

IOC GOVERNANCE AND MANAGEMENT

Ensuring alignment with the Statutes. Optimizing efficiency and effectiveness

- Previous IFAG presentations by the Exec Sec highlighted issues
- A need for appropriate oversight and delivery in line with IOC Statutes
- Consistent procedures in line with IOC Statutes
- Recognition of IOCs Functional Autonomy (as recently reflected in IOC Res EC-57/2)
e.g. allow IOC Secretariat representation, reduce IOC Secretariat time in UNESCO meetings
- Visibility of IOC
e.g. Communications, inclusion of IOC Secretariat at events, recognition given to IOC for Ocean initiatives

Further context, why we need to re-set IOCs working practices

- Challenges facing the ocean and the planet
- Broad mandate, beyond UNESCO, but with limited resources
- Unpredictable global situation and uncertain resources outlook
- Need to optimize effectiveness and resource efficiency
- Improve governance/management relationship in line with the Statutes
- Maximize IOC resource in the delivery of IOC MS wishes

The two key governing documents, bases for accountability:

- IOC Statutes
- IOC Medium-Term Strategy

IOC accountability framework

“The Intergovernmental Oceanographic Commission, hereafter called the Commission, is established as a body with functional autonomy within the United Nations Educational, Scientific and Cultural Organization (UNESCO)” (Art 1.1)

- The Commission was established in 1960 and was granted functional autonomy in 1987
- The Statutes also establish the IOC is “a competent international organization” (Art 3.1(c))
The term ‘competent international organization’ implies an obligation for the Commission as a recognized international body to respond to the requirements deriving from the Law of the Sea (such as BBNJ), or the UN Conference on Environment and Development (the Rio Conference), or other international instruments of relevance, such as UNFCCC and CBD

“The Commission defines and implements its programme according to its stated purposes and functions and within the framework of the budget adopted by its Assembly and the General Conference of UNESCO” (Art 1)

- “The financial resources of the Commission shall consist of (a) funds appropriated for this purpose by the General Conference of UNESCO” (Art 10.1 (a)) [..]”
- The Statutes distinguish responsibility for the programme, to be defined by the Commission; and the regular budget, as appropriated by the UNESCO General Conference. In turn, the Commission reports on its activities to the UNESCO General Conference (Art 3.2)

IOC accountability framework

“Membership of the Commission shall be open to any Member State of any one of the organizations of the United Nations system” (Art 4.A.1)

- A state can be member of the IOC while not being a member of UNESCO
- Hence the IOC needs to have distinct governance: the fundamental principle of equality between Member States
- This right includes any IOC Member State which is not a member of UNESCO

“The Assembly is the principal organ of the Commission and shall perform all functions of the Commission unless otherwise regulated by these Statutes or delegated by the Assembly to other organs of the Commission” (Art 6)

- The Statutes regulate that the UNESCO General Conference has two functions with regard to the IOC:
 - Approval of the budget (Art 1)
 - Approval of amendments to the Statutes (Art 12)
- All other functions are the authority of the IOC Assembly, unless delegated to other organs of the Commission: the Executive Council, the Secretariat or subsidiary bodies.
- The Assembly cannot delegate decision-making authority to UNESCO bodies such as the UNESCO Secretariat. Any such delegation would deprive non-UNESCO IOC Member States of the equal right to exercise control.

IOC governance and management

Governance: “The What”

- The process of making and enforcing rules, regulations and policies
- Setting clear strategic objectives and priorities
- Ensuring accountability for implementation and compliance

Management: “The How”

- The application of rules, regulations and policies
- Implementing strategic objectives and priorities
- Standing accountable to governing bodies

Optimal use of IOC financial resources

Programme planning and execution

- “The Commission defines and implements its programme” (Art 1)
- Distinction between programme and budget (Art 1)
- Align programme planning and execution with the IOC Medium-Term Strategy
- IOC Secretariat accountable for strategy implementation and programme execution under the authority of the Assembly and Executive Council (Art 6)
- Brings clarity, accountability and better resource management
- UNESCO C/5 not aligned with IOCs MTS

Function/Activity title	Imp. Unit	42 C/5 - Approved									
		Regular Budget					VC			Total IBF	
		Non-Staff		Staff		Total					
		\$	%	Posts	\$	%	\$	%	\$	%	
FUNCTION A - Ocean Research		522,778	6%	3,22	1,103,285	1,626,063	8%	1,053,247	4%	2,679,310	6%
WOPR	IOC	50,000									
Ocean Carbon Sources & Sinks	IOC	236,389									
CC Impact on ocean & coastal ecosystems	IOC	236,389									
FUNCTION B - Observing System & Data Management		2,957,473	34%	7,97	2,782,572	5,740,045	28%	6,582,791	25%	12,322,836	26%
GOOS design, development, engagement & impact	IOC	833,369									
GOOS Africa	NAI	109,328									
GOOS Regional Alliances											
PI-GOOS	BGR	71,881									
IOGOOS	JAK	71,881									
IOCARIBE-GOOS	CTG	71,878									
Observing system integration & delivery	IOC	363,429									
Ocean forecast systems & applications	IOC	138,026									
Africa InfoHub	NAI	120,000									
IODE & OBIS core systems	OSE	432,155									
IODE & OBIS products & services	OSE	432,155									
IODE & OBIS training & education	OSE	282,771									
FUNCTION C - Early Warning & Services		1,087,734	12%	7,62	2,321,337	3,409,071	16%	4,212,986	16%	7,622,057	16%
Promote integrated & sustained warning systems	IOC	329,389									
Tsunami-Ready - Educating communities at risk	IOC	128,850									
Tsunami-Ready - Caribbean	BRI	86,808									
Tsunami-Ready - Pacific	SUV	90,434									
Building capacities for assessment	IOC	163,814									
Building capacities for assessment Indian Ocean	JAK	117,100									
HAB & NIS Research & Monitoring	OPH	171,399									
FUNCTION D - Assessment & Information for Policy		585,584	7%	2,77	915,505	1,501,089	7%	1,316,558	5%	2,817,647	6%
Follow-up to SDGs, WOA & StOR	IOC	147,527									
GESCO	IOC	78,981									
Reducing nutrient enrichment	OPH	171,399									
CC adaptation in coastal zones Africa	NAI	93,087									
CC adaptation in coastal zones	IOC	95,000									
FUNCTION E - Sustainable Management & Governance		1,515,792	17%	8,40	3,221,494	4,737,226	23%	8,162,661	31%	12,899,887	27%
IOC Governing bodies	IOC	375,000									
IOCARIBE	CTG	80,000									
IOCAFICA	NAI	80,000									
WESTPAC	BGR	80,000									
INDIO	NDL	80,000									
IOC Communication & Outreach	IOC	187,711									
UN partnerships	IOC	199,500									
UN Decade preparation/coordination	IOC	196,000									
ICAM & MSP	IOC	237,521									
FUNCTION F - Capacity Development		2,033,951	23%	4,52	1,757,894	3,791,845	18%	5,727,921	19%	9,519,766	20%
CD & TMT & (GOSR & Ocean Literacy)	OSE	440,000									
GOSR	IOC	118,000									
CD IOCAFICA	NAI	434,944									
CD IOCARIBE	CTG	248,478									
CD WESTPAC	BGR	248,478									
CD INDIO	NDL	248,478									
IOC Contribution to Intersectoral Programme 2		325,000						725,000		1,050,000	
Ocean Literacy contribution to IP2											
IP2 - Ocean Literacy - programmatic coordination	VNI	68,426									
IP2 - Ocean Literacy - HQ	IOC	66,000									
IP2 - Ocean Literacy IOCAFICA	NAI	70,000									
IP2 - Ocean Literacy IOCARIBE	CTG	50,574									
IP2 - Ocean Literacy WESTPAC	BGR	50,574									
IP2 - Ocean Literacy INDIO	NDL	49,426									
IOC PROGRAMS NET OPERATIONAL BUDGET		8,703,252	1	34,50	12,102,087	20,805,339	1	27,056,164	1	47,861,503	1
Common country programming 1%		83,727								83,727	
Evaluations 3%		151,181								151,181	
IOC Training & Development		45,000								45,000	
IOC Operating costs		49,439						100,000		149,439	
TOTAL NON STAFF		9,032,999									
TOTAL STAFF COSTS		12,102,087									
TOTAL		21,134,686				21,134,686		27,156,164		48,290,850	

Optimal use of IOC financial resources

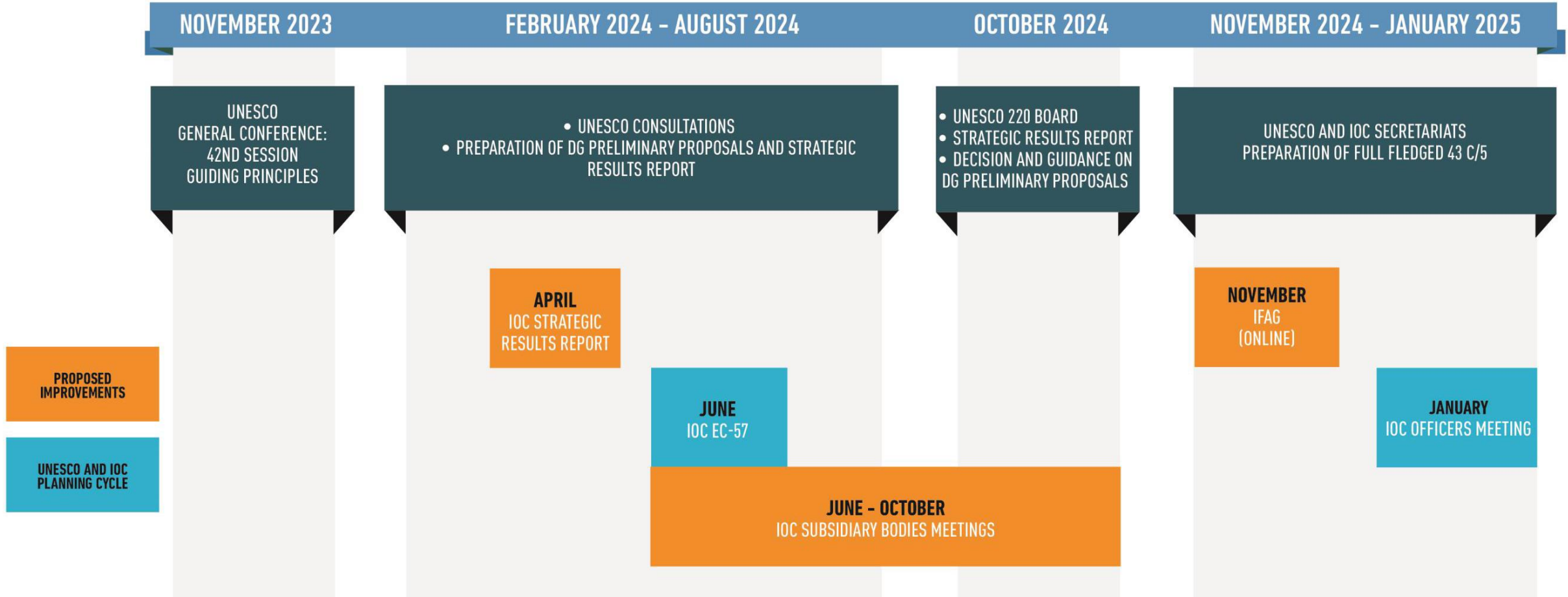
Financial resources management

- Regular budget “appropriated by” UNESCO General Conference (Art 10.1(a))
- IOC reports on this directly to the General Conference (Art 3)
- Other funding requires IOC management (Art 10.1)
 - (b) contributions by Member States of the Commission that are not Member States of UNESCO;
 - (c) such additional resources as may be made available by Member States of the Commission, appropriate organizations of the United Nations system and from other sources.

Examples of where UNESCO should not have control/or benefit:

- Dedicated IOC Grant Funding e.g. EU
- In-kind funding e.g. from a non-UNESCO MS
- Philanthropy funding e.g. into IOC Special Account

IOC reporting



- Current timeline out of sync, UNESCO requirements for early part of the year do not allow IOC to adopt appropriate reports
- UNESCO reporting requirements in C/5 not aligned with IOC priorities
- Obligation is for IOC to prepare regular reports on its activities, which shall be submitted to the General Conference of UNESCO (Art 3.2)

IOC human resources

Human resources management

- Secretariat headed by “the Executive Secretary” (Art 8)
- Recruitment processes and decisions - with due regard to the applicable Staff Regulations and Staff Rules of UNESCO (Art 8.1)
- Staff positions required for programme implementation in close interaction with Member States – specialist skills
- Lines of authority HQ, programme offices, regional offices



Representation of IOC

Multilateral processes and Member State engagement

- Collaboration is part of the very purpose of IOC (Art 2.2)
- Coordination is also a programmatic function (Art 3.1(a))
- A “competent international organisation” (Art 3.1(c))
- Independent accreditation and relations
- Subsidiary bodies and Member State priorities

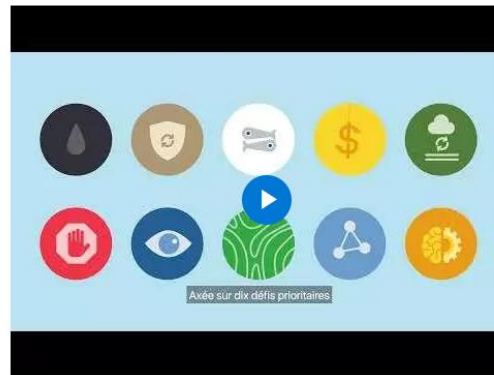


IOC visibility

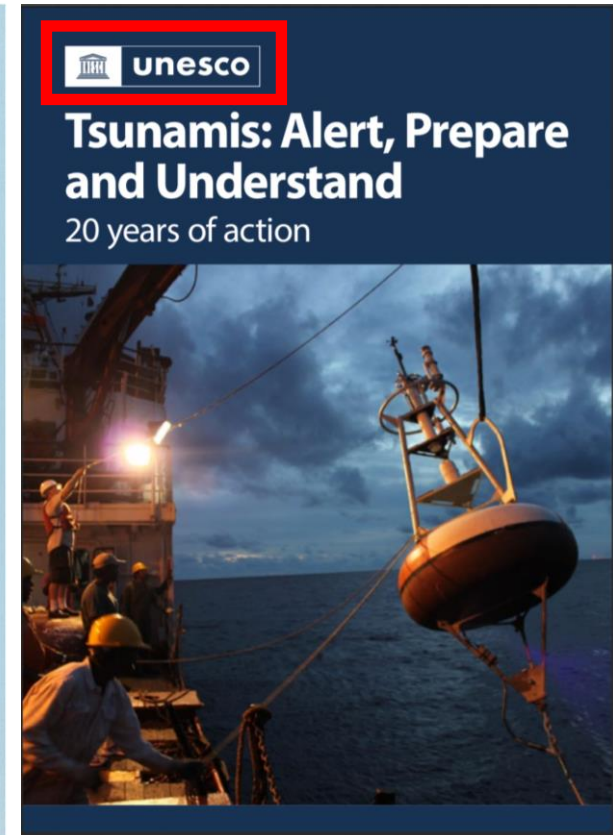
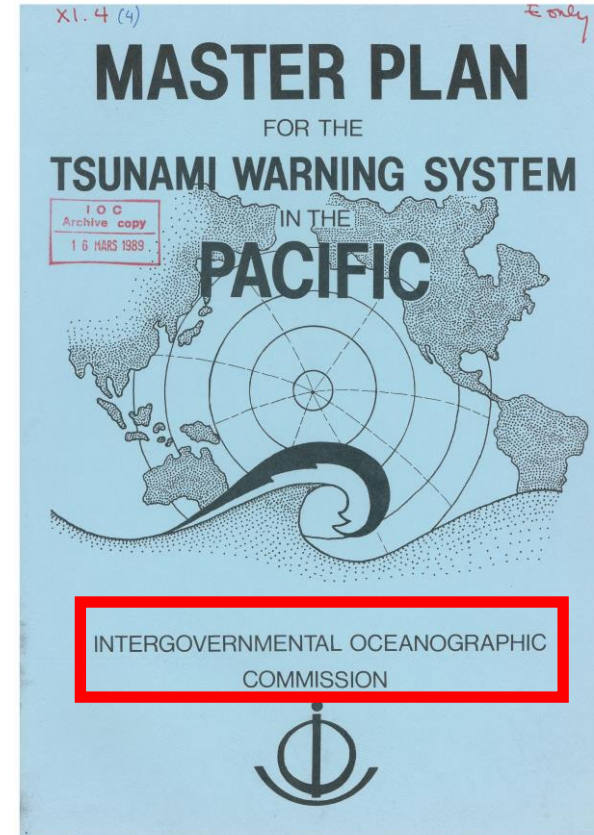
- Communications is a programmatic function
- Publications are IOC Member State expert outputs
- Visual identity is about effectiveness for a “competent international organisation” in the area of ocean science and management
- Representation of IOC, via the Executive Secretary, at events or meetings with High Level Stakeholders etc
- IOC credibility and its responsibilities

UNESCO is leading the implementation of the [United Nations Decade of Ocean Science for Sustainable Development \(2021-2030\)](#), a once-in-a-lifetime opportunity for scientists and stakeholders from diverse sectors to develop the scientific knowledge and the partnerships needed to accelerate and harness advances in ocean science to achieve a better understanding of the ocean, and deliver science-based solutions to achieve the 2030 Agenda.

Screenshot taken from:
<https://www.unesco.org/en/ocean>



UNESCO



UNGA Resolution A/RES/72/73: 292. [...] and calls upon **the Intergovernmental Oceanographic Commission** to prepare an implementation plan for the Decade; 293. Requests that the **Intergovernmental Oceanographic Commission** provide information on the development of the implementation plan; 294. Invites the Secretary-General to inform the General Assembly [...], on the basis of information to be provided by the **Intergovernmental Oceanographic Commission**;

(Immediate) remedial actions

- A need to replace the IOC text in the C/5 report, with one that focusses on the budget only e.g. ZNG scenarios for IOC (discussions started at the UNESCO Executive Board in March, finalised by the Autumn)
- Have the Assembly adopt a report on IOC Activities, including budgetary information, and send to UNESCO GC (this is to provided by the Secretariat)
- Ensure IFAG as an “intermediary” with greater oversight during the intersessional periods (is there a need to revise the ToRs?)
- Draft text to include in the *Governance Resolution* (by the Finance Committee during the Assembly)
- Inform UNESCO of the Info Doc and IOC MS views on FA (via sharing the Resolution?)