IOC Circular Letter No. 2490
(available in English and French)

 IOC/WWW/xy 8 August 2013

To: IOC National Official Coordinating Bodies of IOC Member States

cc: Permanent Delegates / Observer Missions to UNESCO of IOC Member States
National Commissions for UNESCO of IOC Member States
Chair and Vice-Chairs of IOC and Major Subsidiary Bodies


In pursuance to Resolution XXVII-2 of the IOC Assembly at its Twenty-seventh session (Paris, 26 June – 5 July 2013), the open-ended Intersessional Financial Advisory Group (IFAG) is being re-constituted under the chairmanship of Vice-chair Peter Haugan. Technical secretariat support will be provided by Xenia Yvinec.

The full terms of reference of the Group can be found in Annex 3 to Resolution XXVII-2 (full text with annexes is attached for ease of reference).

I invite IOC national coordinating bodies to designate members to work within the IFAG in accordance with its mandate as defined in the Terms of Reference while maintaining close consultation with the intersessional working group on the Future of the IOC. As in the past, the group will work by correspondence. It is therefore imperative that we have up-to-date email addresses for all designated members. The Chairman of the IFAG and myself would appreciate receiving your letters of nomination by 30 September 2013 at the very latest to Peter.Haugan@gfi.uib.no; w.watson-wright@unesco.org with copy to K.Yvinec@unesco.org.

The List of the IFAG members and relevant documentation will be posted online as the work of the group progresses at: http://www.ioc-unesco.org/IFAG-13-14.

Yours sincerely,

[signed]

Wendy Watson-Wright
Executive Secretary, IOC
Assistant Director-General, UNESCO

Attachment: (1): Resolution XXVII-2

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Attachment to IOC Circular Letter, 2490

Resolution XXVII-2

Financial Matters of the Commission

The Intergovernmental Oceanographic Commission,

- A -

Budget Execution (2012) and Anticipated Funding for 2013

Having examined document IOC-XXVII/2 Annex 2,

Expresses great concern for the impact of the financial difficulties of UNESCO on the delivery of the IOC programmes, with the reduction of the IOC budget from US$ 10,405,400 to US$ 7,531,799 with the consequent reduction to the workplans for 2012–2013;

Recognizes the efforts of the IOC Executive Secretary to maintain programme continuity under these difficult circumstances and to contribute to implement UNESCO’s ‘roadmap’;

Confirms that the IOC budget for 2012 has been executed in accordance with the approved Programme and Budget 2012–2013 and the guidance on the funding priorities provided by the IOC Executive Council at its 45th session through EC-XLV/Dec.5.1, including the endorsement of the Priority Funding Plan for 2012–2013 (EC-XLV/Dec.5.2 Annex B);

Expresses its appreciation to the Director-General of UNESCO for the allocation of US$ 1,106,000 to the IOC from the UNESCO Emergency Fund to enable programme implementation at essential level;

Expresses its thanks to the Member States and other donors who have already contributed to the UNESCO Emergency Fund and in addition provided US$ 5,271,061 as 2012 voluntary contributions to the IOC following the cash-flow and budgetary crises of end of 2011 and of the present biennium;

Urges all Member States to provide voluntary contributions for the financing of the Priority Funding Plan for 2012–2013, preferably to the IOC Special Account;

- B -

IOC Medium-Term Strategy for 2014–2021

Having examined document IOC-XXVII/2 Annex 3,

Takes note of the Draft IOC Medium-Term Strategy for 2014–2021 presented at the session, following its review by the open ended Intersessional Financial Advisory Group (IFAG) under the leadership of Vice-Chairman Prof. Peter M. Haugan (Norway);

Re-affirms the importance of the IOC as an intergovernmental commission with functional autonomy within UNESCO;

Recognizes the draft takes into account:

(i) The debate at the 45th Session of the Executive Council and its decision EC-XLV/Dec.5.2,

(ii) The report of the Ad hoc Advisory Group for the IOC Ocean Sciences Section (IOC/INF-1294),

(iii) Inputs from IOC Subsidiary Bodies and other relevant organizations and processes, in particular the follow-up to United Nations Conference on Sustainable Development (Rio+20),

(iv) The development of the UNESCO Medium-term Strategy for 2014–2021 (37 C/4),

(v) The report of the Chair of the Sessional Working Group on the Future of the IOC (IOC-XXVII/2 Prov. Rev. Add.),

(vi) Comments and inputs from the IFAG;
Adopts, according to Article 6.B.4 of the Statutes of the Commission, the Medium-Term Strategy for 2014–2021 as presented in Annex 1 to this resolution;

Urges Member States to take into account the IOC Medium-Term Strategy in developing their national plans and programmes for ocean sciences, observations and services, as well as in planning their contribution to and participation in the programmes of the Commission;

Further urges Member States to convey and support the IOC Medium-Term Strategy during the discussions on the UNESCO Medium Term Strategy for 2014-2021 at the 192nd session of the UNESCO Executive Board and the 37th session of the General Conference;

Requests Sub-Commissions, Regional and Technical Committees and all Subsidiary Bodies of the IOC to set priorities, organize their activities and develop project proposals for extrabudgetary funding so as to coherently pursue the IOC High-Level Objectives contained in the IOC Medium Term Strategy;

Recommends that the IOC Medium-Term Strategy be taken into account by the intersessional working group on the Future of IOC;

Requests the IOC Executive Secretary to transmit the IOC Medium-Term Strategy for 2014–2021 to the Director-General of UNESCO, to widely disseminate it, including to the relevant national, regional and international organizations in order to build collaboration and cooperation in implementing the Commission’s Medium Term Strategy.

- C -

IOC Programme and Budget for 2014–2017

Having examined documents IOC-XXVII/2 Annex 4 and Add.,

Notes with great concern that the financial difficulties of UNESCO may continue into the 2014–2015 biennium and that the necessity may arise to limit the cash flow to 78% of the proposed zero nominal growth budget of US$ 653 M;

Takes positive note of the high priority given to the IOC in the priority ranking exercise conducted by the UNESCO Executive Board Working Group (June 2013) in line with the Commission’s status as a body with functional autonomy within UNESCO;

Expresses its appreciation to the IOC Executive Secretary for the comprehensive document on the proposed Draft Programme and Budget for 2014–2017, including clear links to: the Draft Medium-Term Strategy and its high level objectives; the implementation strategy through a conceptual framework of functions; the well-defined expected results and draft Complementary Additional Programme for Extrabudgetary Resources;

Takes note of the information contained in the document IOC-XXVII/2 Annex 4 on the expected cash flow for 2014–2015, its potential impact on IOC programme delivery, and the Secretariat’s analysis of the situation, aimed at seeking Member States’ guidance on the spending priorities in case of a cash flow shortfall;

Adopts the guiding principles to be used by the Secretariat in further improving the proposed framework of expected results, performance indicators and benchmarks, and in defining the spending priorities for 2014–2015 in case of a budgetary reduction due to a cash flow shortfall, as contained in Annex 2 to this resolution;

Urges Member States to support, through their delegations to the 192nd session of the Executive Board and to the 37th General Conference of UNESCO, the allocation to the IOC of the budgetary envelope of US$ 12,026,200 proposed in the Draft 37 C/5 US$ 653 M scenario, consistent with its status as UNESCO’s flagship and the high priority nature of its expected results;

Decides to reconstitute the open-ended Intersessional Financial Advisory Group (IFAG) under the leadership of a Vice-Chairperson, in accordance with the Terms of Reference contained in Annex 3 to this resolution, maintaining close consultation with the intersessional working group on the Future of the IOC.
 Annex 1 to Resolution XXVII-2

IOC Medium-Term Strategy for 2014–2021

1. INTRODUCTION

The last decade demonstrated an increased understanding of the importance of the oceans as a source of life, and the realization that building regional know-how is essential for facilitating solving regional economic and social problems.

The IOC has a recognized and unique role in the UN system in relation to ocean science and the science base for ocean management. Its status as a body with functional autonomy within UNESCO has been carefully designed to provide an efficient platform for coordination, information and sharing of knowledge to contribute to sustainable and peaceful development.

When designing a medium-term strategy, it is crucially important to have a realistic appreciation of the possibilities and limitations within available budgets. Continued emphasis on coordination, exchange, initiation of activities and strengthening of key functions is required, while implementation to a large degree has to be done in collaboration with other organizations and entities. This is challenging and demanding and will require key inputs from Member States in collaboration with the IOC Secretariat.

In line with the IOC mission statement, a vision for the period 2014–2021 is formulated below based on perceived societal needs, emerging issues, and requirements for intergovernmental coordination. The Rio+20 Conference has provided very useful and timely context for the role of IOC as expressed in this strategy and its high-level objectives. The strategy will cover 8 years to be consistent with the new UNESCO medium term planning context which includes four-year programme cycles, and will be implemented in a manner consistent with the outcome of the “Future of IOC” deliberations.

“We recognize that oceans, seas and coastal areas form an integrated and essential component of the Earth's ecosystem and are critical to sustaining it...”

The future we want – Outcome of the UN Conference on Sustainable Development - Rio +20

2. MISSION STATEMENT

The present statutes of the IOC, which came into force through adoption by the General Conference of UNESCO of 30 C/Resolution 22 of 16 November 1999, give the mission of the Commission as follows:

*Article 2 – Purpose*

The purpose of the Commission is to promote international cooperation and to coordinate programmes in research, services and capacity-building, in order to learn more about the nature and resources of the ocean and coastal areas and to apply that knowledge for the improvement of management, sustainable development, the protection of the marine environment, and the decision-making processes of its Member States.

The Commission will collaborate with international organizations concerned with the work of the Commission, and especially with those organizations of the United Nations system which are willing and prepared to contribute to the purpose and functions of the Commission and/or to seek advice and cooperation in the field of ocean and coastal area scientific research, related services and capacity-building.

The IOC, established in 1960 as a body with functional autonomy within UNESCO, is the only competent organization for marine science within the UN System. In addition, IOC is recognized through the United Nations Convention on the Law of the Sea (UNCLOS) as the competent international organization in the fields of Marine Scientific Research (Part XIII) and Transfer of Marine Technology (Part XIV).

Consistent with the mission statement above, the IOC Medium-Term Strategy (MTS) 2014–2021 is derived from a vision guiding the high-level objectives, programmes, and also actions and activities to be detailed in each subsequent biennial programme and budget. The strategy including its objectives will also fulfil IOC’s role as a main line of action (MLA) of UNESCO and contribute to the relevant UNESCO Thematic areas of expected results, as given in the Draft UNESCO Medium-Term Strategy (37 C/4) (see figure below):

3. IOC VISION AND HIGH-LEVEL OBJECTIVES FOR 2014–2021

**Vision:**

Strong scientific understanding and systematic observations of the changing world ocean climate and ecosystems shall underpin sustainable development and global governance for a healthy ocean, and global, regional and national management of risks and opportunities from the ocean.

More specifically, through international cooperation, IOC aspires to help its Member States to collectively achieve the following high-level objectives (HLOs), with particular attention to ensuring that all Member States have the capacity to meet them:

1. Healthy ocean ecosystems and sustained ecosystem services
2. Effective early warning systems and preparedness for tsunamis and other ocean-related hazards

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2 Draft UNESCO Medium Term Strategy (37 C/4 document) is available at [http://unesdoc.unesco.org/images/0022/002200/2200031e.pdf](http://unesdoc.unesco.org/images/0022/002200/2200031e.pdf)
3. Increased resiliency to climate change and variability and enhanced safety, efficiency and effectiveness of all ocean-based activities through scientifically-founded services, adaptation and mitigation strategies

4. Enhanced knowledge of emerging ocean science issues

**Objective 1:** Developing indicators of ocean status, and locating their tipping points\(^3\) relative to marine ecosystem functioning, are important in the prediction or early detection of changes in ecosystem states, and in the evaluation of ecosystem resilience. Such knowledge and analytical tools will be very valuable in ocean management in general, and in placing management of single sectors into an ecosystem-based approach. The local and regional capacities, in terms of knowledge and tools, are also central for understanding how much an ecosystem can be stressed before it moves to other states from which recovery may be difficult. Current research on these topics is still piecemeal and needs coordination.

**Objective 2:** The ultimate objective of this HLO is to reduce risk, by encouraging communities to implement effective mitigating measures and become aware of the hazards they face. As coastal development continues at a rapid pace, society is becoming increasingly vulnerable to coastal flooding and other extreme sea-level events such as tsunamis. Ensuring that nations have access to the necessary information for coastal adaptation planning and safe and secure operations in the marine environment, is dependent on continued progress in the implementation of tsunami and ocean observing systems, improvements of models of the climate systems and ocean services and the development of local decision support tools.

**Objective 3:** Climate variability and change impact many elements on which human well-being depends, modifying patterns of rainfall and drought, sea-level and coastal erosion, and through temperature changes and ocean acidification, adding stress to ecosystems and impacting on the goods and services they provide. Thus, human development goals including food security, access to water resources, and preparedness and resilience to disasters are threatened. It is known that the ocean plays a key role in climate; IOC will therefore assist its Member States in developing capacity so as to enable them to develop and improve climate impact mitigation and adaptation strategies that are based on growing scientific knowledge.

**Objective 4:** A broad range of emerging environmental issues such as new contaminants, invasive species, marine renewable energies, the expansion and intensification of uses of marine resources, cumulative effects of human maritime activities, etc., jeopardize the conservation and sustainable use of marine spaces and ecosystems. It is important to improve our understanding of the opportunities and of the changes that are occurring within the Ocean, including the deep sea. The IOC’s role is to encourage scientific research, technical analyses and syntheses of scientific information needed to effectively address these emerging issues, inform policy, and advance solutions in a timely and transparent manner.

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4. RELATION TO UNESCO’S 37 C/4

As explained above, the IOC Medium-Term Strategy shall also respond to Strategic Objectives 4 and 5 of the Draft UNESCO Medium-Term Strategy for 2014-2021:

UNESCO Draft 37 C/4 Strategic Objective 4: Promoting the interface between science, policy and society and ethical and inclusive policies for sustainable development.

as well as

UNESCO Draft 37 C/4 Strategic Objective 5: Strengthening international science cooperation for peace, sustainability and social inclusion,

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\(^3\) A tipping point is understood as the point when a system changes from one stable state to another stable state. After a tipping point has been passed, a transition to a new state occurs. The tipping event may be irreversible.
and contribute primarily to the following Expected Outcomes:

- UNESCO leadership and contributions in the field of science for sustainability recognized in the post-2015 UN Development Agenda
- Effective partnerships operational for freshwater, terrestrial ecosystems, biodiversity and the ocean to underpin the post-2015 development agenda
- Policy-makers and relevant stakeholders enabled to take policy decisions drawing on interdisciplinary scientific knowledge base for sustainable development
- Ocean science and global, regional and national capacities for the management of ocean-related risks improved
- Disaster risk reduction strategies developed and implemented by Member States in all regions based on scientific and social factors.

IOC programmes will also contribute to the achievement of UNESCO’s Global Priorities: Africa and Gender.

UNESCO Global Priority Africa: Africa is an overarching priority and IOC will ensure that it is mainstreamed in all its programmes and that it is reflected in the performance indicators. The importance given to Africa is reflected in the recent creation of the IOC Sub-Commission for Africa and Adjacent Island States (IOCAFRICA) and the appointment of a full-time Secretary to the sub-commission. Since its launch in 2012, the sub-commission has held two meetings and developed a strategic plan. IOCAFRICA has received both cash and in-kind support from Member States which will be further mobilised to ensure the success of IOCAFRICA. In addition, programmes will be further decentralised to ensure proximity to Member States.

UNESCO Global Priority Gender: UNESCO’s approach for Global Priority Gender Equality is built on two main axes: gender-specific programming, focusing on women's and men’s social, political, and economic empowerment, and mainstreaming gender equality considerations in the Organization’s policies, programmes, and initiatives. The IOC contribution to Global Priority Gender Equality will focus in particular on one of the foreseen actions, which is to ensure that international science cooperation for peace and sustainability allows for representation and voice for women and men, and that conditions for both women and men to be agents of mitigation, adaptation, resilience and sustainability are provided. IOC is committed to promoting the equal presence of men and women in the marine sciences community, as well as to encouraging activities to include women in marine sciences through effective measures and policies and promoting role models for young women.

5. IMPLEMENTING THE IOC MEDIUM-TERM STRATEGY

When working towards the high-level objectives, IOC will focus on the broad areas of:

- strengthening scientific knowledge of the ocean and human impact on it,
- applying that knowledge for societal benefit, and
- building institutional capacities for sound management and governance
The strategy is organized in a conceptual framework of functions required to advance towards the IOC Vision:

A. Foster ocean research to strengthen knowledge of ocean and coastal processes and human impacts upon them [Ocean research]

B. Maintain, strengthen and integrate global ocean observing, data and information systems [Observing system / data management]

C. Develop early warning systems and preparedness to mitigate the risks of tsunamis and ocean-related hazards [Early warning and services]

D. Support assessment and information to improve the science-policy interface [Assessment and Information for policy]

E. Enhance ocean governance through a shared knowledge base and improved regional cooperation [Sustainable management and governance]

F. Develop the institutional capacity in all of the functions above, as a cross-cutting function [Capacity Development]

These functions correspond broadly to existing and on-going IOC programmes, components of programmes and mechanisms of cooperation, such as the Global Ocean Observing System (GOOS), the Joint Technical Commission for Oceanography and Marine Meteorology (JCOMM) and the International Oceanographic Data and Information Exchange (IODE), the Ocean Biogeographic Information System (OBIS), the Tsunami Intergovernmental Coordination Groups (ICGs), World Climate Research Programme (WCRP) and the Ocean Sciences programme, Integrated Coastal Area Management (ICAM), Harmful Algal Blooms (HAB), and Capacity Development (CD).

All of these functions contribute in varying measures to the high-level objectives of the IOC Vision, a relationship that can be described in a matrix and in paras 21-24 showing the contribution of each function to the objectives:
### Functions

<table>
<thead>
<tr>
<th>HLOs</th>
<th>A. Ocean research</th>
<th>B. Observing system / data management</th>
<th>C. Early warning and services</th>
<th>D. Assessment and Information for policy</th>
<th>E. Sustainable management and governance</th>
<th>F. Capacity Development</th>
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<tbody>
<tr>
<td>1. Healthy ocean ecosystems</td>
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<td>2. Early warning for ocean hazards</td>
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<td>3. Resiliency to climate change and variability</td>
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<td>4. Enhanced knowledge of emerging issues</td>
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#### Functions contributing to objective 1:
In order to generate the knowledge relative to marine ecosystem functioning at the appropriate time scale and resolution, it is essential to build capacity and a globally managed and quality controlled knowledge base. The strategy will therefore include:
- Coordination of essential research on ocean ecosystem health;
- Extension of the Global Ocean Observing System to biology and ecosystem variables;
- A focus on strengthening the existing IODE global network of data (and information) centres including the Ocean Biogeographic Information System (OBIS), with an emphasis on data/information product/service development contributing to continuous monitoring of the identified indicators;
- Support to the World Ocean Assessment and other related processes; and
- Development of capacity to ensure strong science-policy interfaces in ocean management.

#### Functions contributing to objective 2:
In terms of early warning systems and preparedness for tsunamis and ocean-related hazards, the strategy will focus on four areas:
- Support for the intergovernmental coordination of regionally harmonized tsunami warning systems;
- Strengthening the work of regional Tsunami Information Centres that provide a clearinghouse for the development of educational and preparedness materials;
- Targeted capacity development and technical assistance to enhance Member States own ability to develop preparedness and awareness in a multi-hazard framework; and
- Support for enabling research and policy development that lead to improved tsunami and ocean-related warning systems and preparedness.

#### Functions contributing to objective 3:
IOC will address the objective of increased resiliency to climate change and variability through scientifically-founded services, adaptation and mitigation strategies with an end-to-end effort that:
- Begins with an ocean observing system sustainably monitoring the major global scales of climate (both physics and ocean carbon), building readiness and capacity in providing local information required in adaptation at the coast and to address the impact of climate change and ocean acidification on marine and coastal ecosystems, and linked to a data management system built on global standards and best practices,
- Coordinates ocean climate research that improves understanding of the climate system and prediction of its variability and change and builds a knowledge base on linked ocean ecosystem changes and adaptation strategies,
• partners in the Global Framework for Climate Services and informs IOC and other assessment processes, and
• applies the scientific knowledge base to improve regional management and governance of climate adaptation and mitigation strategies, building capacity through demonstration projects and shared tools.

Functions contributing to objective 4: In order to identify and monitor emerging ocean science issues it will be essential to coordinate scientific research and call out these issues in a way that can be communicated to policy. Strengthened and expanded ocean observation and associated global data/information management systems will support the research in emerging ocean science issues. To properly address the numerous uses of the maritime domain and to use the results of the research effectively requires improved international ocean science collaboration.

6. IOC WITHIN THE UN SYSTEM

IOC is part of the UN system and collaborates with other intergovernmental and international entities. While it will lead in the coordination and execution of a number of programmes that contribute to its functions, it will also work in existing and new partnerships across the UN system. This will be particularly true where ocean science and services are only one piece of a larger whole.

IOC is recognized for its major contribution to a fundamental blueprint of the global development agenda: The Future We Want, which is the outcome document of the Rio+20 Conference. IOC contributes also to the programmes of work of the United Nations Framework Convention on Climate Change (UNFCCC) and the Convention on Biological Diversity (CBD). IOC was instrumental in establishing the United Nations World Ocean Assessment (WOA) (Regular Process for Global Reporting and Assessment of the State of the Marine Environment Including socioeconomic Aspects) through the preliminary Assessment of Assessment phase, and as such was invited by the UNGA to provide scientific and technical support to the WOA (UNGA Resolution A/RES/66/231). It will provide technical assistance on the communication and outreach aspects of the WOA, and will lead on the implementation of regional capacity development activities in order to engage the scientific community in the preparation of regional assessments.

The IOC continues to work in close cooperation with the UN Office of Legal Affairs/Division for Ocean Affairs and the Law of the Sea (UN/OLA/DOALOS) for the development of guidelines for the implementation of Law of the Sea provisions on transfer of marine technology and marine scientific research, and its achievements are regularly acknowledged by the UN General Assembly. The IOC Secretariat has a wide programme network and a Roster of Experts to provide guidance and advice to the IOC Member States that request it, on the development of legislation and practice regarding marine scientific research and transfer of marine technology. Following Articles 239 and 266 of UNCLOS, this action facilitates and promotes the development and conduct of marine scientific research and transfer of marine technology, especially in developing countries, in accordance with UNCLOS.

The Global Ocean Observing System (GOOS) is a system for sustained observations of the ocean comprising the oceanographic component of the Global Earth Observing System of Systems (GEOSS). GOOS is led by IOC and co-sponsored by UNEP, WMO and ICSU, and is implemented by Member States via their government agencies, navies and oceanographic research institutions working together in a wide range of thematic panels and regional alliances. The IOC/WMO JCOMM is a key element in implementation and services. In addition IOC’s International Oceanographic Data and Information Exchange (IODE) programme the Ocean Biogeographic Information System (OBIS), adopted by IOC as part of IODE (IOC Resolution XXV-4) contribute to at least two of the 20 UN biodiversity targets. As called upon by the 193 parties of the Convention on Biological Diversity (COP-X-29), OBIS data is used for the identification of Ecologically or Biological Significant marine Areas and is also used by the UN Food and Agriculture Organization for the identification of Vulnerable Marine Ecosystem. In addition, OBIS provides key information on biological diversity for the World Ocean Assessment.
IOC has since 1965 provided intergovernmental coordination for the Pacific Tsunami Warning System. Since 2005 IOC has also provided intergovernmental coordination for the development of Tsunami Warning Systems in the (i) Indian Ocean, (ii) the Caribbean and (iii) the NE Atlantic, Mediterranean and connected seas. The IOC’s role in this area has been recognized in several UNGA resolutions.

7. PARTNERSHIPS

The Intergovernmental Oceanographic Commission of UNESCO partners with various agencies and participates in joint programmes:

ECOSYSTEM HEALTH AND BIODIVERSITY: IOC works in close collaboration with the London Convention and the London Protocol (LC/LP) and is a founding member of the Joint Group of Experts on the Scientific Aspects of Marine Environmental Protection (GESAMP) along with IMO, FAO and presently including IAEA, UN, UNEP, UNIDO and UNDP; it partners with SCOR for the research programme on the Global Ecology and Oceanography of Harmful Algal Blooms (GEOHAB). IOC/UNESCO is an active participant in matters relating to the Convention on Biodiversity (CBD) and in particular in the Intergovernmental Science-Policy Platform on Biodiversity and Ecosystem Services (IPBES), in which it plays an important role together with UNEP, FAO and UNDP. Through the Ocean Biogeographic Information System (OBIS), IOC/UNESCO is active in the Global Biodiversity Information Facility (GBIF) and in the Group on Earth Observations Biodiversity Observation Network (GEOBON).

DISASTER RISK REDUCTION: IOC/UNESCO works closely with WMO, the United Nations Office for Disaster Risk Reduction (UNISDR), the Comprehensive Nuclear-Test-Ban Treaty Organization (CTBTO) for access to its global seismograph network, the United Nations Development Programme (UNDP), the International Maritime Organization (IMO), the International Hydrographic Organization (IHO) and the European Union (EU).

CLIMATE: IOC participates in the World Climate Research Programme (WCRP) and the International Ocean Carbon Coordination Project (IOCCP) thus contributing to increasing the understanding of the ocean’s role in climate change and variability. GCOS (Global Climate Observing System) is a joint undertaking of IOC/UNESCO, the World Meteorological Organization (WMO), the United Nations Environment Programme (UNEP) and the International Council for Science (ICSU). IOC/UNESCO is a partner with WMO in the Global Framework for Climate Services (GFCS). IOC teams up with the Scientific Committee on Oceanic Research (SCOR) in a number of programmes. The Blue Carbon Initiative is the first integrated programme focused on mitigating climate change by conserving and restoring coastal marine ecosystems globally. The initiative is led by Conservation International (CI), the International Union for Conservation of Nature (IUCN).

GOVERNANCE: IOC/UNESCO’s partners are the International Council for the Exploration of the Sea (ICES), North Pacific Marine Science Organization (PICES), the Permanent Commission for the South Pacific (CPPS, in Spanish), the various Large Marine Ecosystem programmes, the International Council for Science (ICSU), the Scientific Committee on Oceanic Research (SCOR) and the European Commission.

8. MOBILIZATION OF EXTRABUDGETARY RESOURCES

Extrabudgetary funding strongly affects the extent to which IOC programmes are implemented and high-level objectives achieved, especially in periods of financial constraints. Existing resource mobilization approaches for Members States, institutional and private sector partners, tightly linked to the priorities approved by IOC Governing Bodies and its capacities to deliver will be intensified, as will be public-private partnerships and information and visibility efforts.
To ensure the sustainability of effort, it is essential that all extrabudgetary funds complement regular programme priorities. To this end, Complementary Additional Programme (CAP) proposals will be developed for each biennium.

Annex 2 to Resolution XXVII-2

Draft Programme and Budget 2014–2017
including guiding principles for the IOC budgetary allocation for 2014–2015

The fully funded Draft 37 C/5 ($ 653 M scenario) for UNESCO includes $ 12 M for IOC. Recognizing the importance of ocean issues within multiple Strategic Objectives of UNESCO, and the level of significance and achievements of IOC activities in saving lives and contributing to the health and safety of Member States, an increase of the IOC allocation of the UNESCO budget from 1.8% ($ 12 M/$ 653 M) as in the fully funded Draft 37 C/5 to 2% is recommended.

Provisional budgetary allocations are displayed in the table below. The left column displays the Regular Programme (RP) distribution in the fully funded Draft 37 C/5.

<table>
<thead>
<tr>
<th>Operational</th>
<th>Staff</th>
<th>Total</th>
<th>XB secured*</th>
<th>Additional Programme (XB-CAP)</th>
<th>IOC Assembly Priority Ranking Scenario</th>
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</thead>
<tbody>
<tr>
<td>ER 6</td>
<td>1 280 400</td>
<td>2 303 900</td>
<td>3 584 300</td>
<td>885 500</td>
<td>5 200 000</td>
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<td>ER 7</td>
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<td>2 638 300</td>
<td>3 617 600</td>
<td>1 437 200</td>
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<tr>
<td>ER 8</td>
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<td>4 824 300</td>
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<td>TOTAL</td>
<td>3 855 200</td>
<td>8 171 000</td>
<td>12 026 200</td>
<td>3 600 200</td>
<td>26 900 000</td>
</tr>
</tbody>
</table>

* Extrabudgetary funds in hand or committed in writing as at 31 May 2013

The rightmost column illustrates the preferred distribution of the regular budget to Expected Results (ERs) in a scenario with an allocation of 86% of the total budgetary allocation to the IOC proposed in the fully-funded Draft 37 C/5 ($ 653 M scenario). This preferred distribution among ERs is based upon consideration of the functions and activities contributing to each ER, their interrelation as well as the need to fulfil statutory requirements and agreements.

Regular budget, including key staff resources, is also seen as seed money, necessary to generate extrabudgetary funding in support of programme implementation. The Complementary Additional Programme (IOC-XXVII/2 Annex 4 Add.), referred to in the above table as XB-CAP provides detailed information on the extrabudgetary funding that, in the estimate of the Secretariat, is required for the most optimal implementation of programme objectives, while the historical trend analysis shows that the actual level of extrabudgetary funding received corresponds to approximately 40% of that amount ($ 11 M to be received vs $ 26 M estimated).

The final distribution of the regular budget should be achieved following a flexible approach allowing the Commission to allocate resources and implement the programme, including performance indicators and benchmarks, taking into account the following set of Guiding Principles for budget allocation:

- Provide focused leadership on those themes where IOC has clear leadership/ownership in the programme theme;
• Fulfill IOC’s intergovernmental mandate: incompressible costs related to governing and subsidiary bodies’ meetings, statutory requirements and commitments vis-à-vis partners and other UN agencies, including their implications in terms of staff time;

• Support governments in national activities and strengthen Regional Subsidiary Bodies of the Commission;

• Incorporate the scope of Member States participation (inclusiveness);

• Maximize synergies with other IOC programmes and interlinked functions: e.g. Ocean observations-based early warning systems;

• Preserve/sustain core programmes, while raising extrabudgetary funds for capacity development actions;

• Provide some seed money for new high potential impact programmes and emerging issues (likely to attract extrabudgetary funding);

• Balance IOC’s strong engagement with the ocean science community and its strong focus on applications and services;

• Reduce funding for programmes, if necessary, with strong partners that could carry them (also reducing IOC’s stake), if they concur;

• Identify ‘Member States willing to establish funded and staffed offices to take on an entire IOC programme based on existing good practices;

• Identify activities that can be sustained with extrabudgetary funding;

• Allow some seed money for new high potential impact programmes and emerging ocean science issues (likely to attract extrabudgetary funding); and

• Ensure that at least 25% of resources are allocated to operations under each ER.

In allocating the funds, the Executive Secretary shall ensure that the decisions made and resolutions adopted by the Assembly are reflected in the budget allocations within the resources available.

Annex 3 to Resolution XXVII-2

Revised Terms of Reference of IOC Intersessional Financial Advisory Group

Purpose

To provide advice from IOC Member States to the Chairperson of IOC and to the Assembly and the Executive Council in a transparent and objective fashion on:

(a) The affordability, sustainability and implementation of the results-based management;

(b) Financial matters of the Commission;

Term

The Financial Advisory Group will be constituted at each Session of the IOC Governing Body and operate for the following intersessional period.
Functions

(a) To advise on the adequacy of the linkage between the results-based management and the IOC Medium-Term Strategy and the IOC Programme and Budget;

(b) To advise on preliminary proposals from the Director-General of UNESCO for strategy and draft budgets provided by UNESCO;

(c) To advise on the adequacy of regular and extrabudgetary resource allocations against expected results; and

(d) To advise on the overall IOC budget level, taking into account issues of affordability and sustainability.

Composition

(a) An Officer of the Commission serves as chairperson;

(b) Open to all IOC Member States; however, the Executive Council and Assembly, as appropriate, may request the participation of Member States as part of the core membership.

Working arrangements

(a) The Financial Advisory Group will conduct the majority of its business by electronic means;

(b) If appropriate, the Chairperson may convene a meeting in time, and for a long enough period, to prepare a report prior to the commencement of a session of the Assembly or the Executive Council;

(c) The Financial Advisory Group will provide a report on all its activities to subsequent sessions of the Assembly and Executive Council, as appropriate;

(d) Relevant documents should be made available before the Financial Advisory Group meeting, in due time; and

(e) The Financial Advisory Group should follow procedures for IOC Subsidiary Bodies, seeking to formulate its conclusions and recommendations through consensus.