



**ADDENDUM TO THE
REPORT OF THE COUNCIL
OF THE UNITED NATIONS UNIVERSITY**

GENERAL ASSEMBLY

OFFICIAL RECORDS: THIRTY - FIRST SESSION

SUPPLEMENT No. 31A (A/31/31/Add.1)

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New York, 1976

NOTE

Symbols of United Nations documents are composed of capital letters combined with figures. Mention of such a symbol indicates a reference to a United Nations document.

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I. INTRODUCTION

1. This report is an addendum to the report of the Council of the United Nations University to the General Assembly at its thirty-first session which covered the period from July 1975 to January 1976. 1/ This addendum covers the work of the University from February 1976 through the seventh session of the Council held in Tokyo from 28 June to 2 July 1976.

2. Originally, the Council, in keeping with a provision of the charter of the University that it report annually on the work of the University to the General Assembly, the Economic and Social Council and the Executive Board of the United Nations Educational, Scientific and Cultural Organization (UNESCO), 2/ decided to adopt its annual report at its January session. This was done to provide sufficient time for circulation of the report prior to the spring session of the Executive Board and the summer session of the Economic and Social Council. It became apparent subsequently, however, that a report prepared in January would be out of date by the time the General Assembly considered it 9 or 10 months later, the Council therefore amended its decision 3/ to enable it to adopt future annual reports at the second of its bi-annual sessions, which have been held the latter part of June. Accordingly, in the future, the report shall be made available in July for consideration by the Economic and Social Council and the Executive Board of UNESCO.

3. Since a report for the thirty-first session of the General Assembly had already been prepared according to the original procedure, the Council decided to issue this addendum to cover the University's activities from the beginning of February to the beginning of July 1976, including the work of the seventh session of the Council. To put this addendum in context, the report begins with a brief description of the background of the University.

1/ Official Records of the General Assembly, Thirty-first Session, Supplement No. 31 (A/31/31).

2/ Charter of the United Nations University, article IV, para. 4 (h).

3/ Proceedings of the seventh session of the Council (UNU/C/Session 7/L.5).

II. BACKGROUND INFORMATION

4. The General Assembly, by resolution 3081 (XXVIII) of 6 December 1973, adopted the charter of the United Nations University contained in the second addendum to the report of the Secretary-General (A/9149/Add.2). The University was envisaged as an instrument for conducting research, post-graduate training, and dissemination of knowledge functioning through a central programming and co-ordinating body and a network of research and post-graduate centres and programmes devoted to pressing global problems of human survival, development and welfare.

5. The charter of the University defines this new institution in only general terms. It is the responsibility of the Council of the University, the Rector and his staff to give substance to the general concepts. This was begun in deliberations of the Council (which first met in April 1974) prior to the appointment of the Rector and has been continued in the work of the staff and deliberations of four bi-annual meetings of the Council held since the appointment of Dr. James M. Hester as Rector was announced by the Secretary-General in November 1974. Dr. Hester began full-time work at the University's headquarters in Tokyo in September 1975.

6. By then, more than 100 offers of institutional and governmental co-operation with the University had been received. However, the University's Council, at its fourth session in Tokyo in January 1975, reached the conclusion that in order for the University to develop coherently, it should not accept outside offers until it had formulated its own priorities and operating principles. At the same meeting, the Council approved the Rector's recommendation that the University not establish a large staff of permanent University experts. Instead, it was decided to administer the University through a relatively small, international, multidisciplinary committee composed of the Rector and several Vice-Rectors who would maintain frequent contact with many experts around the world as advisers for programme planning and evaluation.

7. Following the Council meeting held January 1975, the first major appointment as Vice-Rector for Administration and General Counsel was Dr. Ichiro Kato, former President of the University of Tokyo, who commenced organizing the basic staff at the University's world headquarters in Tokyo in April 1975. Dr. Kato agreed to serve the University full-time for one year and remains Senior Adviser to the Rector.

8. The second major appointment as Vice-Rector for Planning and Development was Dr. Alexander A. Kwabond, for 10 years Vice-Chancellor of the University of Ghana. He commenced full-time service with the United Nations University in January 1976 and, together with the Rector, is vigorously engaged in helping to establish the University's relations with institutions around the world and in seeking contributions and pledges to the University's endowment fund.

9. Dr. Kinhide Mushakoji, formerly Director of the Institute of International Relations in Sophia University in Tokyo, became Vice-Rector for Programme in the Human and Social Development area in April 1976.

10. At its fourth session held in January 1975, the Council approved three priority areas for the University's initial work: world hunger; human and social development; and the use and management of natural resources. At the following (fifth) Council session in New York in June 1975, it was decided to approach these three complex areas by assembling working committees of experts to advise the University on the strategies it should follow in order to avoid unnecessary duplication of existing work and to take full advantage of the University's unique mandate. At the same session, it was also agreed that, particularly in view of the University's initial financial limitations, its first work would most likely be undertaken through existing "associated institutions", rather than through "incorporated institutions" under its own management.

11. The University's operations began with three working meetings held in Tokyo in the autumn of 1975 - each a week in duration. Altogether, 69 experts from 39 countries participated. At each meeting, the participants were asked to respond to three questions with regard to their areas of expertise:

(a) What is the present "state of the art" with regard to world-wide problems and activities in your field (i.e. hunger, development, or natural resources)?

(b) What are appropriate strategies for the United Nations University to follow in commencing work in your field?

(c) What are the most urgent projects the University should undertake in your field?

12. These meetings elicited a variety of informed opinions on activities the University should and should not undertake. The reports they produced provided a substantial foundation for the beginnings of the University's programmatic activities and many valuable insights into the kinds of functions the University should perform. A summary of the reports is contained in the report of the Council to the General Assembly at its thirty-first session to which this report is an addendum.

13. On the basis of recommendations made in the reports of these three working meetings, the University's Council, at its sixth session in Caracas in January 1976 and its seventh session in Tokyo from 28 June to 2 July 1976, approved the University's first Programmes in World Hunger and Human and Social Development. Activation of the Programme on the Use and Management of Natural Resources awaits the appointment of a Vice-Rector in that field.

III. SUMMARY OF FIRST YEAR OF OPERATIONS

14. The major accomplishments of the first year of operations of the United Nations University are: (a) the establishment of a functioning world headquarters in Tokyo; (b) the planning and launching of the first operational programmes of the University; (c) extensive visits to Member States of the United Nations to solicit contributions and pledges to the University's endowment fund and to establish relationships with academic and research institutions; and (d) continuing development of the unique organizational concept of the University.

Establishment of headquarters in Tokyo

15. An agreement between the United Nations and Japan regarding the headquarters of the United Nations University was signed at United Nations Headquarters on 14 May 1976, and was subsequently approved by the Japanese Diet. On 22 June, the Government of Japan deposited its instrument of acceptance with the Secretary-General of the United Nations, and on that date the United Nations University Headquarters Agreement entered into force. As a result of these actions, the United Nations University's legal existence in Japan rests securely on both the provisions of the Convention on the Privileges and Immunities of the United Nations to which Japan has been a party since 1963, and on its own specific headquarters instrument, as well as the relevant resolutions of the General Assembly.

16. As part of its pledge to the development of the University, the Government of Japan undertook to provide a headquarters facility in Tokyo. The permanent site has not been selected, but the present staff of about 40 is comfortably housed in two floors of a new office building.

Planning and launching programmes 4/

17. In order to plan its first operational programmes, the University (a) conducted the three working meetings of experts whose recommendations are summarized in the report to which this document is an addendum; (b) conducted two task force meetings of advisory groups on the World Hunger Programme to identify appropriate institutions to become the first associated institutions of the University; (c) conducted two working meetings in Tokyo in June 1976 on aspects of the Human and Social Development Programme (transfer, transformation and development of technology; and development goals, processes and indicators), one involving representatives of research organizations in the United Nations system and other international organizations, and the other involving individual experts. 5/

18. In order to initiate the first operational programmes, the Rector and his Senior Adviser on the World Hunger Programme visited Guatemala, India and the Philippines and negotiated the first agreements of association. In addition,

4/ See sect. IV below.

5/ For the list of participants, see UNU/C/Session 7/L.5, annex V.

proposals for specific operational programmes recommended at the two June 1976 working meetings on human and social development were approved at the seventh session of the Council for exploration and implementation as soon as possible.

Solicitation for endowment fund 6/

19. In order to solicit contributions and pledges to the University's endowment fund and to establish relationships with academic and research organizations, the Rector and Vice-Rector for Planning and Development visited a total of 35 countries.

Organizational planning

20. In order to advance the conceptualization of the developing organization of the University, a report on future organizational development was prepared for the seventh session of the Council. 7/

University's working guidelines

21. During the current phase of the University's development, its staff is under great pressure simultaneously to launch programme activities and to raise the University's endowment. 8/ In these circumstances, the work of the University is being conducted according to the following guidelines:

(1) A maximum proportion of income is to be spent on programme activities consistent with effective planning, management and evaluation of programmes

(a) Supporting administrative staff and services are to be kept to the absolute minimum necessary for effective work.

(b) Expenditures for consultants, travel, entertainment, etc. are to be kept to an absolute minimum.

(2) In developing the University, the primary efforts of the Rector and his staff are to be based on achieving a carefully balanced mixture of programme development and implementation and endowment solicitation.

6/ See sect. V below.

7/ See sect. VII below.

8/ The University's basic funding is to be derived from income from a permanent endowment fund. The endowment fund was inaugurated by a \$US 100 million pledge by the Government of Japan. While nine other countries have now joined Japan in making contributions, the total of these contributions is only \$14 million. Japan has already paid two instalments of \$20 million and has budgeted a third \$20 million. Therefore, there is a strong need for increased pledges to match the Japanese contributions. To finance the University adequately, a total endowment of at least \$500 million is being sought. This would produce annual income of \$25 million to \$40 million.

- (a) Programme implementation is the purpose of the University and is also needed for obtaining endowment from many countries.
 - (b) Substantial and numerous endowment pledges are needed as quickly as possible to match the Japanese pledge and payment schedule, to internationalize the University's base of financial support, and to project future plans.
- (3) Programming and staff development are to proceed with balanced regard for both (a) urgency of demonstrating the existence and nature of the University and (b) soundness of conceptualization of the University organization and programmes and carefully chosen methods of implementation.
- (4) The primary objective of all efforts, administrative and programmatic, is to build an enduring institution fully attuned to effective realization of the University's mandate as set forth in the Charter.

IV. PROGRAMME ACTIVITIES 9/

World Hunger Programme

22. The experts who attended the meeting on world hunger in Tokyo in September 1975 urged the University not to undertake work in agricultural production, for which a well-funded syndicate of international research institutes already exists; and they also urged the University not to undertake work in the area of population, which, however unresolved, is also served by a variety of international agencies.
23. Instead, the University was encouraged to sponsor research, training and dissemination of knowledge in post-harvest food conservation, basic human nutritional requirements, the nutritional component of development planning, and the interaction between specialists in agriculture and nutrition.
24. The World Hunger Programme is being carried out under the direction of Dr. Nevin S. Scrimshaw, Head of the Department of Nutrition and Food Science at the Massachusetts Institute of Technology, who is serving as Senior Adviser to the University.
25. The major concern of the Programme is the fact that starvation and malnutrition constitute a crisis of major proportions in the world today. One important aspect of world hunger about which relatively little has been done is combating the food waste that presently occurs in many countries. As much as 40 per cent of the food produced in some regions is lost to rodents, insects, mould, and simple spoilage. Until now, there has been no international, collaborative effort aimed at solving the problem of preventable post-harvest food losses. The University has therefore made research and training to improve food conservation in developing countries a priority in its World Hunger Programme, and has entered into association with an organization outstandingly well equipped and experienced in this field - the Central Food Technological Research Institute (CFTRI) in Mysore, India. The CFTRI will soon be taking between 12 and 14 United Nations University Fellows each year from developing countries and training them in the practical aspects of conserving food supplies. The agreement with the Central Food Technological Research Institute to accept primary responsibility as the University's associated institution for post-harvest conservation of food, with special emphasis on village level storage and processing technology, calls for the programme to begin on 1 August 1976. The Director of that Institute, Dr. Bance Amla, is serving as the United Nations University-CFTRI World Hunger Programme Co-ordinator.
26. Although the CFTRI was established to help solve India's problem of feeding the more vulnerable sections of the population in that country, it is involved in research and training projects that are vitally relevant elsewhere in the world. It will now become a core of the University's World Hunger Programme network,

9/ The material contained in this section summarizes a more detailed report contained in the proceedings of the seventh session (UNU/C/Session 7/L.5).

helping institutions in other countries to develop appropriate technologies for the protection of food resources.

27. A second area of concern in the World Hunger Programme is determining the nutritional needs of people in tropical countries where there is a heavy burden of intestinal parasites and other infections. Diets in such countries often have substances that interfere with the nutrients they contain. Very little factual information is available on these issues, but one institution - the Institute of Nutrition of Central America and Panama in Guatemala City, Guatemala - is ideally suited to operate as a network to help solve these problems. The INCAP has therefore become an associated institution of the United Nations University and will be conducting research and training United Nations University Fellows in applied nutrition. It will also help in a third area - food and nutrition policy in national development plans. Dr. Guillermo Arroyave, President of the Latin American Nutrition Society, was appointed the first United Nations University-INCAP World Hunger Programme Co-ordinator, and his initial undertaking was to visit the countries of Latin America to identify potential United Nations Fellows, determine the applied research competence and interest of institutions in the United Nations University World Hunger Programme priority areas, and begin the forging of a network of institutions in Latin America to advance the objectives of the University.

28. Nutritional standards are largely neglected in national planning by ministries of agriculture, health, and education in the developing countries (and in industrialized countries as well), and even more so by economists concerned with over-all development planning. Since decisions taken at the political level influence the nutritional well-being of people, it is important that nutritional considerations enter into national planning.

29. The Senior Adviser to the Rector for the World Hunger Programme visited India, Pakistan, Thailand, and the Philippines in February and March, and the Philippines, Singapore, Malaysia and the Republic of Korea in May and June. The Rector accompanied him in the first of these visits to the Nutrition Centre of the Philippines in Manila, which has the most extensive programme of applied nutrition at the village level yet undertaken by any country. On the basis of the report on the visit and other information available, a task force convened at Geneva, during the third week of June, recommended that the United Nations University enter into an agreement with this Institution to provide University Fellows with multidisciplinary training and field experience in the specific areas of food and nutrition programme planning and development in the health and education sectors. With the approval of the Council, the Rector returned to Manila to sign an agreement with the Centre, making it the University's third associated institution.

30. For the present, the development of a network of African institutions concerned with post-harvest food conservation will be the responsibility of the United Nations University-CIFRI World Hunger Programme Co-ordinator in Mysore. In anticipation of the availability of CIFRI's facilities for this purpose, Dr. H. A. B. Parpia, its former Director and now a Senior Officer with the Food and Agriculture Organization, who is acting as an adviser to the World Hunger Programme, visited the principal countries in Africa on a mission similar in scope to the one carried out by Dr. Arroyave, the United Nations University-INCAP World Hunger Programme Co-ordinator. Similarly, the United Nations University Programme

Co-ordinator in the Nutrition Centre of the Philippines in Manila will assist the University in forging a network of co-operating institutions in Asia.

31. The World Hunger Programme is also embarking on a series of workshops related to the interfaces among agriculture, food and nutrition. The first workshop is being planned for mid-December 1976 at Ibadan, Nigeria, and the second for the International Rice Research Institute in Los Baños, the Philippines, in March 1977. Plans are being made for similar workshops at the International Crops Research Institute for the Semi-Arid Tropics in Hyderabad, India, later in 1977. The workshops will be concerned with examining and communicating the importance of major issues in each of the three policy areas of the United Nations University priority areas for multidisciplinary research and training. The purpose is to establish a dialogue among agriculturists and nutritionists and the multiple disciplines allied with both that will lead to a better understanding of the nature and significance of nutritional considerations in agricultural sector planning. The participants in each case will be food and nutrition experts from the countries of the region, persons concerned with agricultural sector policies, agricultural extension, and plant breeding. Emphasis is also being placed on post-harvest food conservation to ensure maximum utilization of food produced, including more efficient storage and processing of food at home and village levels.

32. The Programme will also work with the World Health Organization in holding a working group meeting in Africa early in 1977. It will bring together individuals who have worked directly on the problem of human protein and energy requirements under conditions prevailing in developing countries, with particular emphasis on the effects of intestinal parasites and other infections, and on the capacity of local diets to meet human protein needs. A second such workshop to be organized in 1977 by Dr. Arroyave will deal with the requirements for vitamin A under similar circumstances.

33. Additional working groups of this sort will also get together in the University's associated institutions in 1977, with specific topics and locations yet to be determined. However, one mechanism that will be utilized for organizing these workshops will be joint sponsorship with committees of the International Union of Nutrition Scientists (IUNS) and the International Union of Food-Science and Technology (IUFST) concerned with United Nations priority areas.

34. An Advisory Panel on the World Hunger Programme is being organized and will hold its first meeting in Tokyo in September 1976. It will be preceded by a meeting of the Directors of the University's associated institutions, together with the United Nations University World Hunger Programme Co-ordinators of these institutions, who will then remain to participate in the Advisory Panel Meeting. A sub-committee on research and training of the Panel will meet immediately thereafter to decide upon a mechanism for peer review of research applications and examining of fellowship applications.

Human and Social Development Programme

35. The Human and Social Development Programme is being carried out under the direction of Dr. Kinhide Mushakoji, Vice-Rector for Programme. It is based on recommendations made first at the working meeting in the autumn of 1975, and then at two subsequent working meetings held at the University in June - one involving

representatives from United Nations and other international and regional agencies, and the other involving individual experts.

36. Special emphasis is initially being given to two areas designated by the University's Council. One is the transfer, transformation and development of technology. The other is development goals, processes, and indicators, particularly in the social field, including indicators of qualitative change and structures, that would be of help to development planners and policy-makers.

37. In the area of technology transfer, transformation and development, the University's aim is to help identify problems and to help find solutions to problems involving the use of technologies for self-reliant social and economic progress in developing countries. Institutions have been identified in Nigeria, Argentina, Sri Lanka and Japan for possible association with the University.

38. In the area of development goals, processes and indicators, the University's objective is to help evolve improved methods and increased knowledge for setting development goals, establishing development processes, and building appropriate indicators for measuring progress based on the needs and values of individual nations. The University is starting to establish a network of scholars, agencies and institutions concerned with advanced research and training in these areas.

39. Two additional topics have been approved for the Programme in Human and Social Development. One is concerned with the need to provide advanced training for planners and administrators concerned with national development. Institutions in Poland and Brazil are among those identified as potentially suited to the University's network in this area. The other is that of human rights, peace, and international law as related to human and social development, for which the possibility of a network will be explored.

Council's response to programmes

40. At its seventh session, the Council expressed approval of both of the programmes. After completing its over-all review, the Council expressed its sincere appreciation for the remarkable and decisive progress that the University had made since the sixth session in the planning and implementation of its distinctive and unique programmes.

V. FUND-RAISING

Endowment Fund

41. One of the unique features of the University among international institutions is the concept of its endowment fund. Unlike many other United Nations agencies, the University does not receive any regular subventions from the United Nations paid for by Member States. Instead, in order to ensure the academic autonomy and financial viability of the University, it was decided that the principal way of financing the basic expenditures of the University would be by means of income from an endowment fund made up of voluntary contributions by Member States.

Japan's leadership

42. The Government of Japan made the concept of an endowment fund for the United Nations University a reality by pledging \$US 100 million in five annual instalments of \$20 million provided instalments are approved by the Diet and that other countries also make appropriate contributions. The first instalment of \$20 million was paid in January 1975 and the second instalment in January 1976. The third instalment has been budgeted and is due to be paid in January 1977.

Solicitation of Member States

43. During the past year and even before assuming full-time duty, the Rector and Vice-Rector for Planning and Development have given a great deal of time to travelling extensively to request contributions and pledges from Member States. So far, 28 countries have been visited for this purpose.

44. In all cases, the response of Governments of Member States to the idea of the University has been favourable. None has refused to contribute, though because of depressed economic conditions during the past year, several have said that contributions would have to be delayed until conditions improve.

Contributions and pledges

45. Altogether, so far, 10 Member States have contributed or made pledges to contribute to the endowment fund and in one case, the United States of America, the legislature (Congress) has authorized a first contribution (\$US 10 million) which awaits Presidential request. 10/ Strong commitments to contribute generously to the endowment fund also have been received from major countries in Western Europe and the Middle East.

46. The contributions and pledges made to date fall into two categories: those proportionately of a size that fulfils the endowment concept, such as those from Venezuela (\$10 million) and Ghana (\$2.5 million), and those that demonstrate support for the University but are proportionately comparable to annual

10/ The authorization is for the 1977 fiscal year (October 1976--October 1977).

contributions to other United Nations organizations. The University is most grateful for all these forms of support. Because the endowment concept is fundamental to establishing the University as an objective and viable institution, however, it is of critical importance that increasing numbers of Member States make contributions of an endowment nature. In many parts of the world the endowment concept is not familiar. The fact that such contributions, though necessarily of a relatively large size in a given year are "one-time" contributions, and that the University will not be requesting such contributions as an annual basis repeatedly, needs to be more widely understood.

47. In considering the question of fund-raising at the seventh session, many Council members commented favourably on the efforts that have been made to obtain contributions and made suggestions about ways to encourage further contributions. Some Council members expressed the view that it would be helpful if pledges to the endowment fund could be paid over more than five years. Some members suggested that poorer countries should be urged to contribute in more flexible ways. While difficulties for some countries to contribute to the endowment fund were recognized, the Council considered it essential to persevere in efforts to raise the fund.

48. The work of the seventh session concluded with the members of the Council voicing their deep thanks to the Government and people of Japan for the crucial role Japan is playing in launching the University until the expected additional support is received from other countries.

49. The following table shows the pledges and payments that have been made to date. Obviously, to match the contributions of the Government of Japan adequately, to establish a genuinely international endowment fund, and to provide an adequate financial basis for planning the future development of the University, a great deal more must be pledged and contributed very soon. The staff of the University, assisted by members of the Council, will continue strenuous efforts to obtain that result. It is anticipated that now that the University is operational, many additional Governments will make their contributions and pledges soon.

Present status of national pledges and payments
(in United States dollars unless otherwise noted)

<u>Country</u>	<u>Pledged</u>	<u>Paid</u>	
Japan	\$100 000 000		(pledged over 5 years starting 1974)
		\$20 000 000	(20 January 1975)
		\$20 000 000	(22 January 1976)
Senegal		\$ 22 087	(January 1975)
Ghana		\$ 14 750	(August 1975)
		\$ 14 790	(20 November 1975)
	\$ 2 500 000		(pledged over 5 years starting July 1976)
Sweden		Kr. 1 000 000 (\$ 231 215)	(August 1975)
Greece		\$ 20 000	(January 1976)
Norway		Kr. 1 000 000 (\$ 180 000 approx.)	(January 1976)
Venezuela	\$ 10 000 000		(pledged over 5 years in 1975)
		\$ 2 000 000	(January 1976)
Libyan Arab Republic		\$ 50 000	(26 April 1976)
Netherlands	\$ 100 000		(pledged annually for several years starting 24 May 1976)
Austria	S. 4 000 000 (\$ 220 000 approx.)		(14 June 1976)
		S. 1 000 000 (\$ 55 000 approx.)	pledged annually thereafter
<hr/>			
United States of America	\$ 10 000 000		(authorized by Congress for fiscal 1977 (beginning October 1976) if requested by President)

VI. INSTITUTIONAL RELATIONS

50. A summary of proposals for institutional relationships received by the United Nations University was presented at the seventh session of the Council to provide members with an analysis of the various proposals to the University from Governments, institutions and private organizations and individuals. These proposals had been received by the University initially in response to appeals issued by the Secretary-General of the United Nations and the Director-General of UNESCO, when the University was being planned and before it formally came into existence and subsequently.

51. The Council, at its fourth session, decided that the University should determine its own priorities and clarify the variety of institutional relationships it should establish before responding to proposals from outside. This was done to ensure that the University's responses to requests for institutional co-operation and partnership would follow a logical pattern in accordance with selected priorities and available resources. By following this course, it was also believed that the University would avoid the danger of creating merely ad hoc or opportunistic programmes.

52. At the time the report was prepared for the Council's seventh session in June and July 1976, approximately 250 proposals had been received from over 65 countries, sponsored by Governments (52), universities (100), other institutions (67), organizations (25), and individuals (3).

53. After examining this report, members of the Council observed that, while useful possibilities existed among the offers received, the University should elicit a wider variety of proposals in planning its programmes. Towards this end, in the coming months the University will inform Governments, institutions and others concerning the Council's developing policy on institutional relations, which is as follows.

Council's policy on institutional relations

(a) Any relations that the University establishes with institutions should relate to the programme priorities established by the Council.

(b) The University itself should take a positive initiative in identifying and "recruiting" institutions and in mobilizing them for relationships that fit into existing programme priorities.

(c) The University should look for institutions which are concerned with its major programme priorities and which are not limited to projects producing results only of local interest.

(d) Three criteria are to be used in selecting institutions to approach:

(i) Institutions being proposed and planned or which are at an early stage of establishment and which could be so developed as to fit into programme priorities of the University and/or which could become incorporated institutions of the University;

- (ii) Institutions whose work would have long-term interests and perspectives for the University;
 - (iii) Institutions which fall within the range of the University's programme priorities and would bring financial benefits directly or indirectly to the University from Governments.
- (e) The following procedures may also be utilized in identifying institutions within the framework of the University's programme priorities:
- (i) Vice-Rectors, Directors of Programme and "committees of experts" will first seek out suitable institutions which satisfy the above criteria and eliminate inappropriate institutions from consideration;
 - (ii) Advisory groups will be appointed to evaluate (if necessary by visiting) institutions which are of interest in relation to the University's programmes;
 - (iii) Such advisory groups will pay due regard not only to well-known institutions and "centres of excellence" but also to institutions which may not be so well known but which may be found in countries which do not have a large number of higher educational institutions;
 - (iv) After the advisory groups have completed their work, full details of the institutions identified in relation to the University's programmes will be submitted to the Council in order to enable it to take appropriate action.
- (f) Finally, while seeking to further its institutional relations, the University will continue to co-operate fully with international agencies in relation to all its distinct research and training programmes. This calls for a full exchange of relevant information about these programmes, priorities and the dissemination of results.

54. Experience has shown that because the concept of the University is so unique, it is most effectively communicated in face-to-face discussions. Therefore, in order to familiarize academic and research institutions and government officials with the opportunities the United Nations University affords and to receive proposals for co-operation that will enable the University to accomplish its purposes most effectively, the University will hold a series of consultative meetings throughout the world. The first of these will take place in the autumn and winter of 1976-1977 in Bonn, Paris, London, Baghdad and Khartoum, and more in other areas are being planned for the near future.

VII. ORGANIZATIONAL DEVELOPMENT OF THE UNIVERSITY

55. At the sixth session of the Council, the Rector was requested to prepare a model of the organization of the United Nations University as it may develop in five years. The Rector responded to this request initially with an interim report 11/ that was submitted to Council members prior to the seventh session and discussed by them at that meeting. The following paragraphs are excerpted from the full report:

(a) Because the University has been created to play a unique role for which there are no precedents, the development of a model is a major conceptual exercise. It is not sufficient to provide an organizational chart with boxes representing areas of responsibility and lines representing divisions of authority. Such charts have already been presented to the Council and are important elements in administrative planning and budgeting. However, they do not describe the processes by which the University will meet its various objectives. Indeed, if the charts are examined from the perspectives of most university or agency experiences, they may be very misleading because the functions they illustrate may be performed very differently in the United Nations University than in more conventional institutions.

(b) Therefore, in creating a model that describes the work of the United Nations University and not only its hierarchical structure, it is necessary to examine the major functions of the University to explore the various mechanisms available for performing those functions, and to choose among the mechanisms in the context of the substantive nature of the programmes. When these areas are elaborated, then an organizational structure can be designed that will enable the University to initiate and manage new processes of research, training, and dissemination of knowledge.

Primary functional responsibilities

(c) There are four primary functional responsibilities of the United Nations University:

- (i) To design programmes of research, training and dissemination of knowledge to help solve the pressing global problems of human survival, development, and welfare;
- (ii) To promote, facilitate, and support research and training in the programme areas;
- (iii) To disseminate the results of the research;
- (iv) To establish and operate a central management structure to fulfil the above responsibilities.

11/ See UNU/C/Session 7/L.5, annex IV.

Functions related to designing programmes

(d) The responsibility of designing programmes to - in the words of the Charter - "help solve the pressing global problems of human survival, development, and welfare" suggests several functions that the United Nations University might undertake, including the following:

Consulting with a wide range of individuals and organizations in the public and private sectors.

Reflection on what is implied by the objectives of human survival, development, and welfare in the variety of societal and cultural contexts in which they are considered.

Determining the varieties of development goals, strategies, and approaches that may be required to meet basic needs of the peoples of the world on a sustainable basis. These have reference to cultural as well as physiological needs.

Conceptualizing "problem" areas consistent with these determinations which are tractable enough for research progress but not so narrow that research results become meaningless with respect to action programmes.

Functions related to research and training

(e) It has already been decided that the major mechanism of the United Nations University for the conduct of research and training programmes will be to establish and operate "networks". Thus, the principal functions related to promotion, facilitation, and support of research and training programmes include the following:

Establishing and maintaining formal and informal consultative linkages with many groups within the United Nations system, the academic community, various levels of the decision-makers, and the public.

Identifying appropriate individuals, groups, and research and training institutions.

Initiating and responding to offers for association or for contractual relations with the University.

Creating a wide variety of networks.

Supervising the networks.

Consulting with individuals in the networks.

Monitoring and assessing progress in the programme areas.

Innovating at appropriate times in the process.

Functions relating to dissemination of research results

(f) The United Nations University takes very seriously the responsibility to disseminate the results of University-supported activities in ways that will make them most useful to those who wish to understand and/or have responsibility for solving pressing problems. This will involve functions such as the following:

Evaluating and reviewing all research and training results.

Synthesizing results obtained from elements of the same network and from different networks.

Synthesizing the results of several programme areas.

Establishing training programmes in appropriate areas based on research results or the effectiveness of similar training programmes.

Transforming the research results into formats relevant to various groups that study, have responsibility for, and/or are affected by the problem area.

Communicating the results through a variety of publication formats, films, the press, and radio and television networks.

Providing feedback to the various activities involved in designing programmes so that research areas and approaches can be modified if desirable.

Functions related to central management structure

(g) The central management unit of the United Nations University is based in Tokyo and will have over-all responsibility for all activities conducted by and for the University. In addition to the administrative and support functions, there are several management functions that must be performed, which include:

Obtaining financial resources from Governments, foundations, corporations, and private sources.

Identifying, selecting, and recruiting professional staff.

Evolving the managerial and support procedures that will stimulate synergistic interaction of the professional staff.

Selecting which of the functions listed in the previous three sections will be emphasized for any given programme and which activities and responsibilities will be undertaken and supported by the University.

Selecting, creating, and managing the processes, mechanisms, and networks that will be required to carry out these functions (discussed in the next two sections).

Managing a process of self-evaluation and continuous renewal.

Maintaining contacts and consultations with the United Nations University Council.

Establishing and maintaining co-operative and liaison activities with United Nations agencies.

Establishing and maintaining co-operative and liaison activities with a variety of governmental, intergovernmental, academic, and private groups.

Representing the University and its results in a variety of forums throughout the world.

Establishing library and information referral systems.

Operating a variety of public relations and information activities.

Mechanisms for fulfilling functions

(h) There are many mechanisms that the United Nations University can employ in fulfilling the functions outlined above. Choices among them have major implications for the way the University's central management unit must operate and, consequently, for the way it must be staffed. The choices are also highly dependent on the particular characteristics of a programme area and on the capabilities that exist world-wide to respond in a meaningful way.

(i) In addition to "networks", which will be discussed in more detail in the next section, the mechanisms which might be used include the following:

Individual consultants can be hired on short- or long-term contracts to prepare background reports, appraisals, and planning studies, to make site visits, and to conduct similar activities. There are, of course, policy considerations regarding the balance between full-time United Nations University professional staff and the use of outside consultants.

Working meetings of experts can be held for a variety of reasons, including providing advice and judgement on priorities, programmes, resources, and processes. These meetings would generally be ad hoc in nature, with the timing, mandate, and composition depending entirely on the subject matter. In general, it would be desirable for a University staff member or consultant to prepare background material in advance of a meeting and be responsible for translating the deliberations into specific recommendations for University consideration. This was the pattern followed in the meetings held last autumn.

Task forces can be created on an ad hoc or continuing basis in order to achieve a specific objective that has been identified by the United Nations University such as assessing a proposed programme, designing a network, and monitoring and evaluating activities. A continuing task force could be

regarded as a type of network of relevant experts that the University relies upon in an operational sense. Such a task force might have a part- or full-time Executive Secretary, who could be a United Nations University staff member or an outside consultant.

Advisory bodies can be created on a standing basis in very general or very specific areas of United Nations University activities and operations. Such bodies could be concerned with academic standards of research, the conduct of a specific programme, relations with other institutions within and outside the United Nations system, and evaluation of results before publication.

Incorporated institutions can be created or absorbed and operated by the United Nations University to perform various functions such as analysis of developments in priority areas, in network management, synthesis and transformation of research results, and publication and film-making activities. Such institutions would essentially be operating organs of the University. They could be established for fixed or indefinite periods with short- or long-term staff appointments; the size of staffs could vary considerably among institutions or within institutions over time; and the location of any institution might be in any part of the world. The existence of such institutions would have more profound implications for how the central management of the University is ultimately organized than would most other mechanisms, with the exception of networks.

Networks

(j) The major work of the United Nations University will be conducted through "networks". Thus, very careful consideration must be given to the organizational implications of conceiving, creating, managing, monitoring, and utilizing networks. Unfortunately, this is an exceedingly difficult area to conceptualize in the abstract, outside the context of specific programme objectives. It is even more difficult to imagine what may be required in terms of central management functions until there is some actual experience to draw upon. Such experience is already being gained in the priority area of world hunger, and two potential programme areas in human and social development are being explored.

(k) As the first steps in the process of understanding what is implied by operating through networks, the types of elements that might be related have been identified, and criteria have been suggested that could influence major policy decisions on network operations in particular circumstances.

Elements to be related

(l) There is no single model of a network that can be described that would explain what will be involved as the United Nations University begins establishing networks. In general, it can be stated that the University will not operate as a consortium where institutions are brought together because of broad, common or complementary interests and then specific programmes are designed by the partners;

nor will it operate like a foundation that makes grants on the basis of specific criteria but then does not assume a participating role during the conduct of the work.

(m) The United Nations University will select and combine the various elements in the networks according to the nature of the problem area, the anticipated results, and the capabilities of individuals and institutions.

(n) The elements include the following:

Research institutes that may or may not have associated educational or training programmes.

Educational and training institutes that may or may not be degree-granting.

United Nations agencies in the context of their research, operational, or policy-making functions.

Governmental agencies and regional organizations in the context of their research, operations or policy-making functions.

Any part of an institute such as a department or a centre in a university or a division in a research institute or agency.

Disciplines particularly when there is a possibility that interaction among different disciplines may produce important results such as between ecologists and economists or sociologists and development planners.

Sectoral areas particularly when there is a possibility that interaction among different areas may produce important insights such as between the agricultural and health sectors or the energy and transportation sectors.

Individuals whether or not associated with an institution in the network.

Non-governmental organizations such as conservation groups.

Other networks such as professional associations and inter-organizational projects or task forces.

(o) For any given programme area, almost any combination of elements might be selected. The nature of the network relationships would vary depending upon the selection and the circumstances; for example, research, educational, and training institutes might become associated institutions or undertake work by contract; intergovernmental and governmental agencies might be involved through contracts, participation in working meetings or task forces, and individuals might participate through almost any of the mechanisms.

Criteria for structuring networks

(p) There are several criteria that can be used alone or in some combination

to determine the most appropriate mixture of the types of elements listed above. These criteria include the following:

Substantive considerations related to the nature of the area or whether, for example, the desired programme results are primarily related to conceptual development, basic research, applied research, technological innovation, policy analysis, or training.

Institutional capability in terms of present contributions or potential for future contributions (see discussion in the later section on "Institutional Relationships").

Similarity among organizations, disciplines, areas or individuals where a more concentrated and intensive effort could yield significant results.

Complementarity among organizations, disciplines, areas or individuals where a synthesis could yield new insights.

Differences among organizations, disciplines, areas, or individuals where a clash of ideas and approaches could stimulate promising new areas for research.

Geographical considerations such as assuring regional or "global" perspectives or representations.

Communications considerations depending on whether interactions are desired primarily among groups of researchers or among researchers and policy-makers, the public and/or educators.

(q) For any given programme area and its objectives, these various criteria will be used with different weightings to determine the nature and style of the network.

Institutional relationships

(r) In the Rector's report to the sixth session, three possible types of institutional relationships were discussed: programmatic - to pursue specific programme purposes of the United Nations University; developmental - to help institutions; and response - to respond to relevant offers. These three types of relationships addressed three requirements of the University: to engage in research, training, and the dissemination of knowledge on pressing global problems; to develop institutional capabilities to deal with these problems on a continuing basis; and to take advantage of offers of institutes to enhance the capabilities of the networks the United Nations University is to establish to strengthen world-wide intellectual co-operation. At the sixth session, the Council members suggested that the developmental and response categories be combined. It would now appear that there is no need for any categorical distinctions.

(s) In the original proposal, it was suggested that the developmental and response relationships might not relate directly to specific United Nations University programmes. After careful consideration of potential University development and the resources available over the next few years, it would appear a relationship should only be established if the offer of an institution fits within an existing programme or if it is desirable to establish a new programme that will encompass it. As the United Nations University becomes more firmly established and makes progress in several high priority areas, then "diversification" through institutional relationships not related to programmes may be a more useful process for development than it appears to be at this stage with present limitations on central funding and management capabilities.

(t) As noted in the report to the sixth session, all institutional relationships - whether incorporated, associated, or contractual - would be for fixed periods, such as three years, which might be renewable for an additional period. The nature of any particular relationship - substantively and administratively - will depend on each situation and will probably differ widely among various institutions.

(u) The necessity for combining programmatic and institutional development objectives has both positive and negative implications for the progress the United Nations University can be expected to make. In any given network focusing on a particular programme area, there will be institutions with varying capabilities in terms of size, professional development, and available funds. This undoubtedly will result in less "efficiency" in research and training in the short term. However, there are important criteria other than efficiency to be considered in establishing University programmes. It is quite likely that the benefits to be achieved by such a mixture in the long term will ultimately serve the goals of the University far better than the strategy of separating relationships according to programme and to institutional development.

(v) Perhaps the foremost benefit is that the institutions that may now be considered the "best" in terms of standards of academic excellence may indeed be the least able to conceptualize and define the problems in new and imaginative ways relevant to the varying contexts that exists in developing countries. The inclusion of developing institutions familiar with these factors could help assure that the appropriate problems were being addressed. Thus, the various perspectives, linkages, and geographical richness that developing institutions would contribute to the network could more than compensate for any "inefficiencies" that might result from this approach.

(w) In terms of the goal of institutional development, it would appear that progress may best be made through the problem-solving mode in collaboration with more experienced institutions. The major long-term benefit is that institutions will have been developed within the context of high-priority programmes of the United Nations University and will thus be able to assist their societies in coping with similar problems in the future.

Council's response to report

56. At its seventh session, many members of the Council expressed great appreciation for this report. The Rector undertook to report on further progress towards developing a model of the future organization of the University at the next session.

VIII. FINANCE AND BUDGET 12/

57. The University's income from endowment for 1976 is \$US 3,360,000. In addition, there is \$316,000 of unspent budgeted income from 1976, and \$294,000 of additional income from 1975.

58. At the sixth session of the Council in January 1976, \$790,000 was allocated for programmes activities apart from those conducted by the University itself. Because of the rapid development of the programmes and the availability of funds carried over from 1975, the external programme allocations for 1976 were increased at the seventh session of the Council from \$790,000 to \$900,000. This will enable the University to carry over \$500,000 to the 1977 programme budget. Since the programmes are expanding and future funding is not yet certain, this would seem to be a reasonable allocation of existing resources.

12/ Details of the University's budget are contained in the proceedings of the sixth and seventh sessions (A/AC.169/L.7, and UNU/C/Session 7/L.5).

IX. SUMMARY AND CONCLUDING OBSERVATIONS

Summary

59. During 1975-1976, the University established its headquarters in Japan and is already engaged in research and advanced training programmes of great potential value in outstanding institutions in locations around the world.

60. In order to plan its programmes soundly, the University's staff has consulted widely with a large number of experts from many parts of the world and with representatives of other United Nations organizations and international academic and research organizations.

61. Extensive travelling has been undertaken by the Rector and Vice-Rector for Planning and Development to solicit contributions to the endowment fund and to consult with academic and research institutions throughout the world.

62. Careful analysis has been made of offers of institutional co-operation, and a number of consultative meetings are planned for the immediate future to further understanding of the University and to establish working relationships with institutions throughout the world.

63. Continuing thought has been given to the conceptual and organizational development of the University.

64. Staff and other expenses have been kept to a minimum so that a maximum amount of income can be devoted to programme activities.

65. Planning the University's future is limited by the present indefiniteness concerning its financial basis. The full development of the University cannot proceed until more Member States make substantial contributions to the endowment fund.

Concluding observations

Three reasons for creating the University

66. The deliberations that preceded the founding of the University in drafting committees and in the General Assembly itself as well as the experience of the University during its first year of operations have clarified several compelling reasons for its creation:

- (1) The world is beset with problems of international magnitude but lacks effective international instruments for sustained collaboration in defining and seeking solutions to them through research and advanced training. The United Nations University is such an instrument.
- (2) Because many of the most serious human problems are manifested in

developing countries while advanced research and training capabilities are largely concentrated in the industrialized world, there is need to strengthen institutions in developing countries. The United Nations University is mandated by its Charter to serve this purpose.

- (3) The scholars of the world are natural allies in seeking to solve the common problems of humanity, thereby increasing the mutual understanding that helps to strengthen the sinews of peace. But they lack adequate opportunities to work together to achieve significant results through research and advanced training. The United Nations University has been organized to provide such opportunities.

Five needs the University can serve

67. Many of the experts who attended working meetings this year in Tokyo were initially skeptical about the need for yet another international organization. But once they examined the potentialities of the University's unique structure and purpose in relation to deficiencies in their own fields, they invariably became enthusiastic about what the University can accomplish. In general, their deliberations have given emphasis to five needs the University can serve:

- (1) The need for a genuinely international research and advanced training organization to help identify and clarify issues before they become crises;
- (2) The need for a research and advanced training institution concerned with the application of knowledge to practical problems and willing to break the bonds of traditional disciplinary divisions to become an instrument for innovation in organizing subject matter and methods of enquiry and training;
- (3) The need for a research and advanced training institution concerned with the transfer, transformation and development of technologies to meet basic human needs while being concerned with conserving the cultural and environmental inheritance of individual societies;
- (4) The need for an organization to create and sustain substantial opportunities for scholars to collaborate on major problems on an international basis through active linkages and networks among individuals and institutions;
- (5) The need for an institution concerned with overcoming problems of providing scholars and policy-makers with accurate, unbiased, easily understandable information on a wide variety of topics about which research findings are not readily available.

Future prospects

68. The Rector and the Vice-Rector for Planning and Development advised the Council at its seventh session that they are confident that the University will receive substantial support from many countries. They said:

"Without doubt, the basic concept of the University is acceptable all around the world as we have found in all the countries we have visited after we have been able to explain the University to Governments and institutions. It is also clear that, although the greatest value of the University lies in its unique globalness and the particular contribution it can make towards helping to identify and solve pressing global problems, it is in the developing countries that our most immediate impact must be made, and indeed this is recognized and very much welcomed by these countries. Therefore, we have a twofold task ahead of us: a great effort in these initial years should go to strengthen the universal base of the endowment fund including contributions from both large and small industrialized countries, on the one hand, and on the other, to lay emphasis on the special needs of the poorer countries of the third world. These should be urged to make proportionate contributions to the fund. Indeed, we can turn our present difficulties into positive assets if, by working very hard on these smaller countries, we ensure that the fund is universalized and globally supported, and is not dominated by any particular group or groups of nations. It will be a slow process which requires patience, but it is a feasible undertaking, provided we have the necessary support and understanding.

"Inevitably, as with all such undertakings, the first years will be the most difficult but also the most crucial for the University. We believe that if the University, when it began life, had plunged immediately into operational activities and launched several programmes without first undertaking the essential preliminary studies and planning, just because it had been given or anticipated being given abundant funds, the results would be a profusion of ad hoc programmes of doubtful validity and therefore uncertain financing in the long-term. Our more realistic and careful beginnings have been highly commended (for example, by experts from the United Nations research agencies who visited Tokyo for a working meeting in early June), and have been recognized as potentially much more promising and fruitful.

"We have, then, to persuade the hesitant countries to support the University wholeheartedly. And we can do this principally by means of the soundness, relevance and the high-quality programmes of the University that we develop around the world and, most important, by the very integrity of this institution and its faithfulness to the mandate entrusted to it under its Charter."

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