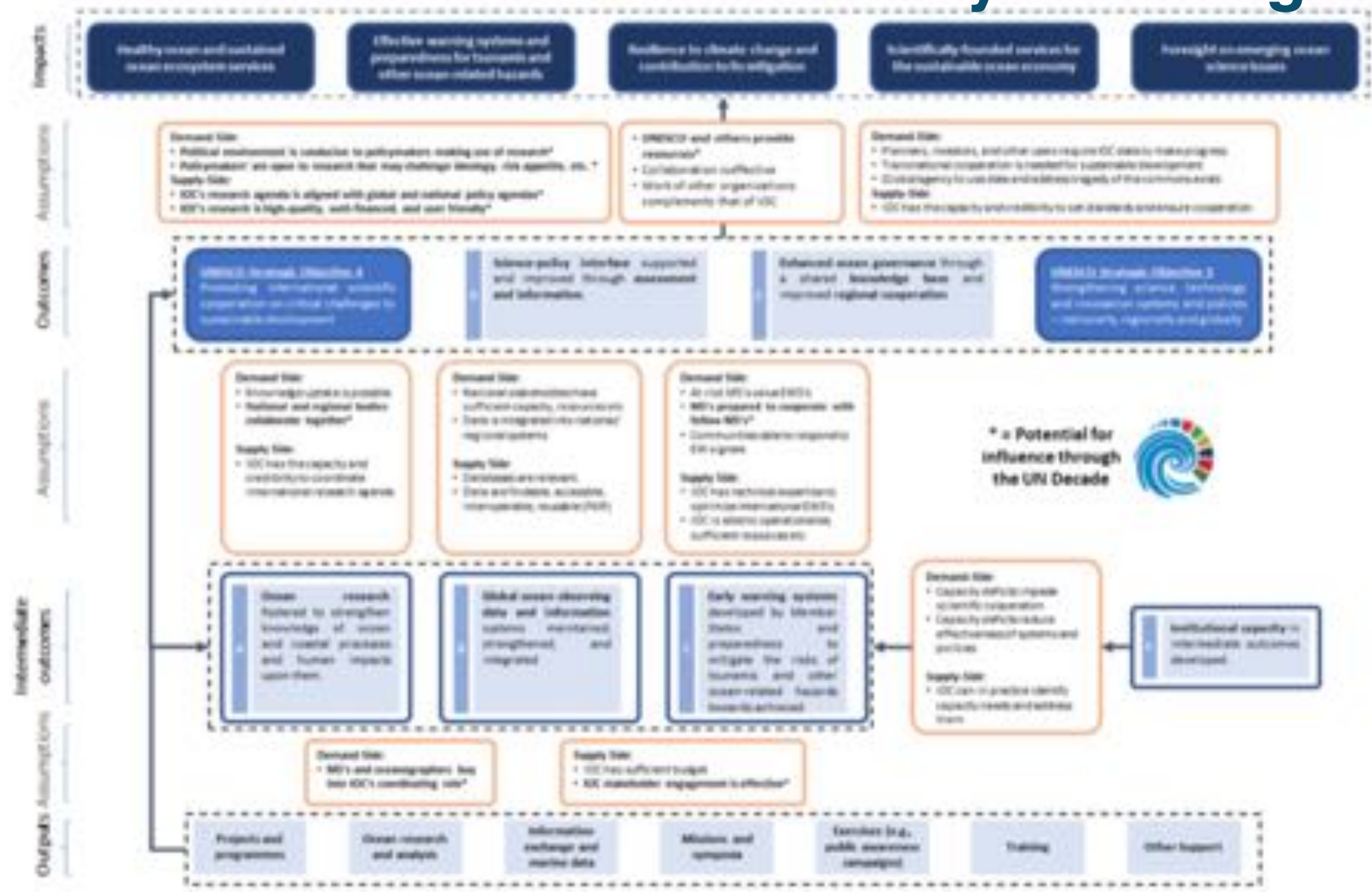


Figure 3: Science and Sustainable Ocean Management - A Theory of Change

# Theory of Change



# Key Findings (1)

**The work undertaken by IOC-UNESCO is increasingly relevant in the context of the Decade of Ocean Science for Sustainable Development and urgently needed to strengthen the sustainable management of the ocean**

**IOC-UNESCO has made vital technical contributions at the outcome level towards its high-level objectives, although an increasing number of actors have become active in this space**

**Nonetheless, IOC-UNESCO faces difficulties in engaging policy makers at the national level**

## Key Findings (2)

**Capacities have been developed at the individual and organizational levels but lack the necessary political will at national level to guarantee more sustainable results**

**The UNESCO global priority Gender Equality is not sufficiently resourced and lacks visibility in the ocean space within and outside IOC-UNESCO. While Priority Africa is well represented, attention to other UNESCO regional priority groups such as Pacific SIDS is considered as insufficient**

**IOC is not always fully recognized for its contributions not least as a result of inadequate communication**

# Key Findings (3)

**The UN Decade of Ocean Science is an important opportunity, but the absence of a clearly defined results framework could jeopardize its success**

**IOC-UNESCO and UNESCO have an opportunity to explore mutually beneficial ways of promoting the cultural, educational, and scientific dimensions of the Ocean**

**The optimal institutional relationship between UNESCO and IOC-UNESCO is yet to be clarified**

**IOC-UNESCO's activities increased over the last years, but its budget has not kept pace**



# Conclusions, way forward (1)

The **Decade is thus an opportunity** for IOC-UNESCO to reaffirm its global leading position and relevance to the members of UN Oceans, to policy makers and to the world at large in helping to bring about a more sustainable management of the ocean.

**Collaboration with other agencies to develop a monitoring framework with measurable indicators** should be prioritized to ensure an optimum allocation of resources and tasks.

Increasing decentralized work at the regional level, with existing regional networks and organizations

**Advisory services to Member States** at the national level, supporting the **capacity development and national policy development** in alignment with objectives laid out in SDG 14 of Agenda 2030.

# Conclusions, way forward (2)

IOC-UNESCO should fully assume its **role as steward of the ocean science agenda**

Promote **gender equality in leadership** positions

Explore the **optimal financial and organizational arrangements** to support Member States in decision-making in view of IOC-UNESCO's envisaged global positioning **in science-based ocean management and for leading the UN Ocean Decade** as well as to facilitate intersectoral collaboration

# 6 Recommendations

## Management response

### Retreat, 25 and 26 October 2021

**Session 1 Topic: Sustainable Ocean Management/Planning – What is Emerging and Needed?  
Recommendation in focus: #1 (resourcing and organizational setting for IOC, now and in the future)**

**Session 2 Topic: Influencing policy - How to Increase IOC's Impact and Optimize its Positioning?  
Recommendations in focus: #5 (increasing policy influence), #4 (better leveraging data and knowledge), and #6 (gender equality)**

**Session 3 Topic: UN Decade of Ocean Science – Ensuring Success  
Recommendations in focus: #2 (Decade results framework) & #3 (UNESCO and Decade)**

# IOC-UNESCO Strategic Positioning Evaluation and Recommendations

Draft Implementation Plan

15<sup>th</sup> December 2021

# Implementation Plan (1)

Proposed Action	Timeline for Completion	Responsibility
<p>Evaluation Recommendation 1: By September 2022 follow up on the request of the IOC-UNESCO 30th Assembly by estimating the necessary resources and accelerating the application of provisions of Article 10.4 of the IOC-UNESCO Statutes to effectively operate the IOC at an "optimal" level, as well as to determine the most appropriate organizational setting in view of IOC's envisaged global role in science-based ocean management and leading the UN Ocean Decade.</p>		
<p>Subject to IOC Officer views, obtain professional advice on the implications of utilizing Article 10.4 to attract additional funding to the Commission</p>	4/2022	
<p>Subject to legal advice (as above) on Article 10.4 , the Commission should develop a clearer framework and process through which Member States can provide in-kind support.</p>	9/2022	
<p>Produce an analysis of the current level of in-kind contributions from IOC Member States in order to raise visibility and encourage other potential contributors. This should include categorisations of the type of support provided and a proposal for a future reporting format.</p>	9/2022	
<p>In cooperation with the UNESCO Bureau of Strategic Planning, set up a Structured Funding Dialogue with a view to attracting new donors. To aid with this, identify a small group of member states, perhaps current main contributors, that could serve as advocates.</p>	12/2022	
<p>Identify high income Member States which are currently non-contributors of ordinary and in-kind support (beginning with members of the HLP) and then target the Commission's engagement and clarify its offer to attract further voluntary contributions.</p>	12/2022	

# Implementation Plan (2)

Proposed Action	Timeline for Completion	Responsibility
<b>Evaluation Recommendation 2: By June 2022, develop in partnership with other agencies a Results Framework for the United Nations Decade of Ocean Science for Sustainable Development, clearly identifying the objectives, intermediate objectives, indicators, and indicative owners across the UN System and wider in order to monitor and evaluate progress against the Decade's objectives.</b>		
Create a mechanism (e.g., Ocean Decade Science Policy Forum) to gather priorities and existing targets from UN System, Governments, and others which can be reflected in a Results Framework.	3/2022	
Develop a Results Framework for the Ocean Decade at the latest by end of 2022. The Results Framework should comprise at a minimum outcomes, intermediate outcomes, outputs, baselines, and indicative owners.	12/2022	
Define a set of clear mechanisms for monitoring progress of the Ocean Decade – e.g., (proposed) annual Ocean Decade reports and formal Mid-Term Review of the Decade in c. 2025.	12/2022	



# Implementation Plan (3)

Proposed Action	Timeline for Completion	Responsibility
<i>Evaluation Recommendation 3: By June 2022, determine how UNESCO can support the Decade</i>		
Link the Decade more closely to IOC's overall vision (i.e. Science we need...) and its comms strategy to drive further contribution to Ocean Decade.	3/2022	
Hire a dedicated Development staff member to support fundraising efforts for both the Ocean Decade and the Commission itself.	4/2022	
Request UNESCO make the ocean a Global Priority and position the Ocean Decade as the primary vehicle through which Member States can support the priority.	6/2022	
<i>UN-wide supporting actions:</i>		
Seek secondments to staff the Decade Coordination Unit from UN-Oceans agencies, or other actors such as WRI's Ocean Programme and the private sector.	3/2022	
Start a dialogue with other UN-Oceans bodies to help them better understand how they can support the Decade.	3/2022	
Make the provision of staff to the Decade Coordination Unit a precondition for participation in the Decade Alliance.	4/2022	
Create a systematic process for partners to integrate the Ocean Decade in their workplan (e.g., requesting Member States to raise the issue at other organizations).	6/2022	
Undertake a Stakeholder Mapping to discern where there is the most appetite for support for the Ocean Decade in and then focus the Commission's efforts on such stakeholders.	6/2022	

# Implementation Plan (4)

Proposed Action	Timeline for Completion	Responsibility
<b>Evaluation Recommendation 4: By June 2024, consider options for further exploiting IOC-UNESCO's data and knowledge base</b>		
Institute a Working Group across the Commission's Sections in order to develop a list of human EOVs - ocean health, wealth, wellbeing etc – e.g. for use in a State of the Ocean Report. If necessary, expand the Working Group to involve other actors such as the UN-Ocean agencies.	7/2022	
Develop processes for streamlining and facilitating the Commission's data pipeline so it can support the development of the human EOV indicators proposed above.	9/2022	
Seek funding to prepare a State of the Ocean report by 32 <sup>nd</sup> Session of the Assembly in 2023.	12/2022	

# Implementation Plan (5)

Proposed Action	Timeline for Completion	Responsibility
<b>Evaluation Recommendation 5: By June 2022, explore means of attracting additional senior policy engagement in the work of IOC-UNESCO</b>		
Effect a step change in communications effectiveness beginning with developing a <i>Communications Strategy</i> with assistance from a communications expert. The process should be participatory and include members of the Senior Management Team in order to agree upon the Commission's vision statement, and priority communications themes, audiences, and channels.	12/2022	
Produce an annual or bi-annual bulletin on the Commission's "Top Outcomes" which highlights its major achievements and demonstrates its continued value.	12/2023	
Clarify IOC's <i>Logo Policy</i> to ensure that the Commission has a consistent brand to include all regional and technical subsidiary bodies.	12/2022	

# Implementation Plan (6)

Proposed Action	Timeline for Completion	Responsibility
<b>Evaluation Recommendation 6: By June 2022, assume a leadership role in the area of gender equality and women's empowerment in marine science, supporting its existing data efforts such as the Global Ocean Science Report with dedicated action.</b>		
Request the advice of the Division for Gender Equality to develop Gender Guidelines for new committees established by IOC.	3/2022	
Institute a Working Group (to include gender experts from the Commission's UN-Oceans counterparts as well as UNESCO), to develop a roadmap through which gender can be better mainstreamed throughout the Decade.	3/2022	
Scope out companies that may be interested in supporting a Women in Ocean Science Award/Prize, including through UN Global Compact	5/2022	
Start a process to change the Commission's electoral rules to mandate, at a minimum, gender balance in candidates fielded for the position of Chair in each IOC Region and potentially a male and female co-chair for each Region.	6/2022	



# Current Decision in Actin Paper

Dec. EC-55/3.2

## **Internal Oversight Service Evaluation of the Strategic Positioning of IOC**

The Executive Council,

1. Taking note of the Draft Interim Action Plan in response to the IOS evaluation (212 EX/9, IOS evaluation report (IOS/EVS/PI/197) as presented in document IOC/EC-55/32.Doc(1),
2. Invites the Secretariat to reflect the discussions under this agenda item [or, if needed – and address the following specific points)] in preparing the final version of the Action Plan for consideration and adoption by the IOC Assembly.