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INFORMATION DOCUMENT

**REPORT OF THE INTERSESSIONAL WORKING GROUP ON REGIONAL
PROGRAMMES AND THE ROLE OF IOC REGIONAL SUBSIDIARY BODIES**

Summary: This document was prepared by the Secretariat, under the guidance of the Vice-Chairman in charge of Regional Affairs, Prof. Mário Ruivo, and presents the findings and recommendations of the intersessional Working Group on Regional Programmes and the Role of IOC Regional Subsidiary Bodies established by Resolution XXIII-6 to assess the efficiency and effectiveness of IOC Regional Subsidiary Bodies. This document was presented to the IOC Assembly at its 24th Session (Paris, France, 19–28 June 2007) together with working document IOC-XXIV/2 Annex 8.

1. Introduction

The purpose of this paper is to assess the efficiency, effectiveness and potentialities of IOC Regional Subsidiary Bodies in delivering IOC programmes regionally, as requested by IOC Resolution XXIII-6, Regional Cooperation in Marine Science and Technology and the Role of the IOC Regional Subsidiary Bodies (Appendix 1). The paper presents the findings and recommendations of the Working Group on Regional Programmes established in 2006 pursuant to the above resolution under the Chairmanship of the Vice-chairman for Regional Affairs.

Resolution XXIII-6 recognized the long tradition of IOC in implementing regional programmes and the regional components of its global programmes through Regional Subsidiary Bodies. It further recognized the need to maintain these activities at appropriate level to fulfil the role of IOC as the sole organization within the UN system concerned exclusively with ocean sciences and services. The Resolution recommended that in the light of the current UNESCO's policy of zero nominal growth and its impact on IOC regular budget concrete measures must be taken to balance between the Commission's different activities as well as between global and regional activities.

In this context, Resolution XXIII-6 recommended that the role of Regional Subsidiary Bodies be made more effective and efficient, by correcting deficiencies, improving communication and interactions and ensuring a comprehensive regional programme within the Commission's Main Lines of Action. It urged Member States to increase the involvement of their national IOC contact points in the development of regional work plans and encouraged IOC Regional Subsidiary Bodies to increase interactions and coordination with other organizations in their respective regions, identify capacity-building requirements and promote the formulation of proposals to donor agencies, and raise awareness of their work.

Resolution XXIII-6 also instructed the IOC Executive Secretary to arrange a meeting of the regional Chairpersons in conjunction with each session of the Assembly, schedule the meetings of the Regional Subsidiary Bodies to be in phase with the IOC planning cycles, and to take into account the need of each Regional Subsidiary Body for biennial funding for regional coordination activities and for the mobilization of extra-budgetary resources for the Commission's regional activities. The Resolution further instructed the Executive Secretary to create an intersessional Working Group to examine the issue and provide recommendations to the IOC Governing Bodies.

2. The Intersessional Working Group on Regional Programmes

Resolution XXIII-6 instructed the IOC Executive Secretary to create an Intersessional Working Group, composed of the Chairpersons of Regional Subsidiary Bodies and involving all interested Member States, and conducting business through electronic means, to:

- (i) Assess the present efficiency and effectiveness of the Commission's regional programmes using quantifiable indicators that consider the categories of core, extra-budgetary and leveraged funding, and the impact of results;
- (ii) Assess the role of regional activities in the long-term plans of the Commission and prepare a realistic scenario of the resources required in the immediate, medium and long term; and
- (iii) Report on progress to the Executive Council at its 39th Session.

Resolution XXIII-6 requested the Executive Council to consider the progress report of the Intersessional Working Group at its 39th Session in 2006 and to reflect the results as appropriate in the IOC Medium-Term Strategy 2008–2013.

Through Circular Letter 2192 of 14 April 2006, the Executive Secretary established the Intersessional Working Group on Regional Cooperation and the Role of the IOC Regional

Subsidiary Bodies. Under the Chairmanship of the Vice-chairman for Regional Affairs, Prof. Mário Ruivo, the Working Group involved the participation of the Chairpersons of the two IOC Sub-commissions—IOCARIBE and WESTPAC—as well as of the four IOC Regional Committees—BSRC, IOCEA, IOCINDIO, and IOCWIO. It also involved representatives from a number of interested Member States—Australia, Cuba, Finland, Iran, Kenya, Republic of Korea, Maldives, Nigeria, Sri Lanka, Ukraine, Venezuela and the USA.

The Working Group operated from April to December 2006 through consultation among the members. The meeting of the IOC Subsidiary Bodies held on 20 June 2006 in Paris examined its preliminary work and considered background information and proposals for its continuation to be transmitted to the Executive Council. Following the report of the Vice-chairman in charge of Regional Affairs (agenda item 4.5.4), the Executive Council at its 39th Session extended the mandate of the Working Group until the 24th Session of the Assembly, to allow it to complete its work, organize an information session immediately prior to the Assembly, and to report to it.

Following the decision of the Executive Council, the Working Group met on 24 June 2006 in Paris and provided further insights on the role of regional programmes and Regional Subsidiary Bodies within the work plans of the Commission. The Vice-chairman in charge of Regional Affairs reported on progress with the activities of the Working Group to the meetings of the IOC Officers held on 25–27 January 2007 in St. Petersburg and on 26–27 March in Paris. The activity of the Working Group will be finally reviewed at the meeting of IOC Regional Subsidiary Bodies to be held on 18 June 2007 just before the 24th Session of the Assembly.

3. Approach and materials

The study presented in this paper has a descriptive purpose: its aim is to present the Governing Bodies of the IOC an appraisal of the status of IOC Regional Subsidiary Bodies. The analysis of the efficiency, effectiveness and potentialities of the IOC Regional Subsidiary Bodies focused on the two Sub-commissions—IOCARIBE and WESTPAC—and the four regional committees—BSRC, IOCEA, IOCINDIO and IOCWIO—and covered the period 2002–2007. The analysis was based on the set of indicators indicated in Table 1. The first two indicators, related to efficiency, are included in UNESCO's System of Information on Strategies, Tasks and the Evaluation of Results (SISTER). The analysis looked also at issues of governance, considering the consistency of the work of the IOC Regional Subsidiary Bodies with the IOC priorities.

Table 1 Efficiency, effectiveness and potentiality indicators

Focus	Indicators and metrics
Efficiency	<ul style="list-style-type: none"> – Core and extrabudgetary funding (USD) – Degree of implementation of work plans (%)
Effectiveness	<ul style="list-style-type: none"> – Leveraged funding (USD) – Results achieved (<i>qualitative assessment</i>)
Potentiality	<ul style="list-style-type: none"> – Cooperative agreements in the regions (no./type) – Regional activities in IOC C/4 and C/5 (<i>qualitative assessment</i>)

The study was of a desktop nature and involved the following methods and materials:

- Reviewing previous studies on regional programmes carried out by IOC, most notably documents IOC/ECXXXVII/2 Annex 12, “*Concept Paper on the Modalities of Implementation of IOC Programmes in Regions*”, and IOC-XXIII/2 Annex 5, “*Enhancing the Effectiveness of Regional Co operation in Marine Science and Technology and the Role of the IOC Regional Subsidiary Bodies*”, to examine the role and work of the IOC

Regional Subsidiary Bodies and regional activities, with particular reference to their contribution to the capacity-building priorities of the Commission;

- Reviewing the resolutions of Governing Bodies concerning IOC Regional Subsidiary Bodies to gain an understanding of the issues being underlined by the Governing Bodies in relation to the Commission's regional programmes and activities;
- Reviewing IOC reports on budget execution covering the period 2002–2007 to verify the evolution of funding of IOC Regional Subsidiary Bodies through core and extrabudgetary sources as well as the rate of execution of associated activities;
- Reviewing official reports provided by IOC Regional Subsidiary Bodies allowed to obtain an understanding of their progress with the implementation of work plans;
- Discussion with the members of the Working Group either in person or through electronic means to obtain insights on the role and situation of Regional Subsidiary Bodies and perspectives on their enhancement in the short-, medium-, and long-term plans of the Commission;
- Administering a questionnaire to IOC Regional Subsidiary Bodies to elicit information on current structure, main lines of activities, strategic alliances, project portfolios, products and outcomes; and
- Collecting additional comments by Member States to understand their perception of the usefulness of IOC Regional Subsidiary Bodies.

Questionnaires (Appendix 3) were returned by IOCARIBE, WESTPAC, BSRC and IOCINDIO. Additional comments were received from three Member States.

4. Findings

The findings relate primarily to the three dimensions that were the focus of the study—efficiency, effectiveness, and potentiality—as well as in overall terms and are presented in subsections and then summarized in tabular form.

4.1 Status of IOC Regional Subsidiary Bodies

Regional Sub-Commissions and Regional Committees were created as intergovernmental bodies subsidiary to the Commission to promote, develop and coordinate or supervise the marine scientific research programmes of the Commission and to respond, within their mandates and capacity, to the requisites of their Member States. In particular, the Regional Sub-Commissions are responsible for the promotion of, development and coordination of the Commission's marine scientific research programmes, the ocean services and related activities, including the programme on Training, Education and Mutual Assistance (TEMA). More precisely,

Regional Sub-Commissions are intergovernmental subsidiary bodies of IOC, responsible for the promotion, development and coordination of the marine scientific research programmes, the ocean services and related activities, including Training, Education, and Mutual Assistance (TEMA) in their respective regions. In establishing their programmes, they should take into account the specific interests and needs of the Member States in the region. In carrying out the above work, it is mandatory that regional Sub-Commissions collaborate closely with IOC's subsidiary bodies concerned with global activities within their field of competence.¹

¹ Guidelines for the Structure and Responsibilities of IOC Sub-Commissions, Annex V to the Summary Report Doc. SC/MD/73 of the Twelfth Assembly of IOC (1982). See also Section V of *IOC Manual* (1989), doc. IOC/INF-785.

Regional Committees are responsible for the promotion, coordination and supervision in their region of the scientific and service activities of the Commission. IOC Regional Subsidiary Bodies represent an essential instrument for the regional delivery of the programmes of the Commission, be they global or regional in nature.

Concerning the governance of IOC Regional Subsidiary Bodies, each body includes participating Member States, the Board of the Officers, the Secretariat, and Groups of Experts. The latter, in particular, are small temporary subsidiary bodies, composed by experts selected for their scientific or technical expertise, that have been created essentially for a project implementation role.

While recognizing the underlying, long-lasting and relatively successful regionalization of IOC programmes and that IOC Regional Subsidiary Bodies are necessary to ensure a firm basis for the effective fulfilment of the Programme and Budget of the Commission and to meet the expectations of the Member States, the review identified essential limitations to the efficient and effective implementation of regional programmes and activities in:

- (i) the chronic shortage of resources relative to the declared needs of the Member States;
- (ii) the widening mismatch between the Commission's agreed programmes and the resources available to implement them effectively; and
- (iii) the declining capacity of UNESCO to support IOC's regional and global programmes through its Regular Budget.

Currently, IOC global programmes and ocean services that call for a regional implementation (e.g., coral reef monitoring, harmful algal blooms, monsoon prediction, major oceanic oscillations) follow the ecosystemic structure and management of the marine environment (e.g., large marine ecosystems, major ocean current systems, integrated coastal area management) and focus largely on integrated coastal research in the coastal zone interface, while the scope of the Regional Subsidiary Bodies of the Commission is based on geographical, historical, and political boundaries. As a consequence, there is a need to adapt existing Regional Subsidiary Bodies to correspond better to the scientific investigations being developed at the level of large marine ecosystems; in this regard, the participation of IOC in Large Marine Ecosystem projects should be followed-up with particular attention.

In the appraisal of document IOC-XXIII/2 Annex 5, the main successes of IOC Regional Subsidiary Bodies in their respective regions lie in their capacity to promote advancements in marine scientific research, raise awareness of marine issues, develop national capacities for marine science, foster regional cooperation, and, up to now and to a lesser extent, promote good governance and improved decision-making for the management of marine and coastal resources and contribute with scientific information and data to all processes. Constraints at both national and international level refer primarily to the limited awareness of the importance of the oceans, insufficient resources and means to participate in regional activities on a sustained basis, and lack or weakness of national institutions in charge of marine science, as well as weakness in national liaison mechanisms with IOC.

Table 2 – Successes and constraints of IOC Regional Subsidiary Bodies

Components	Successes	Constraints	
		Nationally	Internationally
<u>Scientific advancements</u>	Completion of major regional studies and contribution to the acquisition of scientific knowledge, data and information on the oceanic phenomena and processes and their interactions with human activities.		
<u>Awareness raising</u>	Increased awareness of Member States of the role of ocean sciences to management coastal and marine areas and resources and contribute to economic development.	Remaining shortfalls in awareness of the value of the oceans and their contribution to national development.	
<u>Capabilities and capacity building</u>	Development of national capacities to participate more effectively in IOC regional and global programmes.	Scientific and technological institutions with very limited resources and means, hampering their effective participation in IOC regional programmes and activities.	Insufficient staff, facilities and financial resources to support regional bodies effectively and implement regional programmes and activities.
<u>Co-operation and coordination</u>	Increased level of cooperation among Member States in a given region and of global partnership.		Lack of coordination among regional and/or international bodies in pursuing the same developmental objectives in a given region.
<u>Decision making</u>	Increased involvement of Member States in IOC decision-making, balancing global and regional programme components.	Lack or weak IOC national commissions or equivalent bodies to coordinate and facilitate the involvement of national institutions in IOC programmes and activities.	

However, given the limitation of quantitative data and well-defined long-term goals, objectives, targets, indicators, and benchmarks for Regional Subsidiary Bodies and regional activities, it appears difficult to properly appraise the status and contribution of Regional Subsidiary

Bodies to the development of marine sciences for better management and conservation of marine resources.

A particular aspect that deserves attention concerns the geographical scope of IOC Regional Subsidiary Bodies; in this regard, the following points can be highlighted:

- (i) Currently, IOC global programmes and ocean services that call for a regional implementation (e.g., coral reef monitoring, harmful algal blooms, monsoon prediction, major oceanic oscillations, monitorization, GOOS modules) follow the ecosystemic structure and management of the marine environment (e.g., large marine ecosystems, major ocean current systems, integrated coastal area management) and focus largely on integrated coastal research in the coastal zone interface,² while the scope of the Regional Subsidiary Bodies of the Commission is based on geographical, historical, and political boundaries—*As a consequence, there is a need to adapt existing Regional Subsidiary Bodies to correspond better to the scientific investigations being developed at the level of large marine ecosystems. In this regard, the participation of IOC in Large Marine Ecosystem projects should be followed-up with particular attention.*³
- (ii) Following the 23rd Assembly, four regional intergovernmental coordination groups for tsunami early warning and mitigation systems (ICG/TWSs), conceived in a multi-hazard context, and related working groups/task teams have been established—*As a consequence, there is a need to ensure that recently-established regional activities in this field operate in synergy with the already existing Regional Subsidiary Bodies.*
- (iii) A number of cooperative agreements between IOC and regional organizations, programmes and projects are into force (e.g., with the Permanent Commission for the South Pacific – CPPS, UNEP Global Programme of Action for the Protection of the Marine Environment from Land-based Activities – UNEP/GPA, or the UNESCO/UNITWIN Network on Wise Coastal Practices on Sustainable Human Development, for the Baltic Sea)—*Such agreements provide an opportunity for IOC involvement in regions where the existence of regional organizations would not justify the creation of IOC Regional Subsidiary Bodies and their implementation should be followed-up in synergy with other regional or cross-cutting priorities.*

4.2 Support to, and efficiency of, IOC Regional Subsidiary Bodies

The composition of the IOC programme and budget has evolved in the last three biennia, as follows:

- (i) in 2002–2003, IOC had three Main Lines of Action (MLAs) and regional programmes, jointly with TEMA, where incorporated in all MLAs;
- (ii) in 2004–2005, IOC had five MLAs and regional programmes, jointly with Capacity Building, were part of MLA 5;
- (iii) in 2006–2007, IOC had three MLAs and regional programmes were part of MLA 3.

Table 3 shows the role of Regional Subsidiary Bodies and their net budget allocations in IOC budget over the period 2002–2007.

² Cf. the recommendations from the report of the Advisory Group on Ocean Sciences (AGOS) and document IOC/EC-XXXIX/2 Annex 6, “A Proposal to Establish a GOOS-GTOS Joint Panel for Integrated Coastal Observations”.

³ Large marine ecosystems have been considered an appropriate management scale for the marine environment following the recommendations of Agenda 21; see, e.g., the Report of the Second UN Open-ended Consultative Process on Ocean Affairs (document A/56/121).

Table 3 Regional Subsidiary Bodies in IOC Regular Budget (in US\$)

	2002–2003	2004–2005	2006–2007	2008–2009
Main Lines of Action	MLA 1 – Ocean Sciences MLA 2 – Global Observing System MLA 3 – Ocean Services	MLA 1 – Ocean Science MLA 2 – Global Observing System MLA 3 – Ocean Services MLA 4 – Policy MLA 5 – Capacity-Building and Regions	MLA 1 – Ocean Science MLA 2 – Ocean Observation and Services MLA 3 – Policy and Capacity-Building	
Actions	Regional programmes represented in all three MLAs	MLA 5, Action 2 – Regional Programmes	MLA 3, Action 3 – Coordination of IOC Regional Activities	
Overall allocation for IOC (net)	2,861,100	4,335,600	3,319,300	
Overall allocation for Regional Subsidiary Bodies (net)	256,800	645,000	355,000	
Percentage of IOC budget	9%	15%	11%	

The overall net allocation to regional programmes in the IOC Regular Budget of the last three biennia has been between \$256,800 and \$645,000, representing between 9% and 15% of the overall net IOC budget and 12% over the whole period 2002–2007. For the biennium 2008–2009, in UNESCO's 34 C/5 two MLAs have been assigned to IOC, one related to oceans and coastal zones, the other related to tsunamis and other marine hazards. It should be noted that the biennium 2004–2005 can be considered exceptional for the large envelope provided to IOC by UNESCO.

Concerning the allocation from the regular programme to the individual Regional Subsidiary Bodies, jointly the two Sub-commissions have represented about 70% of the contribution of IOC regular budget to Regional Subsidiary Bodies over the period 2002–2007, or \$882,165 over \$1,256,800 (Table 4).

Table 4 Contribution of IOC Regular budget to Regional Subsidiary Bodies (in US\$)

RSB	2002-2003	2004-2005	2006-2007	Total	Percentage
IOCARIBE		209,110	230,000	439,110	35%
WESTPAC	120,400	197,655	125,000	443,055	35%
BSRC		110,964		110,964	9%
IOCWIO	23,500	78,545		102,045	8%
IOCINDIO		44,650		44,650	4%
IOCEA	5,000	4,076		9,076	1%
Regional activities	107,900		48,700	156,600	12%
Total	256,800	\$645,000	355,000	1,256,800	
Total IOC	2,861,100	4,335,600	3,319,300	10,516,000	
Percentage RSB	9%	15%	11%	12%	

The budget item “regional activities” refers to contributions to regional activities not earmarked for any specific Regional Subsidiary Body. From the standpoint of the execution rate this has always been of 100%.

Over the last three biennia, Regional Subsidiary Bodies and activities have benefited from significant voluntary contribution of Member States to the IOC Special Account (Table 5), representing overall 27% of the regular budget over the whole period 2002–2007.

Table 5 Extrabudgetary contributions to Regional Subsidiary Bodies (IOC Special Account) (in US\$)

RSB	2002–2003	2004–2005	2006–2007	Total
IOCARIBE	55,700	130,285	20,000	205,985
WESTPAC	42,279	20,000	40,000	80,000
BSRC				
IOCWIO	4,000			
IOCINDIO				
IOCEA				
Regional activities	53,004			53,003
Total extrabudgetary	154,983	150,285	60,000	365,268
Regular programme	256,800	645,000	355,000	1,256,800
Total (regular + EB)	411,783	795,285	415,000	1,622,068
Percentage extrabudgetary	38%	19%	14%	23%

Overall, however, there has been a declining trend in such contributions, representing from 38% of the overall budget of Regional Subsidiary Bodies in the biennium 2002–2003 to 14% in the biennium 2006–2007. Such extrabudgetary contributions have been provided by five countries, namely, the United States (\$147,200), China (\$100,000), Canada (\$58,785), France (\$57,004), and the Republic of Korea (\$2,279), the first two countries representing almost 70% of the total of extrabudgetary contributions.

During 2002–2006, Member States’ contributions to specific earmarked projects, including UNESCO funds-in-trust, have provided significant resources for the implementation of IOC projects in regions, especially in the Indian Ocean region and in Africa (Table 6).

Table 6 Earmarked contributions of Member States (in US\$)

Region	Project	Source	2002	2003	2004	2005	2006
Indian Ocean	TWS	UNESCO				1,000,000	
	TWS Centre	UNDP				81,400	
	TWS	UN-ISDR				3,193,400	15,120
	TWS	Norway				1,842,465	
	TWS	Ireland				600,690	
	Tsunami info centre	Canada					438,596
Africa	ICAM ACCC	GEF/UNDP				700,000	
	ODINAFRICA	Flanders	1,338,150	102,062	512,877	1,361,743	
	E-library	Flanders			69,140	41,960	
	Internet access	Flanders		19,910			
	Training of scientists	Flanders	7,257				
	Information guides	Flanders	12,268				
Africa (Cont'd)	Discov. of oceanogr.	Flanders	8,800				
	Oceanogr.	Flanders	28,380				

Region	Project	Source	2002	2003	2004	2005	2006
	Databases						
	Associate expert	Italy					247,500
Mediterranean	ADRICOSM	Italy				1,184,830	
	NEAMTWS	Italy				121,065	
Caribbean	CLME	GEF/UNDP	18,838				700,000
Eastern Asia and the Pacific	Associate expert	Japan	77,322	87,005	89,600		
	WESTPAC	Japan	75,000	66,001			
	WESTPAC HAB	Japan					19,210
	TTR	Japan					21,357
Western Asia	Groundwater Caspian	GEF/UNDP					50,000
Total			1,566,015	274,978	671,617	10,127,553	1,491,783

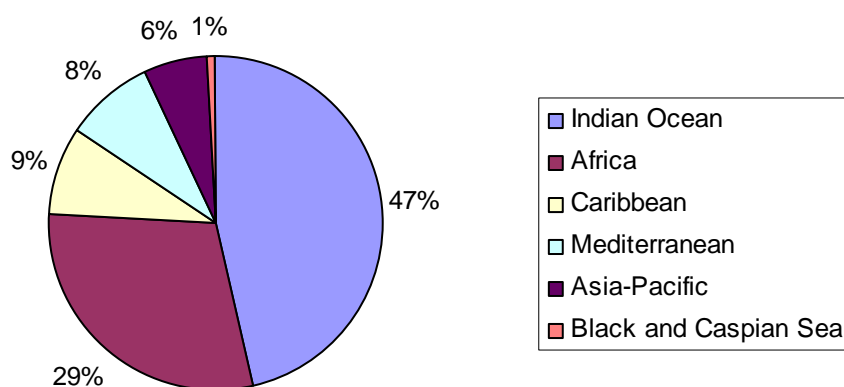
Overall, the contributions of Member States to earmarked activities in regions amounted to \$ 14,131,946 during 2002–2006. Broken down by region they provide the following amounts: (a) Indian Ocean, \$ 7,161,671; (b) Sub-Saharan Africa, \$ 4,450,047; (c) Mediterranean, \$ 1,305,895; (d) Caribbean, \$ 718,838; (e) Eastern Asia and the Pacific; and (f) Central Asia, \$ 50,000. A summary table of the expenditures of the IOC—regular programme, special account, and earmarked—in its regions can then be constructed (Table 7).

Table 7 Summary of IOC expenditures in regions (in US\$)

Region	Source	2002–2003	2004–2005	2006–2007	Total
Indian Ocean (IOCINDIO region)	Regular programme		44,650		44,650
	Special account				
	Earmarked (2006)		6,717,955	453,716	7,171,671
	Subtotal		6,762,605	453,716	7,216,321
Africa (IOCWIO and IOCEA regions)	Regular programme	28,500	82,621		111,121
	Special account	4,000			4,000
	Earmarked (2006)	1,516,827	2,685,720	247,500	4,450,047
	Subtotal	1,548,327	2,768,241	247,500	4,565,168
Caribbean (IOCARIBE region)	Regular programme		209,110	230,000	439,110
	Special account	55,700	130,285	20,000	205,985
	Earmarked (2006)	18,838		700,000	718,838
	Subtotal	74,538	339,395	950,000	1,363,933
Eastern Asia and the Pacific (WESTPAC region)	Regular programme	120,400	197,655	125,000	443,055
	Special account	42,279	20,000	40,000	102,279
	Earmarked (2006)	305,328	89,600	40,567	435,495
	Subtotal	468,007	307,255	205,567	980,829
Mediterranean	Regular programme				
	Special account				
	Earmarked (2006)		1,305,895		1,305,895
	Subtotal		1,305,895		1,305,895
Black Sea	Regular				

Region	Source	2002–2003	2004–2005	2006–2007	Total
(BSRC region)	programme				
	Special account		110,964		110,964
	Earmarked (2006)				
	Subtotal		110,964		110,964
Caspian Sea	Regular programme				
	Special account				
	Earmarked (2006)			50,000	50,000
	Subtotal			50,000	50,000
TOTALS		2,090,872	11,594,355	1,906,783	15,593,100

While the biennium 2004–2005 has to be considered exceptional due to the generous expression of solidarity of the international community towards the countries of the Indian Ocean affected by the 2004 tsunami, the summary table shows that both in 2002–2003 and 2006–2007 about \$ 2 million or an amount corresponding to little less than two-thirds of the IOC regular budget have been distributed in regions, for a total of \$ 15,593,100.



IOC contributions in regions 2002–2007

Besides the special case of the Indian Ocean, it is particularly important to underline the role of Africa, especially eastern Africa, in earmarked contributions. Therefore, the relatively limited contributions provided by IOC, due to its budget availabilities, to Regional Subsidiary Bodies, are counterbalanced by the very significant broker role of IOC in mobilizing bilateral and multilateral funds for projects of interest of Member States in the target regions of the Commission.

Vis-à-vis the current budgetary constraints of the Commission, it appears therefore that:

- (i) voluntary contributions of a limited number of Member States have targeted almost exclusively the two Sub-commissions;
- (ii) they represent an important contribution but not a solution to the budgetary difficulties of IOC Regional Subsidiary Bodies;
- (iii) mobilization of voluntary contributions offer potentiality for growth of Regional Subsidiary Bodies, if they show the usefulness to respond to the objectives of the Member States concerned.

The two Sub-commissions are staffed by IOC (one head and one assistant, hired in temporary positions) and by personnel made available by the hosting countries, Colombia and Thailand. The hosting countries make facilities available to host the Sub-commissions.

Area	Programme	IOCARIBE	WESTPAC	BSRC	IOCEA	IOCINDIO	IOCWIO
	Awareness raising	The Know Why Network					

Results achieved by IOC Regional Subsidiary Bodies are varied, but from the feedback received through this exercise, the following can be highlighted:

- (i) A significant number of experts have been trained in a series of marine science and services thanks to the active role of IOC Regional Subsidiary Bodies;
- (ii) Strengthened capacity of IOC Member states to cope with and fulfil regional conventions and protocols;
- (iii) Improved Member States governance, and its mechanisms; and
- (iv) A better knowledge of the ocean regions concerned, regarding the fate of the marine environment (e.g., pollution).

Member States have been requested by the Executive Secretary to comment on the effectiveness and usefulness of IOC Regional Subsidiary Bodies to the development of marine science and its application for management. Comments received emphasize the important role of Regional Subsidiary Bodies as coordination mechanisms contributing to promote international cooperation, coordination and commitment in research programmes, ocean services, and capacity-building in marine sciences, including for the study of shared large marine ecosystems. IOC Regional Subsidiary Bodies have also been instrumental in facilitating regional cooperation in marine science, selected monitoring and protection systems (in the past under GIPME) and networking and supporting young researchers in their career.

IOC Regional Subsidiary Bodies have also been instrumental in convening scientific expertise to design regional strategies for IOC programmes (GOOS/GLOSS, tsunami warning systems) and in catalyzing donor funding for IOC-relevant initiatives, as the initiation of the GEF CLME project (Sustainable Management of the Shared Marine Resources of the Caribbean Large Marine Ecosystem) demonstrates. It appears to be more challenging for IOC Regional Subsidiary Bodies to contribute to the application of knowledge for the improvement of management, sustainable development, protection of the marine environment and decision-making processes. Catalyzing actions for such ambitious goals would require a more applied orientation of the work of Regional Subsidiary Bodies, which may increase their potential for Member States' and donors support.

4.4 Staffing, logistic and administrative aspects

Currently, the two Sub-commissions, IOCARIBE and WESTPAC, are benefiting from the generous contribution and hospitality of the Colombian Government and the Thai Government respectively. This has contributed support, credibility and prestige to the IOC Regional Subsidiary Bodies for the Caribbean and Adjacent Regions and Western Pacific. Through host countries the two Sub-commissions have been provided rooms and local support staff. IOC has so far provided financial support for the head and one general services staff in each of the Sub-commissions. On the other hand, current UNESCO rules do not grant administrative authority to offices with less than 3 (three) UNESCO staff. This situation reduces significantly the possibility of the Sub-commissions to operate efficiently as they need to depend on the headquarters. This problem may be exacerbated in the case of large projects, with resulting inefficiencies.

Two processes will have to be considered with regard to the future engagement of the Commission in its regional operations. The recent report of the United Nations Secretary-General's High-Level Panel "*Delivering as One*" (A/34/583) has recommended, among many things, that "*UN entities at the regional level should be reconfigured and the UN regional setting should be reorganized around two inter-related sets of functions,*" namely, (i) focusing on analytical and normative work and (ii) focusing on coordinating the servicing of the UN country teams. Coherently with the "one-UN-at-the-country-level", the report recommends that regional offices of UN entities should be co-located ("One Office") and the definition of regions among all UN entities should be standardised to ensure consistency and coherence in the work of the UN at the regional level. Moreover, the "One UN" initiative will test in pilot countries how the UN family can deliver in a more coordinated way at country level. The objective is to ensure faster and more effective development operations and accelerate progress to achieve the Millennium Development Goals, ensuring more and better support of national priorities. This initiative represents an opportunity for IOC programmes to contribute to national development efforts.

The situation of the regular budget of the Commission—possibly being reduced for 2008–2009 of about 19% of the 2006–2007 budget (*gross figure*), if the zero nominal growth scenario will be approved—presents a challenge both in terms of the degree of support of the Commission to the Regional Subsidiary Bodies and its sustainability in the long-term. The current UNESCO policy of decentralization requires IOC to decentralize a significant amount of its budget to UNESCO field offices in the five UNESCO regions (Africa, Arab States, Europe and North America, Latin America and the Caribbean, and Asia and the Pacific). Under the ZRG/RG (Zero Real Growth/Real Growth) scenarios, for the biennium 2008–2009, IOC will contribute roughly \$ 600,000, or about 17%, to UNESCO regions. As the Commission will certainly not be able to maintain a double regional presence—through the Regional Subsidiary Bodies and UNESCO—there is a need to consider the optimal solution to maintain the regional presence of the Commission, specifically addressing ocean areas quite different from the UNESCO regional offices, through: (i) independent offices, (ii) UNESCO offices, or (iii) the offices of other UN agencies with a strong regional presence.

4.5 Long-term plans

The review of the Working Group has highlighted the need for IOC Regional Subsidiary Bodies to enhance their strategic planning capacities. This is essential for the identification of priorities, modalities of implementation, and mobilization of extra-budgetary resources. In this perspective, it will be possible to frame such plans in the medium-term plans of the Commission. The current draft of the IOC Medium-Term Strategy for 2008–2013, as recommended by IOC Resolution EC-XXXIX.1, highlights the importance of the regional approach under different aspects, in particular:

- (i) *Prevention and reduction of the impacts of natural hazards*—The development of monitoring and warning systems for coastal and oceanic natural hazards is approached by IOC on a regional base and the IOC Sub-commissions can play an important role in the support to such systems, such as in the case of IOCARIBE;

- (ii) *Mitigation of the impacts and adaptation to climate change and variability*—Prediction of climate through ocean observation and process studies at the regional scale;
- (iii) *Safeguarding the health of ocean ecosystems*—Identify and develop the capacity-building necessary for maintenance of healthy ocean ecosystems focusing on the regional needs, for example focusing actions on large marine ecosystems and marine ecological regions;
- (iv) *Management procedures and policies leading to the sustainability of coastal and ocean environment and resources*—Enhance regional cooperation and involvement of the Member States through capacity-building and transfer of technology.

Therefore, the development of strategic plans by IOC Regional Subsidiary Bodies should be done consistently with this guidance, with a view to optimizing IOC presence in target regions. In this regard, it appears essential to receive guidance from Member States on priority actions to carry out at the regional level in the next medium term strategy.

5. Recommendations

Based on the findings of the review carried out by the Working Group a series of recommendations can be formulated:

- (i) The governance of IOC Regional Subsidiary Bodies should be enhanced by regular organization of meetings to discuss, prepare, review and evaluate work plans; and by constant and improved communication between the headquarters and the Regional Subsidiary Bodies;
- (ii) The focus of the work of IOC Regional Subsidiary Bodies on capacity-building activities should be strengthened with a view to contribute not only to increase Member States' institutional capacities in marine sciences but in policy formulation as a contribution to governance and management.
- (iii) The geographical scope of IOC Regional Subsidiary Bodies should be consistent with those of large marine ecosystems or regional ecological regions, based on best scientific findings, so as to provide support to the scientific investigations and the governance of such ocean regions, as well as of the specific requirements for management of ocean affairs by concerned Member States;
- (iv) Joint programmes and activities with other UN agencies, in particular UNEP and FAO, based on complementarities of functions and optimization of means, should be fostered to contribute to better address issues concerning marine environmental protection and management of living resources in target regions;
- (v) The strategic planning capacities of Regional Subsidiary Bodies should be enhanced so that funds could be mobilized against mid- and long-term strategic plans rather than on a project and ad hoc base;
- (vi) Targeted financial mechanisms to work in the regions must be established through the creation of Trust Funds for each region to receive earmarked contributions of Member States and other modalities under Article 10 of the IOC Statutes; and
- (vii) The staffing, logistic and administrative arrangements supporting the Regional Subsidiary Bodies should be reviewed in the context of the current UNESCO decentralization policy and UN reform process, with a view to improve their stability and efficiency and mobilize support by Member States.
- (viii) Instruct the Executive Secretary to negotiate with UNESCO a practical administrative solution to reinforce IOC decentralization, ensuring that IOC Regional Subsidiary Bodies benefit from the UNESCO decentralization policy.

- (ix) Member States and UNESCO should make all efforts to ensure the participation of IOC programmes in the “One UN” initiative at the country level.

More detailed recommendations, concerning respectively Regional Subsidiary Bodies, Member States and the IOC Secretariat, are reported in Table 9.

Table 9 Summary of recommendations

Functions	Duties of RSB	Support for RSB from IOC or MS	Support from IOC Sec.
<u>Meetings</u>	Meet every other year to discuss and prepare programme of work, including financial requirements.	Member States to cover the cost of participation of their delegates and regional experts.	Organizing, in conjunction with the Assembly, biennial meetings of the Chairpersons of the IOC Regional Subsidiary Bodies, open to organizations collaborating with the IOC and the Heads of IOC regional and programme offices.
<u>Structure and subsidiary bodies</u>	Create the working structures (programmes, projects, networks) and, if appropriate, secondary subsidiary bodies to, by electronic means, formulate and promote major programme elements.	Members States to support IOC Regional Subsidiary Bodies by hosting an IOC Regional Office, according to existing modalities (hosting the office, seconding staff, ensuring functioning of IOC National Committees). Non-riparian Member States to second staff.	Update the IOC Manual.
<u>Public awareness and communication</u>	Contribute to the IOC Public Awareness and Communication Programme or establish new IOC Portals to ensure access to information.	Capacity-building activities, with a view to establishing/ reinforcing portals and sites in Member States, and their linkages with regional IOC portals.	Develop effective channels of communication (e.g., via IOC Portals) between Regional Offices and Member States). Promote the exchange of information, ideas and experience concerning IOC Regional Subsidiary Bodies and programmes through an internet forum.

Functions	Duties of RSB	Support for RSB from IOC or MS	Support from IOC Sec.
<u>Programme development and implementation</u>	Developing and implementing regional components of IOC global programmes, notably GOOS and IODE, as well as implementation of the Principles, Strategy and Implementation Plan for Capacity-Building.		Keep Regional Subsidiary Bodies fully up to date with major international ocean programmes IOC is co-sponsoring and/or participating in. Explore new ways to finance IOC regional programmes, including sources at the regional level.
<u>Financing</u>	Seek for extra-budgetary resources to support programme implementation	Member States supporting RSB through specific financial mechanisms, including a trust-fund for regions	
<u>Networking</u>	Develop and maintain networks of regional experts to advise the IOC, the Regional Subsidiary Bodies or the Member States, at their request, on the formulation of IOC regional and global programmes and activities		Enhance and support the participation of regional experts in the planning and steering of IOC programmes.
<u>Cooperation</u>	Cooperate effectively with other regional bodies and offices, whether UN or NGOs; Give effect to MoUs between the IOC and regional organizations.		Assist the Regional Subsidiary Body Chairpersons and Heads of Regional Offices in the establishment and maintenance of cooperation with relevant UN bodies and NGOs.
<u>Evaluation</u>	Keep under regular review the progress in the implementation of adopted programmes and, under the collective guidance of Member States, adjust them accordingly.		Commissioning reviews of IOC Regional Offices, through UNESCO/IOC, focusing on effectiveness, funding sources, science-programme content, and service delivery.

This brief review has highlighted some of the aspects that characterize the successful work of the IOC Regional Subsidiary Bodies as a regional delivery mechanism of IOC global programmes, as well as the challenges they face for a stable and effective operation in the next future. It should be noted that the absence of a proper system of monitoring and reporting impedes a more objective assessment of the efficiency and effectiveness of Regional Subsidiary Bodies.

APPENDIX 1

Resolution XXIII-6 (2005)**REGIONAL COOPERATION IN MARINE SCIENCE AND TECHNOLOGY
AND THE ROLE OF REGIONAL SUBSIDIARY BODIES**

The Intergovernmental Oceanographic Commission,

Recognizing that:

- (i) the IOC has a long tradition in implementing regional programmes and the regional components of its global programmes through Regional Subsidiary Bodies, and that these activities must be maintained, at an appropriate level, if it is to retain its status as the only organization within the UN system concerned exclusively with ocean sciences and ocean services,
- (ii) UNESCO's policy of zero nominal growth is expected to continue in the foreseeable future, impacting the IOC regular budget and in consequence the Regional Subsidiary Bodies, and that concrete measures must be taken to maintain an appropriate balance between the Commission's ocean sciences, ocean services, and capacity-building programmes, as well as between global and regional activities,
- (iii) the role of Regional Subsidiary Bodies must be made more effective and efficient by examining and correcting the present deficiencies, improving communications and interactions and ensuring a comprehensive programme following the Commission's Main Lines of Action,

Urges Member States to increase the involvement of their national IOC contact points in the development of regional work plans;

Encourages the IOC Regional Subsidiary Bodies immediately to:

- (i) increase regional interactions, and improve coordination with organizations that have significant political and financial support, as well as those with an institutional mandate to promote scientific and technical advancement;
- (ii) identify the most urgent capacity-building requirements in their respective Member States and play an active role in the formulation of proposals to donor agencies;
- (iii) raise public awareness of the purpose and work of the IOC Regional Subsidiary Bodies;

Further urges Member States to accord priority status to ocean sciences and services in national and regional development and research programmes, and include them in their dialogue with the international donor/development community;

Instructs the IOC Executive Secretary to:

- (i) arrange a meeting of the regional Chairpersons in conjunction with each Assembly, so as to improve regional input to the work of the Assembly;
- (ii) schedule the meetings of the Regional Subsidiary Bodies, where possible, to be in phase with the IOC planning cycles;

- (iii) take into account, within a balanced IOC regular programme and budget, the needs of each Regional Subsidiary Body for biennial funding for regional coordination activities and for the mobilization of extra-budgetary resources for the Commission's regional activities;

Further instructs the IOC Executive Secretary to create an Intersessional Working Group, composed of the Chairpersons of Regional Subsidiary Bodies and involving all interested Member States, and conducting business through electronic means, to:

- (i) assess the present efficiency and effectiveness of the Commission's regional programmes using quantifiable indicators that consider the categories of core, extra-budgetary and leveraged funding, and the impact of results;
- (ii) assess the role of regional activities in the long-term plans of the Commission and prepare a realistic scenario of the resources required in the immediate, medium and long term; and
- (iii) report on progress to the Executive Council at its 39th Session;

Requests the Executive Council, at its 39th Session, to consider the report on the progress of the Intersessional Working Group and reflect the results as appropriate in the IOC Medium-term Strategy 2008–2013.

Identified funding: not applicable.

APPENDIX 2

Resolutions concerning IOC Regional Subsidiary Bodies since during 2002–2006

General aspects

Resolution XXII-1 (2003)
Guidelines for the Establishment of Decentralised Offices

Resolution XXIII-6 (2005)
Regional Cooperation in Marine Science and Technology and the Role of Regional Subsidiary Bodies

IOCARIBE

Resolution EC-XXXV.5 (2002)
Seventh Intergovernmental Session of the IOC Sub-Commission for the Caribbean and Adjacent Regions (IOCARIBE-VII)

Resolution EC-XXXVII.7 (2004)
Eighth Session of IOC Sub-Commission for the Caribbean and Adjacent Regions (IOCARIBE)

WESTPAC

Resolution XXIII-7 (2005)
Sixth Session of the IOC Regional Sub-Commission for the Western Pacific (WESTPAC)

IOCWIO

Resolution XXII-10 (2003)
Fifth Session of IOC Regional Committee for the Co-operative Investigation in the North and Central Western Indian Ocean (IOCINCWIO)

APPENDIX 3

Template for the description of Regional Subsidiary Bodies

1. Regional Subsidiary Body:
2. Date and Resolution of Establishment:
3. Mission/Terms of reference (*including long-term goals and objectives*):
4. Membership (*countries*):
5. Officers:
6. Secretariat:
7. Sessions (*frequency*):
8. Funding (*regular budget vs. extra-budgetary*):
9. Main lines of activities (*particularly the last 5 years*):
10. Current project portfolio:
11. Co-operative agreements with regional organizations:
12. Key products and outcomes:
13. Independent evaluations:
14. Reports (*type of report, to whom*):

APPENDIX 4

REFERENCES:

- *IOC Statutes*, Document IOC/INF-1148 (English/French/Spanish/Russian), 1999 (in particular Article 9).
- *IOC Rules of Procedure*, Document IOC/INF-1166 (English/French/Spanish/Russian), 2001 (in particular section VII)
- *IOC Manual*, Document IOC/INF-785 (English, French, Spanish, Russian), March 1989, in particular Section 5: Guidelines for the structure and responsibilities of the subsidiary bodies of the Commission.

Work in progress:

- Guidelines for the establishment of decentralised offices, **adopted** by the IOC Assembly at its 22nd Session on 1 July 2003 through Resolution XXII-1.
- Framework Memoranda of Understanding for IOC project, programme and regional offices, **adopted** by the IOC Executive Council at its 37th session in June 2004 as in document IOC/EC-XXXVII/2 Annex 13 amended.

The Executive Council at its 37th session **decided that the two-above mentioned texts be revisited** in conjunction with the Assembly's consideration of documents IOC/EC-XXXVII/2 Annex 12, "*Concept Paper on the Modalities of Implementation of IOC Programmes in Regions*", and subsequent IOC-XXIII/2 Annex 5, "*Enhancing the Effectiveness of Regional Cooperation in Marine Science and Technology and the Role of the IOC Regional Subsidiary Bodies*" and the present document.

- IOC/INF-1193 Prov. Rev., Guidelines for the structure and responsibilities of the subsidiary bodies of the commission, and for the establishment of decentralized offices.

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