



United Nations  
Educational, Scientific and  
Cultural Organization

# Executive Board

Two hundred and fifth session

# 205 EX/5

## Part III.C Add.

PARIS, 8 October 2018  
Original: French

Item 5 of the provisional agenda

### FOLLOW-UP TO DECISIONS AND RESOLUTIONS ADOPTED BY THE EXECUTIVE BOARD AND THE GENERAL CONFERENCE AT THEIR PREVIOUS SESSIONS

#### PART III

#### MANAGEMENT ISSUES

#### ADDENDUM

#### COMMENTS BY THE INTERNATIONAL STAFF ASSOCIATION OF UNESCO (ISAU)

##### SUMMARY

##### **C. Report on the implementation of the “Invest for Efficient Delivery” Plan**

Pursuant to item 9.2.7 of the UNESCO Human Resources Manual, the International Staff Association of UNESCO (ISAU) submits its comments on human resources issues.

1. ISAU can only approve of the ambition to offer staff “opportunities to access the learning and development needed to enhance their skills, knowledge and abilities to carry out their functions effectively”. Nonetheless, though the intention is laudable, we find it problematic, because the only investment actually mentioned in the document is the financial cost of creating training modules, which are often purchased from outside suppliers. The document fails to take into account the cost of training in terms of time. It would be desirable to consider the practical framework under which staff will participate in these many modules. Currently, staff members must specify their learning targets in MyTalent. However, the current workload sometimes compels staff to choose between performing their duties and doing training (in which case, the only solution is to do training outside working hours). ISAU requests that Item 15.2, paragraph 8 of the Human Resources Manual, which stipulates that the managers of the Organization must “provide staff with the required time to learn”, be respected. When staff members are given time for training, they are often required to finance the



training themselves, which clearly shows a breach of the principle of equality among staff members who have such funds and those who do not.

2. Moreover, in general terms, we cannot fail to note a lack of communication on the workshops made available by the Organization. It should be ensured that information is not made available only to the Assistant Directors-General and heads of section, who then decide who may benefit from it. That purely and simply defies the principles of transparency and equality, which are, *a priori*, promoted by UNESCO.

3. Furthermore, the document does not mention the certification arrangements for these courses, or the way in which certificates will support the career development of staff. We know that, often, a member of staff is denied a post in favour of an external candidate with skills that are supposedly unavailable in the Secretariat. What guarantee is there that these new training courses will address such shortcomings? If it is a question of investing in the efficiency of the Organization, this efficiency depends first and foremost on its staff, who are asked to expend more efforts and take on new duties without objectively verifying (outside the tenuous self-assessments) the real gains of those efforts for the Organization, and without reflection on career advancement.

4. Finally, we question the competitiveness of these new in-house training modules in comparison to training available outside the Organization.

5. We dare suggest that in this new reflection on training, there is a risk of bureaucratic self-satisfaction, because the document emphasizes the implementation of means, not the achievement of tangible results. An example is fund mobilization, the measure of which cannot correspond to the number of training modules, but the achievement of a mobilization target. We must aim for efficiency, but to do so, we must demonstrate genuine ambition, which considers the expectations and needs of the persons implementing it. It is not enough to provide them with online training and hope that some kind of transformation will come of it.

## **ANNEX I – LEARNING AND DEVELOPMENT INITIATIVES**

### **Overall planning and next steps**

6. ISAU shares the Director-General's view on the need to offer staff “opportunities to access the learning and development” that would enable them to “enhance their skills, knowledge and abilities to carry out their functions effectively”.

7. We completely agree that such initiatives represent “a much-needed boost”. However, ISAU regrets “that the Organization has not benefitted from a systematic, corporate-level approach to learning and development since 2012”. It is an issue of crucial importance. We support the idea that we must “revitalize a learning culture”. However, we note that a learning culture is meaningless unless it is accompanied by a management culture that rewards effort and initiative. In an Organization where the External Auditor has recently found that staff evaluations had no influence on career development, it is unclear how the thousands of modules proposed will have any effect on the real motivation of staff members.

8. ISAU insists on the need to go beyond the creation of online learning modules and encourage initiatives aiming to organize other kinds of training.

9. ISAU notes that these different programmes aim to enable staff to access the skills needed within the Organization. We do, however, wonder whether an evaluation was conducted to establish these “appropriate skills”.

**Learning initiative 2: enhance professional competencies for programme delivery**

10. The availability of e-learning modules effectively enables staff to easily access training opportunities, particularly regarding interpersonal and communication skills. However, it is troubling to note that despite the increased use of these modules, only 1,400 out of 4,000 have been completed.

11. We can only insist on the importance of setting up workshops (especially for the development of interpersonal and communication skills), so that staff members can meet other colleagues and discuss their experiences with them. That would undeniably improve understanding and strengthen team cohesion and spirit. ISAU insists on the incentive effect of such modules and proposes that other drives for learning be set up (particularly regarding the time devoted to training and the consideration of certification in performance evaluations and career management).

**Learning initiative 3: strengthen the management and accountability culture**

12. ISAU favours the initiatives “to equip supervisors and managers with the tools to support the career management and mobility process”. However, the improvements expected through the three subjects broached (competency-based interviews, performance management and career-development conversations) can only take place in a favourable environment that takes performance into account. For that reason, ISAU supports a thorough reform of the performance management and evaluation system. Today, this system is a real minefield in its complexity. Many supervisors choose to “abandon” it entirely, thereby failing to evaluate staff sincerely, rather than initiate a process that will cause them to waste both time and energy.

13. Moreover, while supervisors and administrators are trained in competency-based interviews, these should be integrated into career management. Currently, that is still not the case, despite the fact that staff members massively support such interviews.



United Nations  
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# Executive Board

Two hundred and fifth session

## 205 EX/5

### Part III.C

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#### **FOLLOW-UP TO DECISIONS AND RESOLUTIONS ADOPTED BY THE EXECUTIVE BOARD AND THE GENERAL CONFERENCE AT THEIR PREVIOUS SESSIONS**

#### **PART III**

#### **MANAGEMENT ISSUES**

#### **SUMMARY**

#### **C. Report on the implementation of initiatives funded and planned under the “Invest for Efficient Delivery” Plan**

The purpose of this document is to inform the Members of the Executive Board on the progress achieved in the follow-up to the decision adopted by the Executive Board at their 204th session, on the initiatives funded and planned under the “Invest for Efficient Delivery” Plan.

Action expected of the Executive Board: proposed decision in paragraph 2.



Doc. 2018/1675

**C. Report on the implementation of initiatives funded and planned under the “Invest for Efficient Delivery” Plan**

(Follow-up to [204 EX/Decision 5.II.D](#))

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1. Pursuant to [204 EX/Decision 5.II.D](#), the Director-General submits to the Executive Board this progress report on the “Learning and Development” initiatives (Annex I), on the “Knowledge Management and Information Technologies” initiatives (Annex II) and other initiatives (Annex III) for which funding was approved under the “Invest for Efficient Delivery” Fund.

**Proposed decision**

2. In the light of the above, the Executive Board may wish to adopt the following decision:

The Executive Board,

1. Recalling [204 EX/Decision 5.II.D](#),
2. Takes note of the progress report provided by the Director-General on the implementation of the “Learning and Development” initiatives (Annex I), on the “Knowledge Management and Information Technologies” initiatives (Annex II) and on the additional initiatives approved at the 201st session;
3. Invites the Director-General to further implement these initiatives;
4. Requests the Director-General to submit an updated report on the implementation at its 206th session;
5. Reiterates its appeal to Member States to consider providing voluntary contributions to increase the budget of this important investment fund.

## ANNEX I

### LEARNING AND DEVELOPMENT INITIATIVES

Pursuant to [199 EX/Decision 5 \(II,D\)](#), the Director General submits to the Executive Board this information note on the progress made on the learning and development initiatives for which funding has been approved under the “Invest for Efficient Delivery” Plan.

As of 25 June 2018, progress continues to be made on the following Learning Initiatives:

- Improve Resource Mobilization
- Enhance Professional Competencies for Programme Delivery
- Strengthen the Management and Accountability Culture
- Enhance Programme Delivery at Country Level with the United Nations System
- Strengthen Leadership Skills
- Maximize the use of Internal Tools for Increased Productivity
- Strengthen UNESCO’s Decentralized Evaluation Function

Qualitative and quantitative feedback is sought from end-users for all learning activities, whether delivered online or face-to-face, which informs the iterative process for the development of remaining modules.

#### **Overall planning and next steps:**

It is envisaged that 86% of the funds will be committed during 2018. Of the non-committed funds, approximately 8% is intended for the development of the financial modules, the content of which will be impacted by the core system redesign, and the remaining 6% for the development of leadership skills at country level and the use of internal ICT tools.

The learning initiatives developed under the Invest for Efficient Delivery Plan are providing staff with some vital opportunities to access the learning and development needed to enhance their skills, knowledge and abilities to carry out their functions effectively. The initiatives are a much-needed boost, given that the Organization has not benefitted from a systematic, corporate-level approach to learning and development since 2012. These learning initiatives have served to revitalize a learning culture, and where possible, the learning strategy has built in a sustained approach to learning, for example through the development of e-learning modules. However, as a knowledge-based organization, UNESCO cannot rely on a one-time initiative. Consequently, HRM has developed a corporate-wide Learning and Development Action Plan leveraging and expanding on the learning initiatives developed under the Invest for Efficient Delivery to ensure staff have the appropriate skills at the necessary level to meet new challenges. This will require sustained funding.

#### **Report by initiative:**

##### **Learning Initiative 1: Improve Resource Mobilization**

***Contributing to Strategic Result 2 “Improved and sharpened resource mobilization processes and strategies”.***

Progress: The creation of five e-learning modules has started. The on-screen structure of all modules is currently under internal review for approval, before the build stage.

The Guide to Resource Mobilization has been drafted and is also in the internal review stage, before publishing.

Budget: A budget commitment of 44% of the total amount has been allocated. The remaining budget is earmarked for the development of further e-learning modules, and to refine the pedagogical approach of the Guide.

Planning: The development of the e-learning modules is scheduled for delivery by autumn 2018. The Resource Mobilization Guide is scheduled to be finalized in the latter part of the year.

## **Learning Initiative 2: Enhance Professional Competencies for Programme Delivery**

### ***Contributing to Strategic Result 6: “Improved program/project management & risk mitigation”.***

This Learning Initiative is divided into three sub-components, namely:

- (a) Programme/project management
- (b) Communication and interpersonal skills
- (c) Gender Equality and Gender Mainstreaming

#### Progress:

- (a) Programme /project management

Work has progressed on the development of the three e-learning modules on Results-Based Management. The instructional design strategy and visual interface have been validated. The content structure for all three modules has undergone reviews, with the on-screen functional prototype of the first module delivered.

The modules on meaningful engagement with youth, one of the Priority Groups of the Organization, have also advanced. The visual interface and the instructional design strategy have been finalized and validated. A representative sample of the modules has been approved, and the development of the five modules is starting in the first half of July 2018.

- (b) Interpersonal and communication skills

The 4,000 modules available under licence on topics such leadership and management, communication, finance, personal development and business skills, continue to be well-received by staff. A regular, frequent and targeted marketing campaign highlights relevant learning opportunities to staff and managers, structured around the values and competencies of the Organization’s Competency Framework. Modules to support learning around the six managerial competencies are targeted to staff in P-4 positions and above.

The take-up rate of these modules continues to be significantly higher than in the period before the purchase of these licences (see table 1). The feedback sought after the completion of every module shows a high rate of satisfaction (see table 2).

Table 1: Nineteen-month periods before and after the introduction of the licensed modules. Excludes obligatory learning modules.

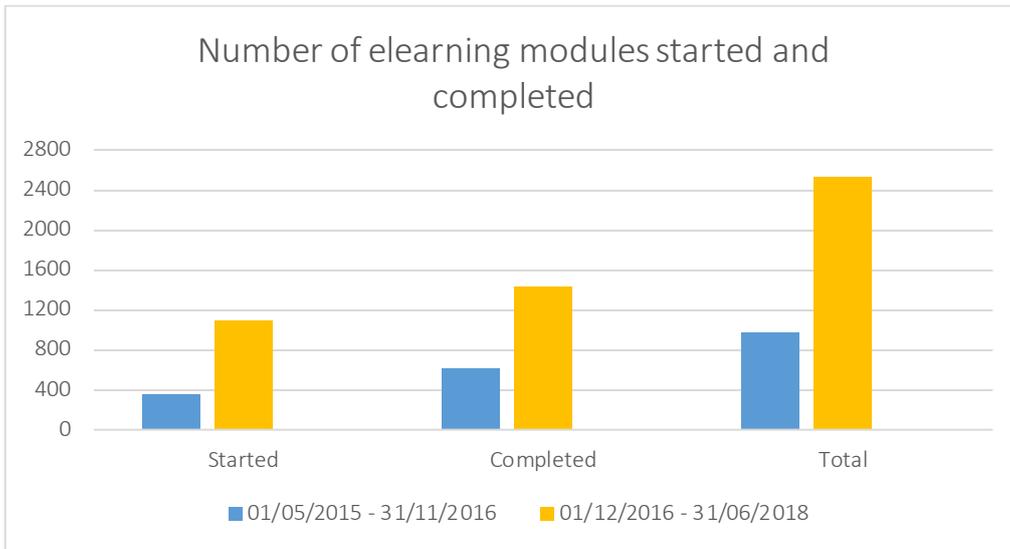
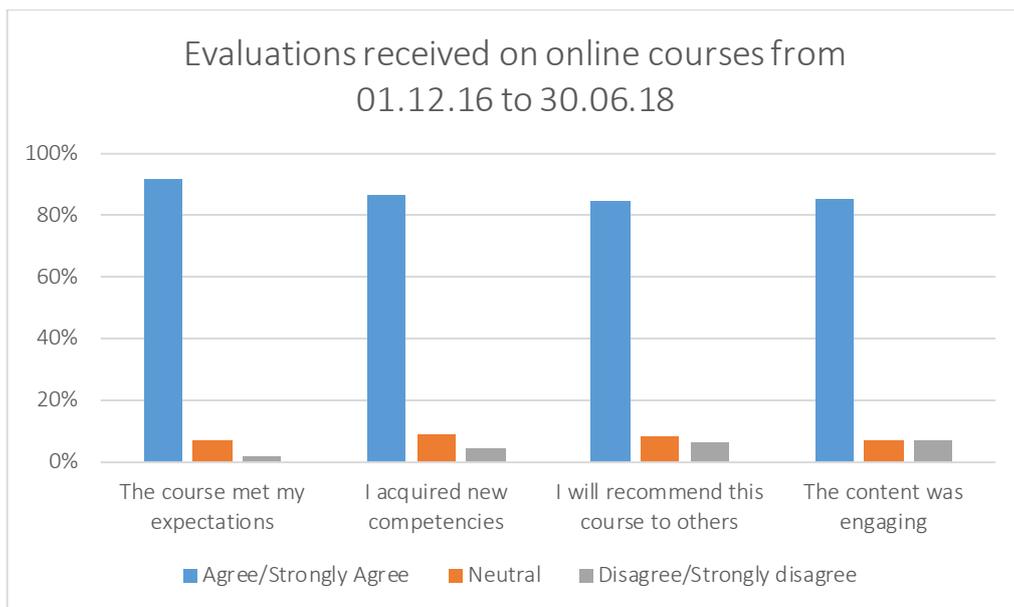


Table 2: Excludes obligatory learning modules.



With regards to communication skills, the content for a Writing for the Web module developed for UNESCO has been piloted with positive results. The next stage is for the content to be adapted to a webinar format, to be recorded and made available on the Learning Management System.

To support UNESCO’s innovative capacities, a learning and development opportunity has been explored in coordination with a leading University in the domain of Futures Literacy. Webinars have been delivered to provide an introduction to the topic and it is intended to launch workshops in the latter part of 2018. The workshops are designed to enable participants to run Futures Laboratories with colleagues and stakeholders in their own areas of work, to ensure the learning is sustainable.

(c) Gender Equality and Gender Mainstreaming

The content of the e-learning modules on Gender Equality and Gender Mainstreaming has been developed and is in the final stages of the instructional design. The next stage is to select the developer for the on-screen product.

Budget: A budget commitment of 45% of the total amount has been allocated.

Planning: The pilot for the Results-Based Management and Youth Engagement modules is planned for autumn 2018. The targeted communication strategy of the modules on Interpersonal and Communication skills is continual throughout the year, with recommended curricula for specific populations.

**Learning Initiative 3: Strengthen the Management and Accountability Culture**

***Contributing to Strategic Result 1 “Streamlined and realigned structures that are more effective and accountable”.***

Progress: In line with an audit recommendation, the module on competency-based interview questions for candidates has been launched. It has been well-received, and is the second most popular topic (in terms of numbers of learners).

Work has progressed on learning initiatives to equip supervisors and managers with the tools to support the career management and mobility process. A structure for a series of workshops is under review, to cover three subjects: competency-based interviews, performance management, and career development conversations. Building on earlier experiences, a train-the-trainer workshop was delivered in June 2018 on capacity building for managers on competency-based interview techniques. Additional materials will also be made available on the Learning Management System.

After consultation with colleagues in the Division of Field Support and Coordination, the learning initiatives on the topic of financial management are on hold. Given the significant changes which will be brought about by the Core Systems Redesign project, it is important that staff are provided with appropriate, targeted learning materials, adapted to the new environment. The intention is therefore to design and develop these learning initiatives at the later stages of the Core Systems Redesign, and into early 2019.

Budget: A budget commitment of 28% of the total amount has been allocated. Approximately 35% of the budget has been earmarked for the learning initiatives on the financial management.

Planning: The roll-out of the workshops on career management will span Q3-Q4 2018.

**Learning Initiative 4: Enhance Programme Delivery at Country Level within the United Nations System**

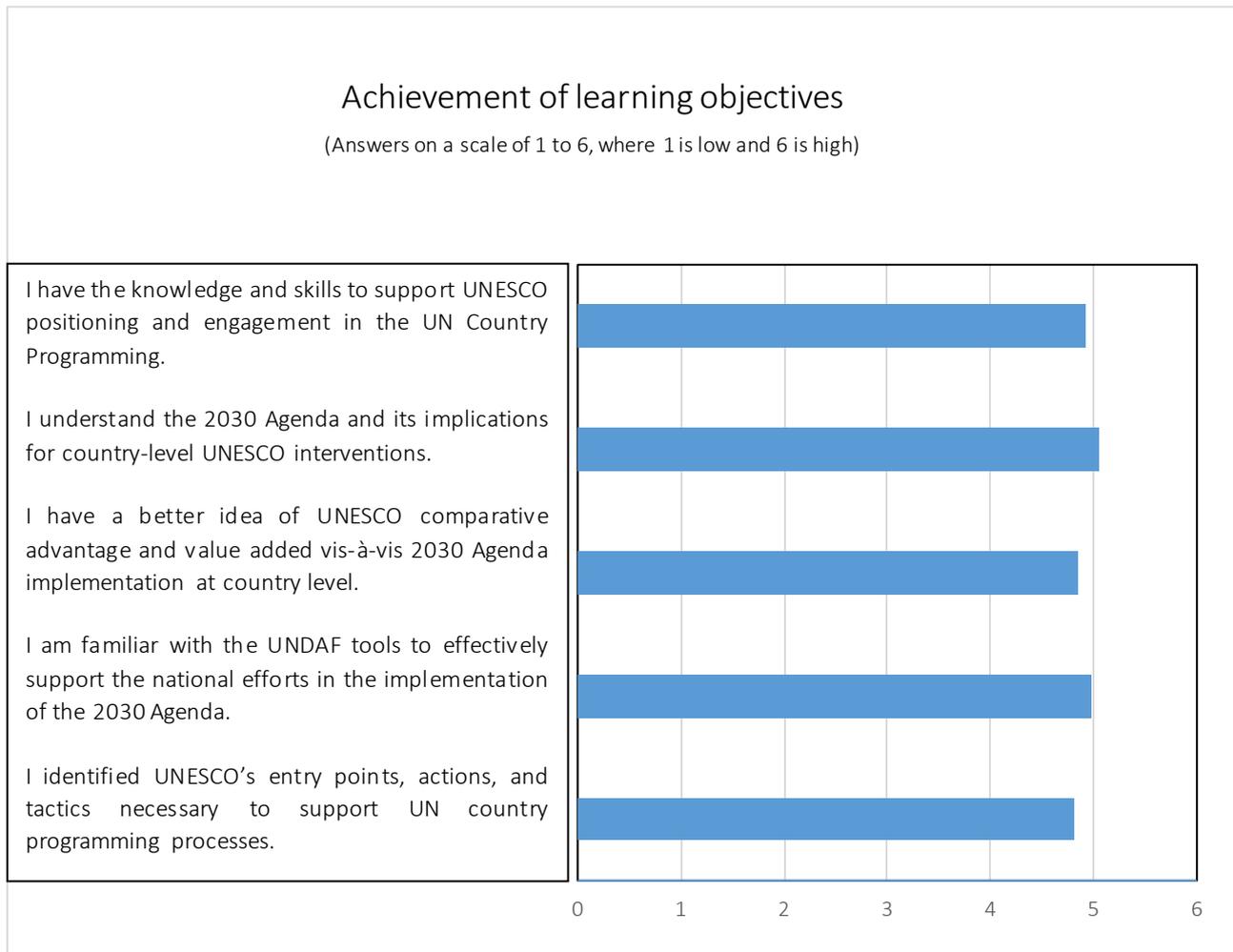
***Contributing to Strategic Result 3: “Realigned programming in support of Agenda 2030”.***

Progress: The Bureau of Strategic Planning has developed in partnership with the United Nations System Staff College (UNSSC) a training course on “UN Country Programming in the Context of 2030 Agenda”. The delivery of these workshops on a regional basis is completed, with the third and final workshop taking place in Bangkok, Thailand, from 6 to 9 March 2018. This workshop brought together 27 participants from 15 field offices and one Antenna of the Asia and Pacific region. The workshops continue to receive positive feedback (see table 3).

The next stage is to explore delivery of the workshops at Headquarters, for a broader population. Discussions are underway with the UNSSC on this, as well as the feasibility of adapting the content to an e-learning environment, to reach an even wider audience.

In addition, in 2018, five Heads/Directors of Field Offices have attended the United Nations Country Team Leadership Skills programme.

Table 3: Feedback on workshops on United Nations Country Programming in the context of 2030 Agenda, held in Addis Ababa (September 2017), Santiago (January 2018), and in Bangkok (March 2018). Average responses from all 79 participants. All participants provided feedback; some participants did not answer all questions.



**Budget:** A budget commitment of 60% of the total amount has been allocated.

**Planning:** Negotiations with the UNSSC are targeting a delivery date for the workshops at Headquarters of Q4 2018, and for the potential e-learning development to commence at approximately the same time.

A further five Heads/Directors of Field Offices are scheduled to participate in the United Nations Country Team Leadership Skills programme in November 2018. This programme is delivered by the UNSSC in various regions.

### **Learning Initiative 5: Strengthen Leadership Skills**

***Contributing to Strategic Result 1 “Streamlined and realigned structures that are more effective and accountable”.***

**Progress:** After implementing four workshops on leadership and management at Headquarters for around 100 participants, workshops for the field offices are now being organised. These will take place in the Asia and Pacific Region (for approximately 30 participants) and the Africa region.

Budget: A budget commitment of 50% of the total amount has been allocated.

Planning: The first leadership workshop for the field offices will be delivered in Bangkok, Thailand, for the Asia and Pacific Region in July 2018, and the second is planned for the Africa Region in November 2018.

### **Learning Initiative 6: Maximize use of Internal Tools for Increased Productivity**

***Contributing to Strategic Result 5 “Improved operational modalities & streamlined work processes”.***

Progress: Work has continued on developing learning modules for the corporate IT tools, and within the Duo applications.

The structure of the module on using Skype for Business for conducting recruitment interviews has been reviewed and approved, and will be made available on the Learning Management System upon final validation. Learning materials to assist staff with the performance management process, and streamline use of the internship platform, have also been developed and launched. Modules on contract creation and validation, and use of the Travel tool, including guidelines on policy, have been translated into French.

Budget: A budget commitment of 60% of the total amount has been allocated.

Planning: The Skype for Business recruitment module will be piloted in July 2018. Additional modules to assist with performance management will be developed in the second half of 2018.

### **Learning Initiative 7: Strengthen UNESCO’s Decentralized Evaluation Function**

***Contributing to Strategic Result 6: “Improved program/project management and risk mitigation”.***

Progress: The Internal Oversight Service (IOS) initiative comprised three main elements: a) workshop-based training, b) online e-learning modules, and c) an interactive community of practice platform. Practically the entire budget (99%) had been spent by mid-2018. Nonetheless, the related outreach and communication activities and management of the newly established Evaluation Focal Point Network are continuing in 2018.

With regard to the **customized workshop-based training**, all planned actions have been completed in 2017. Seven training events on evaluation management were conducted in Bangkok, Beirut, Dakar, Nairobi, Paris (twice) and Santiago. In each of the UNESCO field office locations, two formats were utilized: a half-day office-wide workshop for all staff in the host office, and a subsequent three-day core workshop for the participating Evaluation Focal Points. The format enabled the training to reach more than 200 staff.

With regard to the **online e-learning modules** on evaluation, the content for four modules has been developed and the instructional design strategy, visual interface and content structure validated. On-screen functional prototypes of the first three modules have been delivered and reviewed. The detailed presentation of the content of the fourth module is under review. Work has also started on the French-language version of the modules. The terminology reference guide has been validated, and the translation of the first module is under review. Multi-media resources, to ensure an engaging learning environment, have also been designed and developed. The e-learning material on evaluation will be made available to all UNESCO staff after a pilot phase in the second half of 2018 dedicated to Evaluation Focal Points.

The community of practice platform, through which all Evaluation Focal Points are able to exchange and share information on evaluation practice, was launched in March 2018. It contains a wide range of resources including evaluation plans, completed evaluation reports, evaluation guidance material

and allows the Evaluation Focal Points to browse the directory of Evaluation Focal Points, to enter extrabudgetary projects into the Decentralized Evaluation Plan, to upload completed decentralized evaluation reports, to access key evaluation resources and guidance material, and to communicate with IOS and other Focal Points via the Forum.

Key achievements: Since its launch, a number of improvements have been observed in large part due to the dynamic created with the establishment of the evaluation focal point network and their participation in the evaluation training programme including:

- Approximately 100 trained Evaluation Focal Points in UNESCO field offices, category 1 institutes and at Headquarters who are now exercising this new function.
- The positive trend regarding the submission of decentralized evaluation plans with submissions from approximately two-thirds of UNESCO field offices and Headquarters programme sectors in 2017 and 32 decentralized evaluation reports received from field offices and Headquarters during 2017, continues in 2018.
- The immediate effectiveness of the evaluation management training programme, in terms of the level of improvement in knowledge and understanding in the core areas of the training participants was confirmed in the self-assessment which indicated significant improvements in knowledge and understanding in all areas of the training, and in particular as it concerns the UNESCO Evaluation Policy, how to develop Terms of Reference and the key elements of a quality evaluation report.
- Improvements have also been observed regarding the average quality of decentralized evaluations as a result of increasing support through technical advice in evaluation planning and quality assurance of Evaluation TORs and reports through the active involvement of Evaluation Focal points in the decentralized evaluation processes.

Budget: 99% of the budget has been spent.

Planning: The intention is to publish the modules on the Learning Management System in autumn 2018.

Learning Initiative	Allocation (USD)	Expenditure Rate (Jun.2018)	Estimated expenditure rate (31 Dec.2018)	Remaining funds earmarked for activities to end 2018	Next Steps
<b>Improve Resource Mobilisation</b>	<b>98000</b>	44%	100%	Development of e-learning modules & pedagogic review of Guide	
<b>Enhance Professional Competencies for Programme Delivery</b>	<b>449000</b>				
Programme/Project Management	200000	44%	100%	Futures Literacy workshops Risk Management workshops	
Communication and Interpersonal Skills	179000	55%	100%	Second year of licences for modules Development of Career Management materials	
Gender Equality and Gender Mainstreaming	70000	23%	100%	Development of e-learning modules	
<b>Strengthen the Management and Accountability Culture</b>	<b>438000</b>				
Human Resources Management	140000	0%	100%	Development & delivery of Career Management programme	
Financial Management	158000	0%	0%	Development of learning materials for financial management	Learning needs analysis with BFM post finalisation of core systems redesign
Management Competency Development	140000	84%	100%	Development & delivery of Career Management programme	
<b>Enhance Programme Delivery at Country Level</b>	<b>328000</b>				
UNSSC Leadership Programmes	180000	69%	100%	Further participation in UNSSC programmes	
Support positioning in country programming, & leadership	148000	0%	47%	Delivery of workshops at Headquarters, & e-learning module (expected expenditure ~ \$70k) Delivery of leadership workshops in regions	Delivery of additional leadership development
<b>Enhance Programme Delivery at Country Level</b>	<b>219000</b>	94%	100%	Delivery of workshops at Headquarters	
<b>Strengthen Leadership Skills</b>	<b>109000</b>	50%	100%	Delivery of leadership workshops in regions	
<b>Maximise use of Internal Tools for Increased Productivity</b>	<b>109000</b>	61%	75%	Development of further materials on IT tools	Review learning needs, including tools related to core system redesign
<b>Strengthening UNESCO's Decentralised Evaluation</b>	<b>200000</b>	99%	99%	N/A	N/A
<b>Total</b>	<b>1950000</b>		86%		

## ANNEX II

### KNOWLEDGE MANAGEMENT AND INFORMATION TECHNOLOGIES

Pursuant to [204 EX/Decision 5.II.D](#), the Director General submits to the Executive Board this report on the progress made on the Knowledge Management and Information Technologies initiatives, for which funding was approved under the “Invest for Efficient Delivery” Plan.

Over the reporting period, steady progress was made on all of the six KM and ICT projects, contributing to the agreed strategic results, namely:

Strategic Result	Projects
Improved & sharpened resource mobilization processes and strategies	<ul style="list-style-type: none"> <li>Enhance Transparency portal</li> <li>Implement system support for resource mobilization and events management (Constituency relationship management (CRM))</li> </ul>
Improved operational modalities & streamlined work processes	<ul style="list-style-type: none"> <li>Improve document and multimedia management</li> </ul>
Ensuring structured delivery (field)	<ul style="list-style-type: none"> <li>Strengthening knowledge sharing and collaboration in the field (CONNECT-U)</li> <li>Field performance dashboard</li> </ul>
Improved program/project management & Risk mitigation	<ul style="list-style-type: none"> <li>Redesign core systems</li> </ul>
Risk management	<ul style="list-style-type: none"> <li>Ensure business continuity and disaster recovery</li> </ul>

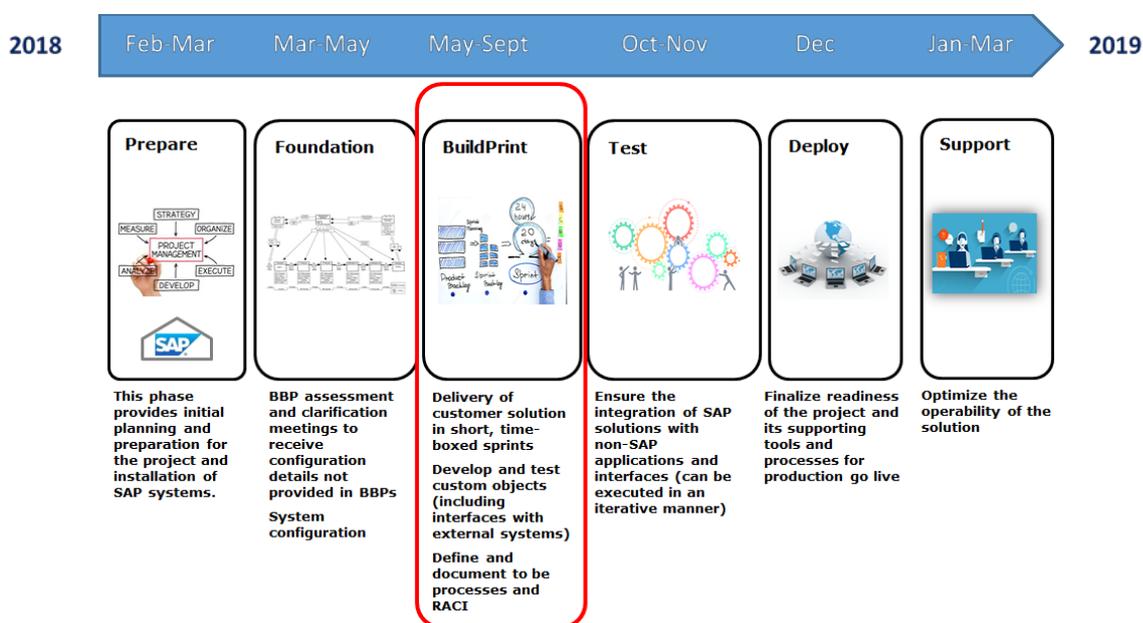
#### **Project 1: Redesign Core Systems**

***Contributing to Strategic Result 6: Improved program/project management & Risk mitigation (as per document [199 EX/5 Part II, Annex I](#))***

#### **Progress:**

- A number of preparatory projects and activities were undertaken in order to lay the ground for the solution implementation:
  - Business process mapping and finalization of open points from the business blueprint.
  - A technical upgrade of the budget control module implemented for the [39 C/5](#) budget, allowing improvements in the budgeting operations and budgetary control – go-live expected in April 2018.
  - A review of the current process and controlling module to define an approach for cost recovery and internal invoicing.
  - Elaboration of functional specifications for the programme and project lifecycle management.
  - Elaboration of the functional specifications for reporting.

- The Request for Proposal (RFP) procedure for the implementation of the Blueprint was completed and the implementation partner has been selected.
- The kick-off of the implementation phase took place in mid-February 2018 with the go-live planned for January 2019.
- A project team, with participants from different sectors, field offices, category 1 institutes representing users and KMI, has been established under the authority of the Redesign Core Systems Steering Committee.
- The implementation will include the following six phases: preparation, foundation, blueprint, testing, deployment, and support. The timeline below presents the project implementation cycle.



- The implementation covers Project Management, Organizational Change Management, Data Management, Business Processes, Development, BASIS and Infrastructure.
- Since February 2018, the project team and the implementation partner have participated in implementation activities that include workshops, system customization, development, testing, and data migration. The foundation phase saw a number of achievements that include definition of the new master data structures, detailing the solution of the BBP, new solution to accommodate ICTP and UIL Euro budgets, data migration and development strategies.
- The implementation of the new Budget Control System (BCS) took place in early April 2018.
- Currently, the project is in the blueprint phase. The solution is being developed through sprint tests that started in May and will continue through July. These sprints tests cover regular and extrabudgetary budget management and financial processes using the new developed solutions in Manage Master Data, Regular Budget to Execution, External Funds to Donor Reporting, Finance to Manage and Asset Management.

Budget: US \$3,236,133 out of the total budget of \$3,864,000 has been spent, including \$177,740 for the assessment, \$123,367 for the systems merge and \$785,907 for the blueprint. \$1,960,253 are





**Project 4: Enhance Transparency Portal**

***Contributing to Strategic Result 2: Improved & sharpened resource mobilization processes and strategies (as per document 199 EX/5 Part II, Annex I)***

Progress:

- The implementation of the current phase started in March 2018. Following discovery and technical analysis phases, the contractor proposed a design of webpages to implement the improvements requested for the next version of the Portal. The web development phase is currently ongoing to end mid-July 2018, with the full delivery of the Portal.
- In parallel, UNESCO migrated to the latest IATI standard, relying on the 38 C/5 data. Consequently, it made significant progress with regard to IATI compliance, improving its ranking from the 132nd to the 55th position (out of more than 750 publishers).
- New types of data will be published on the Portal, allowing visitors to analyse and visualize UNESCO’s contributions to SDGs and UNESCO’s own key strategies and actions plans (Priority Africa, Climate Change, SIDS, etc.). It will also allow external audiences to access additional information about UNESCO’s activities (Implementation strategies, progress achieved, documents, links, etc.).
- A special focus was put on quality assurance to raise awareness amongst staff members of the quality of data recorded in the core systems and how this data will be reflected on a public platform.

Budget: Phase III of the project is funded by the allocation under the Invest for Efficient Delivery Plan (\$200,000), with the expenditure totalling \$124,063, as of end June 2018. Although phase III is intended to provide another step forward with regard to improving IATI compliance and transparency of UNESCO’s programmes, the transparency portal is expected to keep evolving based on continuous feedback. Most importantly, since the core systems redesign will structurally affect the source systems, and more information will be available, it is expected that the portal will have to undergo additional developments to reflect these changes in 2018 and beyond.

Planning: The revised planning is as follows:

	2017												2018											
	1	2	3	4	5	6	7	8	9	10	11	12	1	2	3	4	5	6	7	8	9	10	11	12
Discovery phase																								
Input gathering																								
Request for Proposal																								
Scope re-definition and best practices																								
IATI XML Enhancements																								
Phase III enhancements																								
Testing and go-live																								

**Project 5: Strengthening knowledge sharing and collaboration in the field**

***Contributing to Strategic Result 3: Realigned programming in support of Agenda 2030 and Strategic Result 5: Improved operational modalities & streamlined work processes (as per document 199 EX/5 Part II, Annex I)***

Progress:

- The project is finishing, with almost 400 staff from 49 field offices trained in knowledge capturing and knowledge sharing, including Records Management, online collaboration, unified communications (Skype for Business) and UNESCO’s digital repositories. As a

result, the new methods of working and corresponding tools are increasingly adopted across all offices in their daily work.

- This has been confirmed by the second monitoring survey, conducted in May 2018, which showed steady progress by all offices in the five main domains: Strategic Management, ICTs for knowledge Management, People and Culture, Content Management and Coordination and Outreach. The underlying monitoring index, developed under the project in 2017, will allow to effectively measure progress even after the end of the project.
- The redesign of the UNESCO’s online collaboration platform (UNESTEAMS) is under way, with a view to improving its look and feel, user friendliness and ease of navigation, while also rethinking its content structure and long-term preservation of e-records. The implementation partner has been selected and the revamped platform should be available by the end of September 2018, after which the project will be operationally terminated.

**Budget:** The implementation rate is 89.5%, with the current expenditure of \$394,183 out of the total approved budget of \$438,000. The remaining funds will be used for ensuring the necessary follow-up by region/office and a regional collaboration pilot in Africa, as decided by the Project’s Steering Committee.

**Planning:** The updated high-level project planning is as follows:

	2016												2017												2018											
	1	2	3	4	5	6	7	8	9	10	11	12	1	2	3	4	5	6	7	8	9	10	11	12	1	2	3	4	5	6	7	8	9	10	11	12
Review of the pilot phase and planning																																				
Survey, benchmarking and detailed rollout planning																																				
Rollout to field offices in four regions																																				
CONNECT-U Toolkit recast and intranet integration																																				
Review and follow-up by region																																				
General project review/lessons learnt																																				

**Project 6: Improve document and multimedia management**

***Contributing to Strategic Result 5: Improved operational modalities & streamlined work processes (as per document [199 EX/5 Part II, Annex I](#))***

**Progress:**

- Data enhancement and its conversion to the new standard are being finalized, before the last data migration to the new platform. Additional workflows are being implemented in the new system to replace three legacy applications used currently.
- The necessary technical installations have been completed and the web design for the Digital Library Portal finalized. The latter will profit from the latest web trends and standards. For example, visitors will have the possibility to create personal spaces and reading lists, based on their interests, and to share them through social media. The new portal will offer a better presentation of official documents with a tree view providing direct access to chapters.
- The core project team has been trained. Training modules and guidelines would need to be developed for other regular users.
- The analysis of the requirements for video, photo and audio collections has started, with a view to managing all multimedia assets of the Organization through a single platform. The different policies that govern multimedia will need to be amended accordingly.

**Budget:** So far, \$347,594 out of \$547,000 (64%) has been committed, covering the preparation of the technical documentation, consulting services for the request for proposals, and the



## ANNEX III

### OTHER INITIATIVES APPROVED UNDER THE INVEST FOR EFFICIENT DELIVERY FUND

#### **Project 1: Measuring the performance of UNESCO's Field Network**

##### ***Contributing to Strategic Result 4: "Sharpened delivery modalities and appropriate mechanism and tools"***

In line with the Invest for Efficient Delivery Plan, UNESCO continues to invest into systems that strengthen the management and accountability culture and increase productivity. To this end, and in line with [201 EX/Decision 5.III.B](#), UNESCO is implementing a balanced scorecard for all field offices. The tool is designed for assessing of functioning, impact and effectiveness of field offices, contributing to improvement of field operations and supporting decision-making process by updated management information on the performance of all field offices. Two parallel tracks of work were defined which are led by the Division of Field Support and Coordination (FSC) and the Division of Knowledge Management and Information Systems (KMI), respectively.

#### Progress:

*Stage 1* – Selection, which was scheduled from July to December 2017, has been completed successfully with the following outcomes:

- **Business process track:** As result of a consultative process involving managers across headquarters and field offices, a list of 15 indicators to describe the performance of field offices was defined. A survey to establish 2017 baselines and 2018 targets for the final list of indicators was launched in December 2017. The preliminary analysis and presentation of the 2017 data was based on an off-line tool and the results of the analysis were presented to the Executive Board in document [204 EX/5.II.A](#).
- **Technology track:** Data collection systems for the indicators have been set up, with data drawn directly from statutory systems for 5 indicators, while the data for the remaining 10 indicators is based on surveys of all field offices. Work on automating data feeds and on a decentralized multi-user interface, that will enable the entry of data and the display of management information was initiated.

*Stage 2* – Rollout, which was scheduled from January to June 2018 was completed and rollout of the balanced scorecard was undertaken in close coordination with the redesign of core systems as follows:

- The technical architecture for data warehouse was done and the front end based on existing solutions was completed;
- Data feeds from corporate systems were automated and all available data entered into the database enabling generating of analytical reports;
- 2018 indicators were set;
- Required testing was undertaken with a view to ensuring that data feeds, access & security and display of information are optimal;
- Users' interaction with the tool was enabled.

### Planning:

*Stage 3 – Review*, which is planned from July to December 2018, will consolidate the learning from the initial rollout and implement adjustments to the indicators, data collection methods, and the data aggregation in time for the 2019 work planning by field offices.

By the end of this stage, reporting out of the balanced scorecard will be in place, 24 months of data will have been collected, and analytics and aggregation of data in line with user specification will be in place. This stage allows the business process track to adjust based on the experiences of the first six months of use: establish a business process for target setting and data collection, reconfirm the logic model and its assumptions, update based on changes to the operating model of field offices, and change indicators that turned out not to be useful.

Budget: A total budget of \$130,500 was allocated to this project. \$45,000 were utilized under Stages 1 and 2 and the remaining of the budget will be used for implementation of Stage 3 (maintenance, improved data automation, reflection of change requests during the review phase, including impacts of Core Systems Redesign project).

### **Project 2: Enterprise Risk Management (ERM)**

***Contributing to Strategic Result 6: “Improved program/project management and Risk mitigation” (as per document [199 EX/5 Part II, Annex I](#))***

This report provides a summary update on the status of the risk management and business continuity planning initiatives in UNESCO, as of 25 July 2018.

#### **I. Deployment of ERM**

Since early 2017, the Secretariat has made some progress in the design and implementation of its risk management systems; however, continued and concerted efforts is still required to develop a mature risk management system. In this regard, the following section outlines the key steps were initially envisaged to deploy the ERM within the Organization. They will be built upon as the risk management culture advances:

- (1) Undertake an initial survey of Headquarters and field office staff to identify so-called ‘Corporate Risks’ (namely, high-level risks affecting UNESCO as a whole)
- (2) Engage with the Risk Management Committee (RMC) to agree on the most significant risks
- (3) Agree with the RMC concerning who the “owners” of these top risks should be and decide on a process to best analyse and address these risks
- (4) Extend the process to embrace:
  - (a) Sectors and Central Services
  - (b) Field offices
  - (c) Institutes



## **II. Progress of Risk Management Efforts**

### **II.1 Corporate Risk Register**

A listing of top (“Corporate”) risks has been produced and owners assigned, who have largely completed their analysis of risks using the bowtie method<sup>1</sup>. The risk information identified through the bowtie method is integrated in risk registers describing the risk as well as its causes, consequences and action plans to mitigate the risks.

### **II.2 Operational Risk Assessment**

The phase of elaborating operational risk registers for each Sector and Central Service at Headquarters and for each field office and UNESCO institute category 1 has also started. One-and-a-half-day workshops were organized, the objectives of which were to enable participants to:

- Better understand the central importance of effective risk and opportunity management;
- Identify their top risks and opportunities (up to 10);
- Complete a bowtie analysis for one of their top risks to help identify the best preventative and remedial controls to treat the risk;
- Feel more confident about getting benefits from effective risk management

The first workshop took place at Headquarters with the focal points and the Finance and Administrative Officers of the Programme Sectors and six Central Services.

The second workshop took place in Bangkok. At this workshop, the Directors/Heads of offices and their respective focal points of the 14 offices of the Asian region attended. A total of 28 staff were trained.

The third workshop took place in Dakar where eight Directors/Heads of offices and 10 focal points attended.

The fourth workshop took place in Montreal with the Director and Heads of sections. A total of 6 staff were trained.

The participants were invited to design, review and refine their listing of top risks (around 5-10 risks) and to complete their bowtie analysis for one of the top risks to help identify the best preventative and remedial controls to treat the risk. A listing of the top risks gathered to date along with the completed bowtie analyses will be finalised by October 2018.

### **II.3 Progress with Business Continuity and Organizational Resilience**

As outlined in Annex II above, a significant amount of operational work has already been completed in the areas of IT disaster recovery planning and business continuity planning.

It should be noted however that a United Nations Agencies’ Expert Group on Organizational Resilience was established following a CEB decision in 2014<sup>2</sup> to develop a uniform Organizational Resilience Management System Policy (referred to as the ORMS Policy) across all United Nations agencies. In this regard, a draft version of this ORMS policy, based on the uniform ORMS approach

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<sup>1</sup> This method allows to get a better understanding of the risks by systematically identifying the key causes that might result in the risk crystallising and the most significant consequences; and to identify smart preventative and remedial controls.

<sup>2</sup> At its April 2014 session, HLCM received a presentation on the Organizational Resilience Management System (ORMS), approved by the General Assembly as the institution’s emergency management framework. Resolution 67/254 included a recommendation to “expand the system to the specialized agencies, funds and programmes.”

– hence tailored to UNESCO – was prepared and will be discussed by the Management in September 2018.

Moreover, a Business Continuity Policy was also prepared as part of Organizational Resilience, by reference to best practice. This Policy is customized to the mission and activities of UNESCO, and will be discussed by the Management in September 2018.

### **III. Next Steps**

The desire to realise greater benefits from effective risk management (including business continuity) was strongly endorsed at the recent HLCM.<sup>3</sup> This underpins the importance of work on risk management and business continuity/operational resilience.

The key next steps in advancing risk management are as follows:

#### **III.1 Risk Registers**

- Establishment of the Corporate Risk register by September 2018
- Establishment of Sectors and Central Services Risk registers by October 2018
- Establishment of Field Offices and Institute Category 1 Risk registers by November 2018

#### **III.2 Undertake the following Risk Workshops with:**

- Category 1 institutes by 6 September 2018;
- Arab States Region offices by 17 September 2018;
- Information session for SMT members in September 2018;
- Eastern and South African offices by October 2018;
- Latin-American offices by November 2018.

#### **III.3 ORMS/Business Continuity Policy**

The top priority will be to capitalise on the experience of sister United Nations agencies, who have already succeeded in implementing many of the elements required for effective implementation of the ORMS Policy.

The draft ORMS Policy and Business Continuity Policy will be reviewed in detail by the RMC and, if satisfied with its suitability and operational feasibility, the draft ORMS and Business Continuity Policy will be submitted to the DG and her Senior Management Team for endorsement by September 2018.

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<sup>3</sup> The Committee dedicated a full morning session to examining how UN system organizations are developing and putting in place risk management tools and frameworks to reform management processes, improve efficiency, and bring greater value in supporting the Agenda 2030 for Sustainable Development. This thematic discussion was framed around the Secretary-General's vision as just recently outlined in his Integrated Platform on Prevention, whose underlying "principles" include a fundamental culture shift to risk-aware, proactive, cross-pillar work; and a common risk methodology and integrated analysis. Conclusions of the Thirty-Fifth Session of the High-Level Committee on Management (HLCM), April 2018).

### III.4 Introduction of IT system to support ERM efforts

BSP, KMI and IOS are exploring the potential IT system available in the market and inviting private companies to present demos. The specification of the IT system should be developed soon and a Request for Proposals (RFP) will be launched by September 2018.

### III.5 Development of e-learning Risk management materials

BSP and HRM are exploring the potential e-learning Risk management materials developed by other UN agencies namely UNHCR to be adapted to UNESCO context. The e-learning Risk management materials should be developed by December 2018.

### III.6 Communication strategy

A communication and information strategy has been developed with the aim to create risk awareness, promote the risk policy and build up general capacity and critical skills for the implementation of ERM. The ongoing risk management communication and training will allow maintaining the momentum within the organisation for the continued implementation of the ERM.

## IV. Budget

Budget Activity	Budget allocation in USD (2018- 2019)	Expenditures (As per July 2018)
Risk register, training plan and manual of ERM procedures	100,000	27,422
Training of focal points at Headquarters and field offices	100,000	98,080
IT Register System	150,000	1,939
Communication plan, information and technical assistance	77,500	6,118
<b>Total</b>	<b>427,500</b>	<b>133,559</b>

### Project 2 (Cont'd) Fraud Risk Assessment

#### ***Contributing to Strategic Result "Accountability and adherence to UNESCO's rules and regulations strengthened"***

The contract for the Fraud Risk Assessment exercise was awarded and started on 12 February 2018. Two consultants have worked mainly from UNESCO Headquarters, on Phase 1, which includes the Fraud Risk Assessment across the Organization and identification of specific risk areas that would require pro-active investigations in Phase 2. The Fraud Risk Assessment is structured by organizational unit, sector or field office, each having its own deliverable, a Fraud and Corruption Risk Report. Eventually, a Consolidated Fraud Risk Register and Map for all participating units will be delivered.

The consultants have conducted 28 interviews, in-person and skype workshops where they took participants through the process of preparing a fraud risk register. These sessions were in addition to the 18 meetings with various personnel at Headquarters to obtain their views regarding the areas which presented the higher fraud and corruption risks to UNESCO. In total, 145 staff members and other personnel participated in this initiative. Beyond the elaboration of fraud risk registers, their

participation is contributing to raise awareness of fraud risks and to develop specific risk management skills. As of 30 June 2018, 18 units have returned their fraud risk registers and final deliverable is due 16 July 2018.

As part of Phase 1, a Proactive Investigations Model (the Model) was designed to provide IOS with an information-led model, which could identify potential field offices that are particularly vulnerable to fraud and corruption. The model will be used as the basis for planning Phase 2 – Proactive reviews.

Budget: A budget commitment of 47% of the total amount (169 772 USD) has been allocated.

Planning: The work is on schedule, with Phase 1 – Fraud risk assessment (core activities) to be completed in July 2018. Phase 2 – Proactive reviews is scheduled to start in Q4 2018.



United Nations  
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# Executive Board

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## Part III.C Corr.

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### FOLLOW-UP TO DECISIONS AND RESOLUTIONS ADOPTED BY THE EXECUTIVE BOARD AND THE GENERAL CONFERENCE AT THEIR PREVIOUS SESSIONS

#### PART III

#### MANAGEMENT ISSUES

#### CORRIGENDUM

Project I of Annex II should read as follows:

#### **Project 1: Redesign Core Systems**

***Contributing to Strategic Result 6: Improved program/project management & Risk mitigation***  
(as per document [199 EX/5 Part II, Annex I](#))

#### **Scope of the project**

The perimeter of the Redesign Core Systems project comprises:

- (i) A core re-designed SAP system (it is recalled that the current SAP system was rolled out in 2002) to provide financial management & reporting, budget management and control, donor agreements, project system and controlling, commitments and expenditures, and the master data repository (e.g. vendors, projects, HR data), along with
- (ii) a business layer to support Programme and Budget preparation (C/5), project creation and planning, monitoring and narrative reporting.

#### **Progress to date and current implementation phase activities:**

- Projects achievements in 2016 and 2017 as reported previously have included initial assessment, merging of the Finance and Budget (FABS) and Human Resources (STEPS) SAP systems, and Blueprint elaboration and adoption.
- Starting from the last quarter of 2017, a number of preparatory projects and activities were undertaken in order to lay the ground for the implementation of the solution:
  - A business process mapping and finalization of open points from the business blueprint.

