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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 II

MANAGEMENT ISSUES

SUMMARY

C. Invest for Efficient Delivery

The purpose of this document is to inform the Members of the Executive Board on the progress achieved in the follow-up to [205 EX/Decision 5.III.C](#) on the initiatives funded and planned under the “Invest for Efficient Delivery” Plan.

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



Job: 201903284

C. Invest for Efficient Delivery
(Follow-up to [205 EX/Decision 5.III.C](#))

1. Pursuant to [205 EX/Decision 5.III.C](#), 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 [205 EX/Decision 5.III.C](#),
2. Takes note of the progress report provided by the Director-General in document 206 EX/5.II.C on the implementation of the learning and development initiatives (Annex I), the knowledge management and information technologies initiatives (Annex II) and additional initiatives approved at the 201st session (Annex III);
3. Also takes note of the completed initiatives and invites the Director-General to finalize the remaining initiatives;
4. Requests the Director-General henceforth to integrate the reporting on this item in the statutory reports (EX/4 document) and updates on the strategic transformation, as appropriate.

ANNEX I

Learning and Development initiatives

1. 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.
2. As of 1 January 2019, 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 use of Internal Tools for Increased Productivity
 - Strengthen UNESCO’s Decentralized Evaluation Function

Qualitative and quantitative feedback has continued to be sought on all learning activities, whether delivered through online methods or face-to-face. This informs the iterative process of the development of remaining modules.

3. **Learning Initiative 1: Improve Resource Mobilization**

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

Progress: Further review of the initial five e-learning modules has taken place to ensure coherence of the online versions. A further round of internal review of the Resource Mobilization Guidebook is taking place before publishing. In parallel, UNESCO is implementing a system for Constituency Relationship Management (CRM) in order to be aligned with the strategy of partnerships and resource mobilization with private and public actors, and in order to manage interactions with stakeholders and facilitate the work of programme sectors and corporate services. The relevant elements in the e-learning modules and Guidebook take into account the adoption of the CRM and support it accordingly.

Budget: A budget commitment of US \$43,005 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 publishing of the Resource Mobilization Guidebook and the instructional design phase of the e-learning modules is planned for completion for Q2 2019.

4. **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

The development of the three e-learning modules on results-based management has progressed significantly. The on-screen versions of all modules have been developed and are under review. Once finalized, the second language version will be developed.

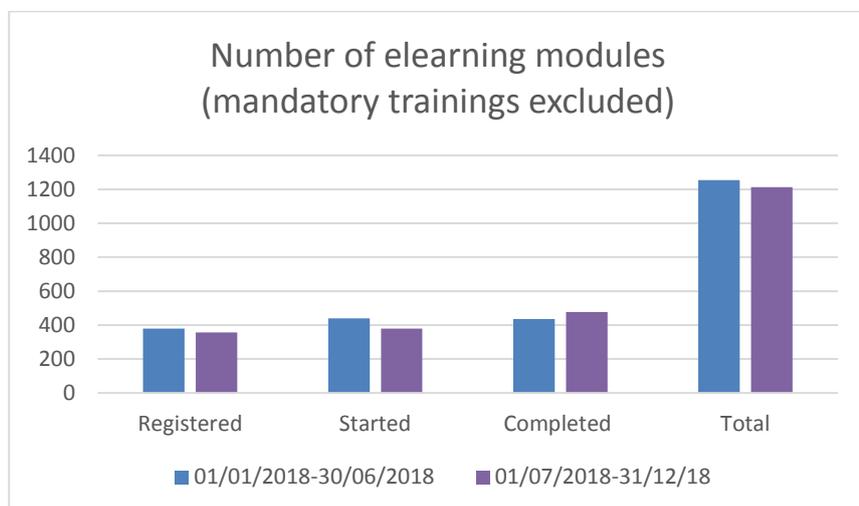
The module on Meaningful Engagement with Youth, one of the priority target groups of the Organization, has been launched in the first language version. A launch event took place in December 2018, with two sessions organized by Skype for Business, for the field offices, and one face-to-face session for Headquarters. Approximately 40 colleagues participated, representing Headquarters and 14 field offices. The Alpha French version of the online module has been reviewed and the final version is due for publication before the end of Q1 2019.

Annex III of document [205 EX/5 Part III.C](#) described workshops to be delivered to train staff on enterprise risk management. Eight workshops were organized by the Bureau of Strategic Planning between May and November 2018, co-financed by the learning & development funds of Invest for Efficient Delivery. The workshops enabled participants to be trained on the importance of risk and opportunity management, and the identification in a collaborative setting of the risks that apply to their working areas. Annex III, project 2 of the present document contains further detailed information.

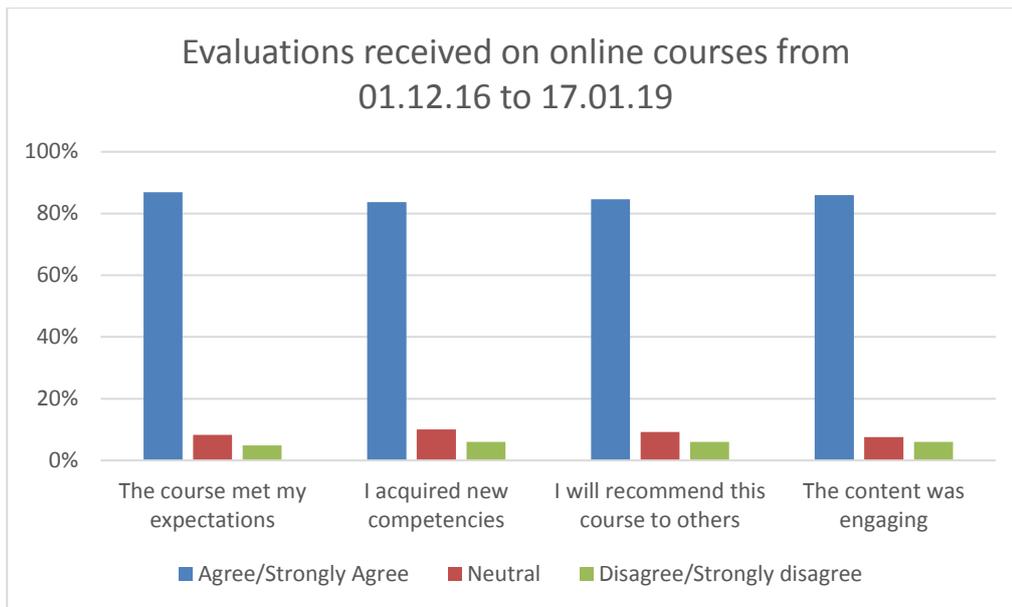
The planned initiative to support UNESCO's innovative capacities is taking place at the time of writing (January 2019). This initiative is developed and delivered as a partnership between Hanze University (Netherlands), a leader in the domain of Futures Literacy, and SHS. The webinars delivered in the first part of 2018 to provide an introduction to the topic and aided in identifying a central cohort of participants. The workshop includes a simulation of a Futures Literacy Laboratory, followed by a facilitator/designer training, to enable participants to run Futures Laboratories with colleagues and stakeholders in their own areas of work, to ensure the learning is sustainable.

(b) Interpersonal and communication skills

The 4,000 modules available under licence on topics such leadership & management, communication, finance, personal development and business skills, continue to be used and well-received by staff (Graphs 1 and 2). A new targeted marketing campaign is being launched at the beginning of 2019. As described in document [205 EX/5 Part III.C](#), the 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.



Graph 1: Number of e-learning modules accessed by 500 colleagues.



Graph 2: Learner feedback on online courses.

Following the pilot of the Writing for the Web training in June 2018, the course was delivered over two sessions as a webinar via Skype for Business in September 2018. This was attended by approximately 30 colleagues representing nine field offices and Headquarters, connecting individually or in groups in meeting rooms. The webinar was recorded to be made available via the learning platform. Feedback was highly positive and colleagues are reporting how they have used the training subsequently.

(c) Gender Equality and Gender Mainstreaming

The development review of the content for the e-learning modules on Gender Equality and Gender Mainstreaming has commenced, to enable the development of a sample prototype. The Gender Equality Division is convening an intersectoral working group to provide feedback on the development of the modules as they are built.

Budget: A budget commitment of US \$393,466 has been allocated.

Planning: The launch of the first version of the results-based management modules and the French language version of the Youth Engagement modules is planned before Q2 2019. The targeted communication strategy of the modules on Interpersonal and Communication skills is continual throughout the year, with recommended curricula for specific populations.

5. **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:

A series of regional workshops has been delivered to equip supervisors and managers with the tools to support the career management, performance management and mobility process, and for staff to participate actively in their own career management. The workshops covered competency-based interviews, and career and performance conversations, and reached a total of approximately 200 colleagues.

Four regional workshops were delivered by a team of seven internal facilitators between October and December 2018, in Beirut, Santiago, Bangkok and Nairobi. Almost 90 colleagues participated, representing 45 field offices. Participants were nominated by Directors / Heads of Offices based on

their ability and willingness to act as Resource Points on return to their field offices. The three-day workshops were therefore designed to equip participants with the skills and knowledge on the relevant topics, to enable them to assist their colleagues locally. Initial feedback has been positive (see Graph 3), with some participants having delivered information or training sessions in their offices.

Colleagues from each of the four host offices of the regional workshops were also invited to participate in a one-day workshop on the same topics, for increased agency in relation to their career management and development. 112 colleagues benefited from this opportunity.

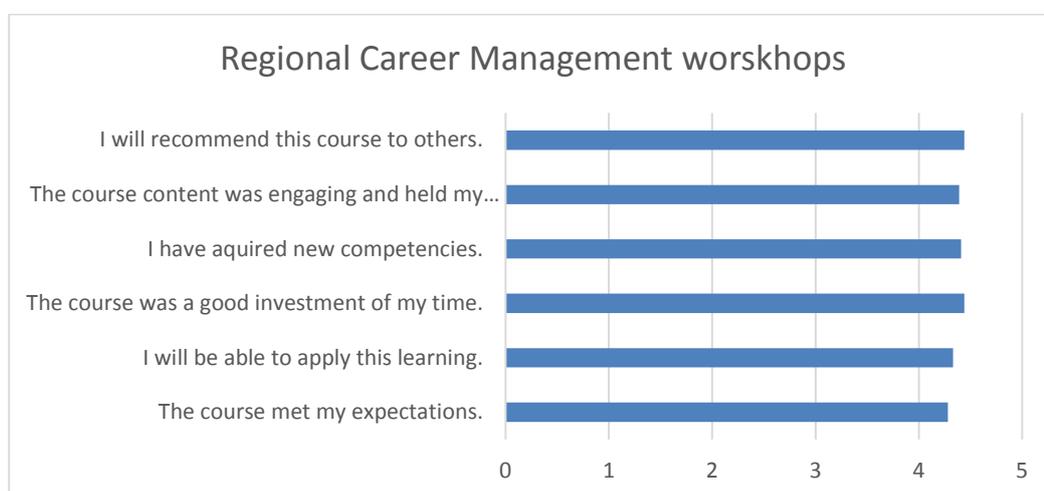
The content and design of these workshops was developed internally, based on three pilot sessions at Headquarters. A workshop and train-the-trainer session were delivered in June/July 2018 on capacity building for managers on competency-based interview techniques, and a workshop on career conversations took place early October 2018.

The rollout of the content at Headquarters will be structured over a series of three workshops. In Q1 2019 a series of one-day workshops on career and performance conversations will be offered, to coincide with the launch of the mid-term review of the performance management process. These workshops will be reinforced at the end of 2019 and beginning of 2020 with workshops linking these conversations to the objective setting and feedback process that takes place at this time. In parallel, workshops on competency-based interview questions will be targeted more specifically to staff on recruitment panels. These are expected to take place from Q2 2019. If budget allows, an additional regional workshop will be held at Headquarters for representatives from European offices and others who were unable to participate in their regions.

In parallel, selected elements of the content on career management have been adapted for use within workshops to support staff subject to the mobility programme with skill identification and applications for posts. In addition, further online materials will be developed during 2019 to support this initiative.

The impact of this training is being measured at different levels. Participants of the regional workshops were invited to assess knowledge acquisition in pre-and post-workshop questionnaires, along with an initial reaction feedback after the workshop. In addition, managers of participants will be requested to provide information on how the implementation of the learning has been facilitated. As the learning is cascaded, participants are invited to create bite-size learning materials to be used by colleagues in communicating about the key messages, and for delivering further programmes.

Qualitative feedback will be sought from colleagues, planned on a bi-annual basis, on the numbers of career and performance conversations being held. This will start from 2020, with the launch of the annual performance cycle.



Graph 3: Feedback on Regional Career Management workshops

In September 2018 a two-day course on the topic of online facilitation skills was delivered for 12 colleagues. This course was delivered by a colleague from the United Nations system, at minimal cost. The course equipped participants with the skills to deliver training by Skype for Business, essential to reach colleagues in field offices. A simplified version of the course has been delivered by participants on this course to other colleagues.

As mentioned in document [205 EX/5 Part III.C](#), and at the request of the Bureau of Financial Management, 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. The intention is therefore to design and develop these learning initiatives at the later stages of the Core Systems Redesign. It is important that staff are provided with appropriate, targeted learning materials, adapted to the new environment.

Budget: A budget commitment of \$271,533 has been allocated, of which \$158,000 has been earmarked for the learning initiatives on the financial management.

Planning: The rollout of the workshops on career management at Headquarters and the online materials will span 2019, with the career and performance conversations topics concentrated at the beginning and end of the year, and the competency-based interview workshops programmed at key times based on recruitment needs. The development of the training materials for the financial management topics will be influenced by the timing of the Core Systems Redesign project.

6. **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:

A further five Directors/Heads of field offices participated in the United Nations Country Team Leadership Skills programme, held at the United Nations Staff Systems College (UNSSC) in November 2018. The March 2019 session of the programme will be attended by two or three Directors/Heads of field offices, subject to total cost and budget availability.

The Bureau of Strategic Planning has had further discussions with the UNSSC to adapt and deliver at Headquarters the bespoke regional training course on “UN Country Programming in the Context of 2030 Agenda” for the target population, which consists mainly of programme specialists that are providing support to field offices on the 2030 Agenda, and explore the possibility of a cost-effective option for the conversion of the content to an e-learning environment.

Budget: A budget commitment of \$409,198 has been allocated. The remaining funds are targeted for the delivery of the workshop at Headquarters by the UNSSC, and possible development of the e-learning module, if cost-effective. Given the shift in priorities, and to support other initiatives, funds from this Learning Initiative were also used to support the leadership and career management workshops.

Planning: The attendance at the next session of the UNCT Leadership Skills programme is under discussion at the time of writing. Dates for the delivery of the workshop at Headquarters will be agreed with UNSSC, to take place as early as feasible, while reaching different populations of participants as efficiently as possible.

7. **Learning Initiative 5: Strengthen Leadership Skills**

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

Progress: Workshops for the field offices were delivered in the second half of 2018 for a total of 63 managers. In August 2018 the Bangkok office hosted a workshop for 25 participants representing 13 offices from the Asia and Pacific Region, and the Dakar office hosted 38 participants from the Africa region in October 2018. Initial feedback was positive (see Graph 4).



Graph 4: Learner feedback on workshops from 15 participants.

Budget: A budget commitment of \$104,393 has been allocated.

Planning: No further sessions of this leadership workshop are currently planned under the Invest for Efficient Delivery Plan. However, if savings can be generated elsewhere, session could be organized to benefit staff in the Latin America and Caribbean and the Arab States regions. A further level of evaluation feedback will be sought at appropriate intervals after each of the sessions, to assess ongoing effectiveness and impact on work, and where additional support would be beneficial. Feedback from this workshop will also inform future leadership and management initiatives.

8. **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 module on using Skype for Business for conducting recruitment interviews has been developed in English and French. Learning materials to assist staff with the performance management process have also been developed. In particular, on creating objectives outside the regular performance management cycle, approving objectives and viewing past performance reviews. These are available in both working languages.

Budget: A budget commitment of \$103,132 has been allocated. To meet changing priorities, the workshop on Futures Literacy described in paragraph 3a above was funded under this budget. Further development of learning on the tools will be sustained by staff funded under the regular programme.

9. **Learning Initiative 7: Strengthen UNESCO's Decentralized Evaluation Function**

Contributing to Strategic Result 6: "Improved programme/project management and risk mitigation"

Progress: Progress has been made with the four online e-learning modules on evaluation. The English-language version of all four modules has now been completed as well as the French-language versions of three modules.

Following the delivery of the seven training events in 2017, there has been a continued positive trend with regard to the more systematic submission of both decentralized evaluation plans and decentralized evaluation reports. The majority of UNESCO field offices have submitted evaluation plans and, as of the end of 2018, 24 decentralized evaluation reports have been uploaded to the community of practice platform. A recent IOS quality assessment of 22 decentralized evaluation reports completed in 2018 demonstrates that the majority of the reports fully or partially meet quality criteria. Some of the improvements can be attributed to the increased IOS support and technical advice to the Focal Points during various stages of the evaluation management process.

Budget: \$199,552 has been spent.

Planning: The e-learning modules will be published in Q2 2019.

10. **Overall planning and next steps**

The overall expenditure rate currently stands at 78%. Of the non-committed funds, approximately 8% is intended for the development of the financial modules, for which the content and planning will be informed by the core system redesign project. It is envisaged that all the remaining funds will be committed during 2019.

It is intended to conduct further evaluation of the learning activities of Invest for Efficient Delivery, at key stages post-learning. Feedback will be sought from colleagues who have benefited from the learning, and from their supervisors. This qualitative and quantitative feedback will also be used to shape future learning initiatives.

Given the lack of funds for learning since 2012, Invest for Efficient Delivery has enabled a much-needed boost for a learning culture within the Organization. However, it is essential that these efforts are translated into a structured learning and development framework for staff at large, and sustained over time. To achieve this, HRM has developed the new Learning & Development Action Plan, as part of the Strategic Transformation Initiative. This action plan builds on the work done under Invest for Efficient Delivery, and is developed around four key areas: core skills, leadership and management, essential sector knowledge, and competency development.

ANNEX II**Knowledge Management and Information Technologies initiatives**

Pursuant to [205 EX/Decision 5.III.C](#), 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 has been approved under the “Invest for Efficient Delivery” Plan.

Over the reporting period, steady progress was made on these initiatives, contributing to the agreed strategic results, namely:

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

Project 1: Redesign Core Systems

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

Scope of the project

The scope of the Redesign Core Systems project comprises:

- (i) A re-designed core corporate system to provide improved financial management & reporting, budget management and control, to manage donor agreements and projects, and overall master data for vendors, projects, and donors etc.
- (ii) A planning and project management system to support Programme and Budget preparation (C/5), project creation and planning, monitoring and reporting.
- (iii) End-to-end to-be Programme & Project process flows define how the business processes will work in terms of tasks, business process controls, roles and responsibilities primarily covering C/5 preparation, project life cycle, budget and financial management.

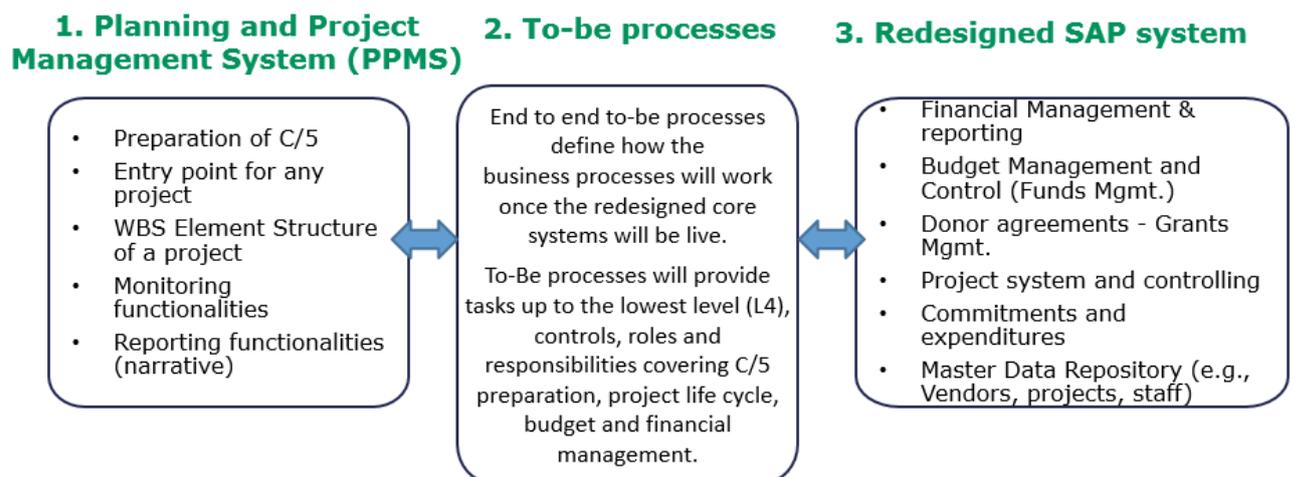
Progress to date and current implementation phase activities:

- 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.
- The Request for Proposal (RFP) procedure for the implementation of the Blueprint was completed and the implementation partner was selected.
- The kick-off of the implementation phase took place in mid-February 2018. The implementation includes six phases: preparation, foundation, blueprint, testing, deployment, and support.
- The implementation covers Project Management, Organizational Change, Data Management, Business Processes, Development, Software Integration (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 Business Blueprint (BBP), a new solution to accommodate ICTP and UIL.
- An external due diligence exercise conducted between May and July 2018 concluded that UNESCO should pursue an off-the-shelf Enterprise Planning Management (EPM) solution as the choice of Planning and Project Management System (PPMS). This choice could cover strategic planning and project management functionalities, have better integration through native interfaces with SAP, and allow leveraging experience of other United Nations agencies that have adopted EPM solutions. Several solutions are currently under review.
- The project timeline was revised to grant additional time for mitigating risks and strengthening the solution. In particular, it allows additional tests to ensure solution reliability, eases budgetary closure and data migration, and ensures better training and implementation of the overall solution. Moreover, it enables finalization of integrated end-to-end processes with additional inputs from the work performed by the Strategic Transformation Working Groups.
- The project budget allocated was \$4,544,000. This budget allocation includes the additional budget of \$680,000 approved by the April 2018 Executive Board for contingency and in support of replacement costs of team members ([204 EX/Decision 20](#)).

Out of the current budget, **\$3,954,944 have been utilized** for the following activities:

- ✓ \$177,740 for the initial assessment in 2016;
- ✓ \$123,367 for the systems merge in 2016, (FABS+STEPS);
- ✓ \$785,907 for the blueprint in 2017;
- ✓ \$1,960,253 committed for the project implementation, organizational change management support and training for the ongoing SAP implementation;
- ✓ \$907,677 for reporting (BI/BW), staff cost replacement, project management support, due-diligence, communications, etc.

- As reported at the 205th session of the Executive Board in October 2018, the choice of a solution for the Planning and Project Management System, together with the global re-evaluation of implementation needs and timeline, requires funding. These funds have not yet been identified.
- In December 2018, the project team has elaborated and presented a high-level business blueprint. The high-level blueprint provided a clear and common vision of organizational and accounting structure and solution design across its three pillars as presented below:



- As part of the elaboration of the to-be processes, the Organization needs to establish roles and responsibilities based on these new processes. The project team plans to set up a dedicated workshop with assistance of a consultant in early 2019.
- In parallel, on the Planning and Project Management System (PPMS) side, the project team has launched a Proof of Concept (POC) exercise in January 2019. The project team has developed a terms of reference to ensure clear alignment between UNESCO's programme managers' needs and solution design detailed in the business requirements, business blueprint, and to-be processes. The POC exercise will demonstrate the solution feasibility based on the requirements stated in the TORs. Further, this exercise will be used to have clarity on the project implementation plan and costs and make an objective assessment of the various products in meeting UNESCO's requirements.

At the time of drafting, the project was undergoing a pre-implementation internal audit by IOS. The audit started in the beginning of January and preliminary findings were shared with the members of the Steering Committee. Initial findings indicate that while the project scope and blue print are correctly designed, there are nevertheless three significant areas of concern:

- (i) Resources: as noted above, required project funding is not secured, this is contributing to difficulties in releasing team members to dedicate sufficient time to the project;
- (ii) PPMS ambition and timeline: the PPMS solution will bring significant benefits to UNESCO. However, experience from the United Nations agencies using SAP, or other similar systems, indicates that the time for full implementation will be longer than currently anticipated;
- (iii) Project governance: the project team lacks dedicated team members with a thorough understanding of "end-to-end" process, covering the full scope of planned work.

Once the final IOS report is issued, corrective actions will be developed and implemented in line with the audit recommendations that could include a revised budget and timeline.

Next steps

Despite the above-mentioned successes, the project faces a number of implementation challenges. As indicated in the preliminary audit findings, a delayed go-live may be envisaged in view of the following reasons:

- The absence of a dedicated team impairs the successful implementation. To address this critical weakness, steps will have to be taken to set up a dedicated project team.
- At the time of drafting, the additional project funding remains to be identified, thereby creating uncertainty on the project timeline.

The restructuring within the Administration and Management sector and the ongoing strategic transformation will bring greater clarity, to the detailed business requirements and organisational responsibilities; these processes are well underway, and will facilitate an improved overall project implementation - while at the same time, however, lengthening the overall project timeline.

Project 2: Ensure business continuity and disaster recovery

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

Progress:

- The project is finished. The disaster recovery solution for critical systems is operational. This includes e-mail, file server, SAP, corporate website, and critical infrastructure components. The solution is hosted in Geneva by the United Nations International Computing Centre (UNICC).
- A disaster recovery plan for critical systems, which includes disruption scenarios, has been developed and tested.
- Business Continuity and Disaster Recovery (BC & DR) plans have been created by the field offices and the required equipment purchased.

Budget: The total budget of \$383,000 has been fully spent; covering the implementation of the solution, the cost of the disaster recovery services, the disaster recovery assessment and solutions (equipment) for field offices.

Planning: The implementation of the disaster recovery solution and the creation of the related documentation was completed in 2018.

Project 3: Implement system support for resource mobilization and events management

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

Progress:

- The Contact Management and Resource Mobilization modules have been implemented. The third and final module –Events Management – is in development and should be completed in the first quarter of 2019.
- A global rollout, including Headquarters, field offices and category 1 institutes, will start in the second quarter of 2019 and should be completed by the end of the year. This will be accompanied by a user adoption programme and trainings.

ANNEX III

Other initiatives as approved in 201 EX/Decision 5.III.B

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 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.

Progress: Stage 1 – Selection has been completed successfully:

- **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. The final list builds on last year's pilot and 3 of the 15 indicators are used unchanged. The results of the analysis were presented to the Executive Board in document 204 EX/5 Part II.A.
- **Technology track**: Data collection systems for the indicators have been set up, with data drawn directly from statutory systems for 8 indicators, while the data for the remaining 7 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 completed.

Budget: A total budget of \$130,500 was allocated to this project.

Planning:

- **Stage 2 – Rollout**, is scheduled between March and June 2019, as further review of data sources is being undertaken. By the end of this stage, all field offices will be able to enter results and targets for specific indicators, and will have secure access to aggregated management information for their specific office.
- **Stage 3 – Review**, is planned from July to December 2019, 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.

Project 2: Enterprise Risk Management

Contributing to Strategic Result 6: Improved programme/project management and risk mitigation (as per document 199 EX/5 Part II, Annex I)

I. Deployment of ERM

Since early 2017 (Ref. Ivory note on the 30/01/2017), UNESCO has made progress in the design and implementation of its risk management systems and business continuity/operational resilience, using the support of an external expert. Today, UNESCO has the building blocks for a successful risk management system, but requires continued and significant further activity to develop a mature system.

Risk management is considered as a crosscutting component of the Strategic Transformation process. A meeting was held between the Risk Management Secretariat (RMS) and the ADG's, in the presence of the Deputy Director-General, to discuss integration of risk management into the Strategic Transformation. To strengthen UNESCO's means of action, additional activities are scheduled with the working groups to ensure that due regard is given to risk management during the implementation of the Strategic Transformation's initiatives

Main achievements

As of end of January 2019, the main achievements to revitalize Enterprise Risk Management (ERM), Business Continuity Management (BCM) and Organizational Resilience Management (ORMS) in UNESCO, were as follows:

1. The full commitment and engagement of executive management to leading the ERM strategy and implementation process
2. The formal time-bound action plan to manage the process
3. Formally defined appropriate governance structure and clearly established roles and responsibilities
4. The adoption of a formal ERM policy and framework
5. A listing of top corporate risks and operational risks have been produced; validated and owners were assigned to develop risk mitigation plans
6. A risk universe is under development, categorizing the identified top risks
7. A dedicated ERM training plan was rolled out (more than 145 staff trained on ERM)
8. Policy development: revision of the ERM Policy to better fit the current ERM environment; first draft versions finalized of the ORMS and BCM Policy and presented to the RMC
9. Communication and training plan in place to create risk awareness promote risk policy and build up general capacity and critical skills for the implementation of ERM
10. Further progress on developing an ERM e-learning
11. Initial alignment meetings organized between ERM and the Strategic Transformation
12. Provision of adequate resources to introduce ERM
13. Integration into UNESCO's planning and programming processes using SISTER
14. Activation of high-risk project committee
15. Contract committee reviews and recommendation based on risk assessment

Next Steps

Next steps - Corporate risks and risk registers :

- Establishment / fine-tuning of the risk mitigation plans by the risk focal points by April 2019
- In line with the Terms of Reference of the Risk Management Committee (RMC), the RMC will continue to review new and emerging risks for potential inclusion in the corporate risk register on a regular basis, based on the (changed) context and exchanges with the OAC

Next steps - Risk universe, operational risks and risk register:

- The RMS will further regularly engage with Operational Management in order to integrate, as far as possible, risk management initiatives within day-to-day management
- The risk universe will be further fine-tuned and shared with all personnel, once all operational risks are validated by each sector, central service, field office and category 1 institute

Next steps - Revision of ERM policy:

- Define the UNESCO risk appetite, to be integrated in the revised ERM Policy and to be expressed as a risk tolerance statement towards the Member States and all relevant stakeholders
- To support the revised ERM Policy, a dedicated ERM procedure will be drafted. The procedure will establish the UNESCO ERM framework, present the methodology for assessing and prioritizing risks, the risk universe, the risk roles and responsibilities, templates and ERM tools

Next steps - Organizational resilience and business continuity:

- The draft ORMS and BCM Policy will be reviewed / refined in detail by the RMC by April 2019

Next steps - ERM communication and information strategy:

- ERM newsletters will be circulated to all staff on a three-months basis. A first newsletter will be circulated by March/April 2019. The newsletters will report on the general ERM status and will highlight specific ERM trends, challenges, etc. within or outside the Organization

Next steps - ERM e-learning :

- In collaboration with HRM and KMI, an assessment is ongoing on how the e-learning of the United Nations Secretariat could be integrated into the UNESCO learning platforms and how the content could be customized (e.g. visuals, functionalities, display, audio, etc.)

I.A. Progress with Enterprise Risk Management

The status of the enterprise risk management work is as follows:

1. Corporate risks and Risk Register

The assembly of the “corporate” risks and the completion of pragmatic and SMART risk registers for each single top risk represents good progress. Following a long period of review and refinement of the corporate risks with the risk owners, a final list of corporate top 10 risks was established and was validated by the RMC in December 2018. For each of these corporate top 10 risks, a draft corporate risk register is under way or in its completion phase.

2. Operational risks and risk register

Most sectors, central services, institutes and field offices have now identified five to ten top operational risks and opportunities, and have validated these by the assigned risk owners / risk focal points. For each of these identified top risks, operational risk registers are under way or are in a completion phase.

3. Risk universe

In November 2018, a first inventory of the operational risks was established. In total, 390 risks were identified across the whole Organization – 41 risks for the sectors; 39 risks for the central services; 292 risks for the field offices and 18 risks for the category 1 institutes. Based on these risks, UNESCO started to design the first building blocks of a dedicated UNESCO risk catalogue or risk universe, based on the guidelines received from the United Nations Secretariat. It represents a catalogue of the different types of risks that occur across UNESCO. Each risk is categorized per risk category

and sub-category relevant to the Organization¹. UNESCO will as such adopt a common risk language, allowing the RMC to collect and appraise risk information on multiple levels across the overall Organization, and evaluate it in a consistent and integrated manner.

4. Rolled out a dedicated ERM training plan

In 2018, more than 145 staff have been trained on ERM from² sectors, central services, category 1 institutes and 53 field offices.

5. Revision of the ERM Policy

The first version of the ERM Policy was endorsed by the former Director-General in February 2017. Since this endorsement, ERM has significantly progressed within UNESCO, showing room for further development of the current ERM policy.

6. Organizational resilience and business continuity

The draft ORMS policy is based on the uniform ORMS approach of the United Nations system – hence tailored to UNESCO. The policy presents the overall UNESCO Organizational Resilience Framework. The BCM Policy is part of the ORMS, by reference to best practice and customized to UNESCO's mission and activities. It presents UNESCO's commitment to Member State stakeholders, beneficiaries, partners, employees, suppliers and other stakeholders to ensure the consistent availability and delivery of its services.

7. ERM communication and information strategy

An ERM Communication and Information Strategy has been developed with the aim to create risk awareness, promote risk policy and build up general capacity and critical skills to develop ERM. The ongoing activities part of this strategy will allow maintaining the momentum within the Organization of implementation progress of the ERM.

In September 2018, the last version of the ERM Training Handbook has been reviewed in detail and has been aligned with UNESCO's changed environment and current UNESCO's ERM approach. The Handbook is supported by a "quick reference guide", that summarizes key aspects of the Handbook. Also, the use of the BSP/ERM UNESTEAMS webpage has been continuously promoted and contains all relevant ERM material accessible for relevant staff. Risk owners / risk focal points are also pursued to upload their finalized version of the risk registers on UNESTEAMS creating risk transparency and allowing to monitor the status of completion.

8. ERM e-learning

UNESCO is developing a dedicated UNESCO ERM e-learning. The United Nations Secretariat e-learning was selected as a well-fitting learning for UNESCO staff based on a set of indicators. In November-December 2018, a pilot test was organized. Staff was selected across Headquarters and

¹ Examples of risk categories are Strategic, Governance, Financial, Operations, Legal and regulatory Compliance.

² The workshops took place at the HQ (for the Sectors and Central Services – May 2018), Bangkok (Asia and Pacific region – June 2018), in Dakar (West and Central Africa region – July 2018), Montreal (UIS – July 2018), in Amman (Arab region – September 2018), in Paris (Europe region – September 2018), in Nairobi (Eastern and South Africa region – October 2018) and in Montevideo (Latin America and the Caribbean – November 2018).

field offices. Feedback was positive overall, however, participants pointed out that some elements should be improved.

I.B. Budget

Budget Activity	Budget allocation in USD (2018- 2019)	Expenditures (As per January 2019)
Risk register, training plan and manual of ERM procedures	100,000	70,680
Training of focal points at Headquarters and field offices	100,000	100,350
IT register system	150,000	1,939
Communication plan, information and technical assistance	77,500	5,791
Total	427,500	178,760

Budget: 42% of the total amount was consumed as of 31 January 2019

II. Fraud risk assessment

Contributing to Strategic Result “Accountability and adherence to UNESCO's rules and regulations strengthened”

Progress: The Fraud Risk Assessment is structured by organizational unit, sector or field office, each having its own deliverable, a Fraud and Corruption Risk Report. A Consolidated Fraud Risk Register and Map for 21 participating units was delivered in July 2018.

The consultants 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 that presented 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 part of Phase 1, a Proactive Investigations Model (the Model) was designed to provide IOS with an information-led model, which could identify potential FOs that are particularly vulnerable to fraud and corruption. The model was used as the basis for planning Phase 2 – Proactive reviews. In 2018, IOS conducted the first proactive reviews of two field offices. The visits which included a team of auditors and investigators led to the identification of fraudulent behavior in three instances, which were referred to full investigations.

Budget: 55% of the total amount was consumed as of 31 December 2018.³

Planning: Two further proactive reviews will be conducted in 2019.

³ Expenditures of \$93,033 out of a total budget of \$169,772.



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PART II

MANAGEMENT ISSUES

CORRIGENDUM

Annex I, page 7 after paragraph 10 should read as follows:

Title	Allocation (USD)	Avail Allocation	Project Ex. Rate 31 Jan. 2019	Earmarked for activities
Improve Resource Mobilisation	98 000	54 995	44%	Development of remaining e-learning modules & pedagogic review of Guide
Enhance Professional Competencies for Programme Delivery	449 000	55 534	88%	
Programme/Project Management	200 000	22 526	89%	Delivery of Risk Management workshops
Communication and Interpersonal Skills	179 000	7 761	96%	
Gender Equality and Gender Mainstreaming	70 000	25 248	64%	Development of e-learning modules
Strengthen the Management and Accountability Culture	438 000	166 468	62%	
Human Resources Management	140 000	22	100%	
Financial Management	158 000	158 000	0%	Development of learning materials, re. core system redesign
Management Competency Development	140 000	8 446	94%	
Enhance Programme Delivery at Country Level within the United Nations System	328 000	123 021	62%	
UNSSC Leadership Programmes	180 000	24 141	87%	Further participation in UNSSC programme
Effective Negotiation And Communication	148 000	98 880	33%	Delivery of regional workshops at Headquarters by UNSSC
Enhance Programme Delivery at Country Level within the United Nations System	219 000	14 781	93%	Delivery of regional workshops at Headquarters by UNSSC
Strengthen Leadership Skills	109 000	4 607	96%	
Maximise use of Internal Tools for Increased Productivity	109 000	5 868	95%	
Strengthening UNESCO's Decentralised Evaluation Function	200 000	448	100%	
	1 950 000	425 721	78%	

Available amounts under USD 10K on budget lines will be combined to enable delivery of a further regional leadership workshop, or career management workshop.



Job: 201905251



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ADDENDUM

COMMENTS BY THE INTERNATIONAL STAFF ASSOCIATION OF UNESCO (ISAU)

SUMMARY

C. 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 (document 206 EX/5.II.C).

1. ISAU notes that the training plan is ongoing and is generating interest among staff both at Headquarters and in the field.
2. Training courses on offer are diverse and it may be noted that the Administration is attempting to develop the best service at optimal cost.
3. Nevertheless, it might be desirable for the report to devote more attention to the evaluation of training. On the one hand, it would be useful to have a brief report on the feedback of staff members receiving training. On the other, the impact of training on the Organization's actual practices and operations should be more systematically analysed. Such an evaluation is necessary with the ongoing reform when it comes to investing resources to improve the effectiveness of the programme.
4. It is welcome that the report underlines, in this context, that the Internal Oversight Service (IOS) has noted an improvement in documents on risk management after training sessions thereon. This example is valuable but unique.
5. We would like the report to provide information on more such evaluations, where training is associated with the practices it aims to improve. This would be particularly relevant for training in team management, leadership, and resource mobilization, for which the concept of return on investment is entirely appropriate.

