

Review of Change Management in the United Nations system

1. Review Highlights for JIU/REP/2019/4

2. Complementary Paper to JIU/REP/2019/4



Review of change management in United Nations system organizations

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Background

Change management lies at the heart of organizational reform. It is the means through which organizations prepare, equip and support personnel to successfully adopt a change in order to drive organizational success and deliver positive outcomes. The empirical evidence from the public and private sector illustrates that organizational reforms more often than not fail to achieve their intended goals. This is primarily tied to weaknesses in leadership, management, communication and engagement with those who have to implement the actions and change the way they work as a consequence.

This review was undertaken in response to a recognition that the United Nations system is undergoing an unprecedented level of reform. Change management is critical to this effort. To look more closely at how well UN system organizations have understood and internalized the practices of change management, this review studied 47 organizational reforms from across 26 UN system organizations, covering the period 2010-2018.



Purpose and objective

The central purpose of this review is to highlight the significance of change management as a strategic priority worthy of consideration by governing / legislative bodies of UN system organizations. It is also intended to inform and guide organizations undertaking or planning to undertake organizational reforms by providing an in-depth assessment of change management practices, pointing to excellence and innovation and the benchmarks required to implement them successfully.



What the JIU found

Variations in
understanding
& application


1. Change management is understood and applied in different ways across the United Nations system.

One fifth of all reforms studied showed no evidence of change management in their design or implementation. These reforms focused on what needs to change in terms of structures, systems and processes, without also addressing how it should change, and the management of that change. By contrast, one third of all reforms showed evidence of incorporating most key elements of change management in their work. In effect, those that sought to incorporate change management comprehensively in their reforms did so reasonably well.

Complementary
application
works best

2. Change management works best if aligned and integrated with other reform streams.


Reforms that applied change management most comprehensively sought to complement 'hard' interventions (new systems, technologies, structures and processes) with change management practices in an integrated manner. By contrast, reforms focused on a narrow set of interventions, in particular those that sought to restructure, often understood and applied change management in a very limited way, only focusing on a few aspects around communication to mitigate against risks when moving, re-profiling or downsizing staff. This was found to be less effective in terms of achieving the desired change outcomes.



Establishing a case for change

3. Building a strong case for change is vital if a reform is to succeed.


The review found strong evidence that making the case for change during the pre-planning phase of a reform is critical, yet this was identified as one of the weakest aspects of change management. Half of all reforms did not carry out any prior diagnostic work to inform the case for change. It was found that readiness assessments involving diagnostic work do not need to be large or expensive and can be tailored to the specific needs of the organization and reform.



Creating a guiding coalition

4. Forming a coalition of people working throughout an organization to shape and deliver the intended reform.


While leadership by the executive head is necessary, this alone is not a sufficient condition for success. A clear governance structure for change management-related reforms is necessary to ensure that relevant stakeholders can influence the process. Their role and structure can vary depending on organizational configurations and the type of reform. Reforms that use a model of change agents across the organization are twice as likely to have achieved a good depth across the key elements of change management.



Establishing strong communication

5. Constant, clear and targeted communication is needed.

Communication strategies or plans for change management are essential, yet only half of the reforms reviewed included one. Some of the best communication strategies and plans were found in reforms in smaller organizations. The framing of a reform is important, as it sets the tone and makes the connection between the organization and the reform, the leadership and the staff.




Resourcing



Assessing & learning

6. Earmarking resources for change management and incorporating a clear results or benefits strategy to ensure that the cost-benefit of a reform can be demonstrated.

Earmarking resources for change management, and incorporating and implementing a clear results or benefits strategy, were also identified as critical success factors. Only one fifth of the reforms studied earmarked budgets for change management. If the results of change management cannot be attributed to a particular cost due to a lack of earmarking or financial tracking, it is difficult to see how the investment can be justified. And if the benefits of the investment cannot be proven, it is similarly difficult to understand why such an investment should be made in the future.



Aligning culture & behaviour

7. Aligning organizational culture and individual behaviours is key to managing effective change.

Aligning organizational culture and individual behaviours implies having a culture where staff are comfortable with constant changes in the way they work, are adept at multi-tasking and handling ambiguity, and can make quick decisions despite complexity and uncertainty. One quarter of United Nations system organizations included in this review implemented at least one reform focused partially or completely on their organizational culture. At times, best practices from the behavioural sciences have been followed. However, there is room for improvement, including a more strategic and consistent utilization of behavioural approaches and insights.



Embedding change management capacity

8. Change management capacity embedded in the organizational structure can play a critical role to coordinate reforms, and build on lessons over time.

One third of the organizations reviewed had established some form of unit to coordinate the change management function. These have generally been formed in response to a major call for change in an organization and a recognition that some form of change management oversight and coordination would be needed to ensure success. One of the primary roles of these units has been coordination and harmonization of change management, reflecting the increasing number and complexity of reforms active within these organizations.



9. A mechanism to learn and share from each other's experience is important for the UN system in order to provide guidance and to establish tools and benchmarks that are relevant and useful in the UN system context.

The United Nations Laboratory for Organizational Change and Knowledge (UNLOCK) provides change management lessons, advisory services and convenes a network and community of practice of those working in change management across the United Nations system. As a mechanism still in relative infancy, it is reliant on strong capable individuals with the commitment to drive it forward. The review concludes that it is an important mechanism to facilitate learning and sharing from each other's experience across the UN system, and should continue to be supported.

Furthermore, individual organizations are carrying out surveys, focusing on a range of issues including staff culture, motivation, practices and performance independently of each other, using different metrics and methods. These staff-focused surveys, when used well, can both inform the readiness for change management, and assess the actual changes that are taking place through gathering data over time. A standardized approach to staff surveys could be useful to establish norms for the United Nations system, and for benchmarking.



What JIU recommends

1 Executive Heads of United Nations system organizations are called on to:

- Embed structured and comprehensive change management approaches in their ongoing and future organizational reforms and report thereon to their governing/legislative bodies.
- Support the development and standardization of organizational staff surveys across the United Nations system, through the United Nations System Chief Executives Board for Coordination.
- Ensure that resources allocated to change management are clearly earmarked and the intended results measured, tracked and evaluated.
- Give greater prominence to the role that their strategic human resources management functions play in organizational change management. This would include promoting changes in individual attitudes and behaviours, establishing mechanisms to reinforce these, and creating channels to communicate feedback across all personnel.

- Include an item on the agenda of the next meeting of the High-level Committee on Management to consider how to support the United Nations Laboratory for Organizational Change and Knowledge to play a greater role in United Nations system reforms.

2 Governing / legislative bodies of United Nations system organizations are called on to:

- Encourage executive heads to embed change management approaches and methods in their organizational reforms and report on the results.



Methodology & Approach

In accordance with the JIU internal standards, guidelines and working procedures, this system-wide review was conducted in a consultative manner. The methodology followed in preparing the report included:



Academic literature review and consultation on change management models and practices.



47 case summaries outlining the key phases of change management using secondary and primary data collection across 26 organizations.



45 in-depth interviews with staff to better understand change management practices and strategies.



Two analytical frameworks developed to look at the presence and depth of critical elements of change management.



A database established mapping change management presence and depth alongside data on organizational characteristics (size, budget, etc).



Qualitative and quantitative analysis.



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thematic areas



2019
Programme of Work



28 Participating
Organizations

Review of Change Management in the United Nations system

Approach and Case Summaries

Complementary Paper to JIU/REP/2019/4

ADVANCE UNEDITED VERSION

(currently under edit, to be replaced when complete)



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I. Introduction

1. This complimentary paper provides details on the approach and methods used in the review. It includes four sets of documents in the following sections. Section II is the inception paper used by the review team, which was updated over the duration of the project as additional data was collected. Sections III and IV provide the definition and guide developed during the initial stages of the review and the actual review timeline.
2. Section V provides the frameworks and interview guides used in the data collection process. These are the case summary frameworks and the three different interview guides developed for the review. Section VI consists of the methods used to analyse the data. This includes the ‘presence and depth of key elements frameworks’ and an explanatory note for the tables and graphs developed for the report.
3. The final set of documents in Section VII are the case summaries completed for each reform across 26 participating organizations.

II. Inception paper

A. Introduction

4. This inception paper (IP) responds to the Terms of Reference (TOR) for project A433: Review of change management in United Nations system organizations. The TOR outlines what the review will focus on, this IP outlines how it will be carried out: approach, methods, staffing, and timeline.
5. The audience for this document is primarily the review team itself. It’s intended to be an anchoring document to refer to as the project develops, and hence provides links within it to all key frameworks and tools to be used during the review. The document itself will be updated periodically as the project evolves. It will also be shared, as appropriate, with the advisory group (UNLOCK network) for comments and suggestions, the JIU Inspectors and staff for their information and comment.
6. The document is structured into five sections beyond the introduction. The first reiterates the focus of the review, outlining the key questions and sub-questions. The second outlines the approach and methods to be employed to gather and analyse data and information for the study. The third outlines the approach to analysis. The fourth to resources: the staffing and financing for the study. The fourth and final section outlines the products and timeline.

B. Focus

7. The importance placed on managing change successfully is increasingly being recognized by UN system organizations. This is evidenced by the creation of organizational and project-based change management units and teams across parts of the system. Evidence cited in the TOR suggests that poorly managed change has major costs and risks for all organizations, and in this case, the UN system organizations. Taking this into consideration is an imperative at this juncture, when all UN system organizations are engaged in transformations to respond to the 2030 Agenda and to the UNSG-led management reforms.
8. The purpose of this study is to inform and guide UN organizations undertaking or planning to undertake major change management initiatives. Specifically, it aims to:

- a. Enhance the efficiency and effectiveness in the implementation of change management by UN organizations through providing evidence and lessons on good practices;
 - b. Improve the sustainability of change management initiatives through outlining how to address cultural and behavioural dimensions of change that are critical to long-term success;
 - c. Outline the work of change management units and teams across the UN organizations to ensure that the system makes best use of existing facilities and services.
9. The study will also contribute knowledge and lessons to those units and groups within the UN system working on change management and on behavioural insightsⁱ.
10. The specific objectives of the study are to:
- a. Review change management initiatives and practices across UN system organizations, taking stock of where, in what form, and how change management approaches have and are being used, and the added value or difference made by change management;
 - b. Point to good practices and innovations, and illustrate what is fit for purpose depending on the size and focus of the organization and the nature of the change sought; and
 - c. Provide an-depth look at the critical role that cultural and behaviour plays in changeⁱⁱ, outlining where individual and organizational behavioural approaches have been used across the UN and outside, and make recommendations for how and where they can be better used in the future.
11. The key evaluation questions, adapted slightly from the TOR to include additional inputsⁱⁱⁱ, for Part I are as follows:
- 1. What has driven reform in United Nations organizations, and to what extent have these drivers impacted on the type of change management process enacted?
 - 2. To what extent have United Nations organizations incorporated well-planned and implemented change management approaches within their organizational reforms?
 - 3. To what extent have United Nations system organizations explicitly sought to address cultural and behavioural issues in their change management initiatives and how?
 - 4. What are the commonalities and differences in the change management approaches adopted by the United Nations system organizations? What factors seem to differentiate the approaches applied: organizational, cultural, thematic, etc.?
 - 5. What are the critical success factors? What lessons can be derived to guide future change management initiatives?

C. Approach and methods

12. The review will use a variety of approaches to gather, validate and analyse data and information on change management (CM) across the UN system organizations. The overall approach is a qualitative one, to reflect the aim of generating lessons on CM, and nature of the data sought on practices, results and lessons on CM across the UN system organizations. The review will cover both the breadth of CM initiatives across the POs, and conduct a

deep-dive into a purposive sample of cases to extract results and lessons considered instructive.

Scope and delimitation

13. Given the breadth of CM across the UN system organizations, the project has delimited the scope to ‘organization wide reforms and management initiatives that have used change management approaches in their implementation, led from the senior management of the organization’. This, therefore, excludes smaller scale initiatives within organizations, such as departmental reforms with change processes. While these may be instructive, the review team does not have the capacity to review all CM initiatives. As a further guide, the POs will be asked to focus on between 2 and 5 initiatives to share information on, thus further delimiting the breadth of the inquiry. This range was based on initial scoping of the types and number of initiatives in larger UN organizations over the past decade. Given that there are 28 POs, with some natural attrition, it is expected that in the range of 60-80 initiatives will be identified – which will represent the population upon which a general assessment will be made, and from which the deep-dive sample will be taken.

14. The review has decided to focus on the period 2010 to 2018. The rationale for this time period is based on a) incorporating the period in which new reforms have been introduced, including the 2030 Agenda and more recent management, development system and peace and security reforms which will have a major impact of how the UN works, and the change processes this implies; b) going back sufficiently far to ensure that management initiatives and reforms that have included change management processes have been completed or matured so that the results (or lack thereof) can be assessed (from those reforms initiated around the 2010 period); and c) so that an appropriate size of sample of initiatives can be collected from each PO – in the range of 2 to 5 per PO. Going back prior to 2010 would arguably generate more data than the project could manage, coming forwards too far would generate too little.

15. The structure of the review – as a learning focused study – is to both look across the population of major management initiatives and their associated change processes – and then to dig into a sample of cases in greater detail. Through this approach, the expectation is that the study will provide basic accountability for the scope of change management in the UN system organizations by detailing whose done what, and how – showing some of the patterns and practices (breadth), supported by more detailed investigation into a sample of cases where lessons on good and less good practices can be analysed and presented, and from which conclusions and recommendations can be drawn.

16. Sampling. From the population of organizational reforms and management initiatives identified and summarized across the set of 28 POs, a long list of cases with the potential for further ‘deep-dive’ investigation will be drawn-up. These will be clustered through a two-tier approach; a) by organizational mandate – development or humanitarian, normative; b) then by organizational size based on annual revenue and number of employees – classified into large, medium and small. From these a purposive sample will be made to pick cases that are both interesting (because of positive and negative features) and through this – at the mean – to provide some degree of representativeness of the population in the category as a whole. It is a judgemental sample (as opposed to a nonprobability sample), intentionally to reflect the aim of drawing out interesting case material.

Methods and Process

17. The review will use a variety of methods and processes to gather and analyse data and information for use in the report. These will be phased to make efficient use of the team's resources and the time of the focal points in POs and other resource people.

Desk Review

18. The initial desk review will target UN system organizations only, including the United Nations Secretariat. It will scan through reforms and organizational strategies since 2010, classifying, describing and documenting where specific change management plans and actions were put in place and implemented to deliver on these strategies and reforms, the approaches taken and details thereof. The review will also look at where change in responding to a reform or strategic or operational plan has taken place without a formal structured 'change process'. It will seek to understand the drivers behind these changes and what effect this has had on the nature and form of the change process.

19. The desk review aims to:

- i. Provide an overall scan of change management initiatives and related reforms across UN JIU participating organizations (POs)^{iv}. This will cover the period from 2010-to date, including planned change management actions. This will be used to provide a base of evidence for the report and to guide the construction of questions in the survey to POs.
- ii. Identify a range of cases and topics for further detailed analysis, based in particular on good practices, but also to look at areas where change management hasn't happened as expected and factors behind this.
- iii. Identify cases where there is evidence of a focus on cultural or behavioural approaches or practices within change management initiatives and put a marker on these for picking-up during the second part of the study.

20. The products from the desk review will be as follows:

- a. Matrix classifying the major types of drivers of change, and details of the change mechanisms and practices associated with different drivers.
- b. A form of 'heat map' showing the types of change management initiatives by area / theme (human resource, enterprise resource project, etc) on one axis and by UN organization the other.
- c. Short summary notes for each change management case against the questions and data information needs outlined in the case review framework. This should provide both the material available from the literature and gaps where it isn't, to be followed-up.

21. **Desk Review Process.** The desk review will necessitate direct contact with focal points in the JIU POs to help identify relevant documentation. Direct contact with focal points need to be mediated through the Research Assistant (RA) or Evaluation and Inspection Officer (EIO) for protocol reasons.

22. **Validation.** Once a summary of a management initiative and related change management approach has been prepared using the framework (linked in 3.9.3 above), it will be shared with the PO focal point for validation. The purpose of this validation is twofold. First, to check on the accuracy of the summary provided against the review questions, second, to ask for additional information or suggestions of who to interview to fill information gaps. This validation will be carried out on a rolling process as documents are received,

summaries generated and then sent back for comment. This is a practical way of addressing the large volume of case material.

Interviews

23. One-on-one and group interviews will be carried out, in person and via telecommunications. These will be required to follow-up on specific issues identified from the desk review; to address gaps in the information; and to triangulate information received from these other sources. Interviews will be semi-structured, focusing on specific gaps and validation issues. Formats for these interviews will be developed in due course, and tailored as necessary.

Questionnaire

24. Depending on the breadth and depth of information gathered through secondary sources and the desk review, a survey may be conducted – most likely via online questionnaire to look at the aspects of coverage of change management in the areas of interest. Having derived elements of the approaches taken, the survey may seek to (re)ascertain which common elements of change management were implemented, which were not and the reasons why. The survey will seek to address specific gaps and generally some performance information through targeting those involved (where review or evaluation evidence is lacking) with their views on the process and results. As of writing, there's no immediate need for a survey, but this will be reflected on again as the process develops.

D. Analysis

25. An analysis table has been prepared outlining how the data and information from each review question will be used. This will include defining how qualitative information will be classified and clustered; what types of data relationships will be analyzed and why; whether data tables, graphs or other media will be used to present this information. The data table, with the variables, can be found here. A draft, annotated table of contents for the report can be found here.

26. The review will generate a large quantity of qualitative data from the collection of data on around 60 individual reforms or management initiatives which have used change management approaches from across UN system organizations. In addition to the case review frameworks (see para 3.9 above), which will be analyzed as described in 4.1; a sample of cases will be investigated in greater detail (see para 3.5). The review team may use qualitative analysis software, such as Nvivo to help categorize and identify patterns in the data, given the focus on identifying and generating lessons. The key themes and practices will be drawn from this in-depth analysis. And written up as appropriate.

ⁱ Such as the UN Behavioural Insight (UNBI) Team, a partnership between UNDP Innovation Facility and UN Secretariat.

ⁱⁱ Several studies, including those focused on change management initiatives in the UN note the role of these cultural, attitudinal and behavioural issues as critical to success. However, the studies do not look in detail at *why* these cultural and behavioural issues are critical, *how* they function, and *what more* we can learn from these experiences to improve the design of change management initiatives in the future.

ⁱⁱⁱ Two members of the review team participated in the UNLOCK annual network meeting, held in New York, USA, 19-21 June 2018. This meeting brought together CM experts from across and outside the UN to update on the latest developments and share experience. The CM Project Team presented details of the review, and received feedback through group work on different aspects of the objectives and design. This has been fed back into the choice of review questions and sub-questions, and in the approaches to be used.

^{iv} 28 UN Organizations, including the Secretariat, participate in the JIU. These will all be covered in the first part of the study.

E. Annex to the Inception Paper: Review Framework

Review Sub-questions	Information Required	Sources, Methods	What this analysis will likely allow JIU to say
1. What have been the main UN system organizational reforms and management initiatives since 2010 and what has caused them?			
1.1 Which major (organization wide, led from the top) reforms, or management initiative have been implemented within each PO since 2010?	Categorization / Typology of organizational or management-related reforms in each PO since 2010 (business process reviews; IT transformations; decentralization/ regionalization; portfolio and program management; human resource management etc.)	Desk review: Contacting CM focal points in each PO asking for key initiatives and relevant documentation. Documentation analysis of UN CM processes and Interviews: follow-up with key FPs personnel through FPs where require further information of validation	Typologies of reforms, organizational or management strategies (ERP, HR, regionalization etc); Cluster by different types of UN POs (funds/programs, specialized agencies); Cluster by size of POs etc
1.2 What are the underlying factors or drivers behind the organizational reform / management initiative?	Political – external within the UN e.g. UN system-wide management, development or peace/security reforms; internal political changes Technological – keeping up with changing working practices and demands Socio-economic – budget constraints or opportunities etc.	Desk review: Documentation analysis Info from CM Focal Points Mapping/categorization	Typology of drivers of change. Identify major themes.
1.3 Where distinct or additional to broader drivers of change, what specific events or triggers signally the start of the reform process, organizational or management initiative?	A trigger is a specific event. It may be internal or external, slow onset or immediate crisis (internal or external). These might include funding depletion (either slow or immediate); reputational (fraud, mismanagement) or other. Each of these will affect the approach, speed, scope, resources and adoption of change management.	Desk review: Documentation analysis Info from CM Focal Points Mapping/categorization	Typology of triggers or change events. Link these back to approach, speed, scope, resources and adoption levels of CM – and see to what extent triggers influence these factors

Review Sub-questions	Information Required	Sources, Methods	What this analysis will likely allow JIU to say
2. Which change management approaches have been used or adapted in implementing the above organizational reforms or management initiatives?			
2.1 What types of change management approach(es) have been used to implement these organizational reforms or management initiatives?	<p>How have they sought to implement the reform / management initiative?</p> <p>Was a clear structured approach been outlined, with principles drawing from established practices (Kotter, McKinsey, PWC, UNLOCK etc) or not? What are the origins of the approaches used?</p> <p>2.1(a) Has there been i) a specific macro level work-stream on change management supporting other work-streams of reform/management strategy; or ii) structured micro-level change management approaches used within work streams (e.g. on staff recruitment and realignment); or iii) less structure change management elements used within work-streams.</p> <p>2.1(b) Review and presentation of information on change management approaches of large complex organizations both within and outside UN. Documentation of international norms and approaches to change management to look at criteria and process used within and outside UN.</p>	<p>2.2(a) Based on information gathered in 1.1 – starting to categorize different types of CM approaches/processes applied for different initiatives, organizations and contexts.</p> <p>2.2(b) Brief scan of literature noting down the standard processes established and followed. Draw on literature already identified (McKinsey etc) and UN literature (UNLOCK etc)</p>	<p>Documentation of different approaches to CM.</p> <p>Configuration of CM approaches used, in different contexts and needs.</p>
2.2 How do the triggers of the organizational reform or management initiative influence how change management is approached?	<p>What is the relationship between the trigger(s) and the change management approach(es)?</p> <p>Do the triggers effect the type of change process? If so, how? What are the implications of this downstream?</p>	Documentation analysis followed by interviews to look at causal pathways	If a link is found between driver of change and the change process itself it implies a varied / scaled / bespoke process of CM depending on context

Review Sub-questions	Information Required	Sources, Methods	What this analysis will likely allow JIU to say
3. How have the change management approaches been adopted/ adapted and implemented?			
3.1 What was the scope – breadth and depth of the change process (for each major process)?	For each major change process (categorized by type, see 2.1a for initial categorization) Scope of the change process – system-wide, organization, department etc.	Desk review	Provide the core information on how CM has been done similarly and differently across the UN, for different reforms/change initiatives, different organizations and contexts) and the implications of this.
3.2 How was the change process led? By whom and how?	Who led the change process? What is their position in relation to management? Is there an institutionalized function in the organization or was it time-bound for this specific initiative? (see section 7 of this framework for more) Was the governance body involved? How was this related to the reform or plan which it informs? What were the facets of leadership in the change process?	Desk review. Interviews with FPs or other relevant personnel in the POs.	
3.3 How was the process structured?	Did the process have a definitive start and end? How long did it last? How was it organized?	Desk review	
3.4 What were the process elements of the change? How were they managed and implemented?	Ref section 2 on approaches – how were they adapted or adopted for use in this context (e.g. did they use Kotter steps, some or all, McKinsey etc). What was the rationale for the adoption or adaptation, where used? Was it led internally, with own organizational CM team; by another team in the UN (UNLOCK?) or	Desk review. Interviews with FPs or other relevant personnel in the POs.	

Review Sub-questions	Information Required	Sources, Methods	What this analysis will likely allow JIU to say
	external company? What were the reasons for this, and the implications? How was the change initially framed and presented to staff? What processes were used to affect change? What communication mechanisms were used to support reform? [NB. Look through the generic literature on typical CM steps and add in as appropriate]		
3.5 How much reflexive learning took place during the process? Was it evaluated during or after?	What learning and adaptive management processes were put in place during and after the CM process?	Desk review. Interviews with FPs or other relevant personnel in the POs.	
4. What have been the resource implications of change management?			
4.1 How was the CM budgeted?	Source of financing- core resources/XB. Implications.	Budget analysis –where allocated. Where not – questionnaire or individual interviews with relevant finance people in POs.	Relative and absolute costs of different types of CM process. When linked to other data generated in the study may be possible to look at relationship between cost/resource use – and process/results
4.2 What were the major cost elements and actual costs (where available)?	Cost elements – financial, human, etc. Actual cost breakdown if possible to estimate.	Budget analysis – where allocated. Where not – questionnaire or individual interviews with relevant finance people in POs.	
5. What are the results and critical success factors, comparing external (non-UN) and UN experiences?			
5.1 What were the results of the change process?	Immediate, medium and long-term. Outputs and outcomes? Assessed? Did they bring about the desired transformation? Is there evidence of sustainability of these changes?	Reviews and evaluations of CM processes – where available. Questionnaire survey – targeting specific groups – those internal to the	Whether it worked or not? Whether a structured process is worth the additional cost. Where possible to ascertain – the longer term sustainability benefits etc.

Review Sub-questions	Information Required	Sources, Methods	What this analysis will likely allow JIU to say
	Ultimate goal around degree to which organization is working differently and people are behaving differently. Degrees of result or proxies around these include cost reduction (staff and non-staff); service levels; reduced risks; behavioral changes; improved collaboration etc.	process, the users and others (external, e.g. board members)	
5.2 What are considered critical factors +/-	What do those involved, and those affected considered critical factors in success/ failure of change processes? Can these be distinguished from the reforms behind the change etc.		
5.3 Did the quality of the process effect the quality of the result(s)? If so, how?	Diving into structure vs non-structure What is the value-add of the structured process, where used?		
6. What lessons can be derived to guide future change management initiatives?			
6.1 What factors seem to differentiate the approaches applied: organizational, cultural, thematic, etc. and what are the implications of this for future change management in the UN?	What are the commonalities and differences in the change management approaches adopted by the UN system organizations?	Mixed approach. Review of the evidence generated against questions 1-5; possible questions in questionnaire survey; possible interview follow-up <i>TBC</i>	What lessons we can identify that may be useful for future CM efforts in the UN – i.e. of generalizable value
6.2 What positive features identified are transferable or scalable, which are not and why?	Looking into features that seem to be key to a successful CM process How unique are these to the context in which they were implemented? What generalizable lessons can be identified?		

Separate section on Change Management functions in participating organizations

Review Sub-questions	Information Required	Sources, Methods	What this analysis will likely allow JIU to say
7. To what extent have change management functions been institutionalized?			
7.1 Does the Participating Organization (PO) have a Change Management function – formalized or otherwise?	Is there a team – time-bound or fixed – working on CM across multiple initiatives (i.e. beyond a single time-bound change process)?	Desk review. Interviews with FPs or other relevant personnel in the POs.	Separate analysis to stock-take and categorize the extent to which CM has become or is becoming institutionalized across UN system organizations. And the implications of this
7.2 What are its objectives?	How was it established? When? What is its purpose? How sustainable is it?		
7.3 How is it structured, staffed and funded?	How many staff, and at what grades? Who does it report to? How is it funded and to what levels?		

III. Definition and guide

A. Background

27. Change implies a departure from a present state in order to make things different. It is a process of moving from one state to another. Change can be planned or unplanned, incremental or sudden. What is interesting to note is that definitions of change most often focus on the tangible things that will be different such as processes and policies, products, systems, and so on. As such, most would assume that change management must be the management of the process (the change) from point A to point B. However, this is not change management but rather project management. Change management is about the intangible side of change—helping the people involved in the change get from point A to point B^v.

28. Its focus is on the approach to support people, teams and/or organizations to shift from the current to an alternate state. The change management process aims to engage with stakeholders to embrace and effectively implement change in the work place. While the goals are typically around maximising organizational benefits, while minimizing the negative impacts on people and avoiding distractions^{vi}.

29. A review of the literature focused the project on seven models of, or approaches to, change management^{vii}. The common elements across these models or approaches point to:

- a. a holistic way of addressing the identification (determining what needs to change, and establishing a case for change);
- b. the components of change (divided in some cases between so-called the operational or ‘hard’ elements – including strategy, structures, processes, systems; and so-termed ‘soft’ elements – including leadership, culture, behaviour, style, skills and elements related to staff);
- c. the process of change (the transition process, ‘unfreeze-freeze-refreeze’ (Lewin) and how to manage it; and
- d. the results of change and how to sustain them

30. From these models, it’s clear that what underpins the basis of change management is that people’s capacity to change can be influenced by how change is presented to them. Their capacity to adapt to change can shrink if they misunderstand or resist the change, causing barriers and ongoing issues. The rationale is that if people understand the benefits of change and what is in it for them, they are more likely to participate in the change and see that it is successfully carried out, which in turn means minimal disruption to the organisation. This isn’t to say that change management will save projects that aren’t properly resourced, aren’t properly scoped, aren’t properly managed, etc. but rather that change management is a tool to be used in conjunction with others to further solidify the likelihood of success.

B. Definition

31. The terms of reference for the A433 Review drew on the simplest and most widely used definition of Change Management, namely, the systematic approach to deal with the transition in an organization towards specific objective^{viii}. A wider review has uncovered a range of definitions from within the UN system^{ix} and outside^x, placing emphasis on people, and how they are

involved in the rationale for change; how they participate in the process of change and have the capacity to participate; how they transition through the change and adapt new work practices.

32. Drawing from the UN definition and the literature, the JIU Project A433 defines Change Management as:

The approach and actions to change practice, culture and behaviour to ensure the adoption and sustainability of improvements in existing work practices, whether through a reform, management initiative or as an incremental process. Change management, when properly applied, ensure individuals within an organization efficiently and effectively transition through change so that the organization's goals are realized

33. Within the context of a specific reform or management initiative, which is the primary unit of analysis for this JIU review; change management may be considered a sub-set of approaches and actions. The case summary framework provides for this wider context- the objectives and elements and drivers of the reform or initiative itself, and then seeks to focus in on change management approaches and actions (or processes) and results which pertain to helping people engage with, adapt to and benefit from the changes proposed.

34. Expanding on this definition, the following elements are considered.

- i. Leadership: 'Engage the top and lead the change'^{xi}. Elements include, making the case for change, providing leadership, mobilizing staff, developing a clear plan and ensuring consistent management. While engaging the 'top' is critical, leadership itself should not necessarily always come from the top but is more an ability to influence the decision-making process and that can come from different levels.
- ii. Governance: 'Ensuring participation, transparency and oversight'. Elements include, defining the types of roles and responsibilities required to manage the change; formalizing leadership sponsorship; supporting and enabling leaders to role model^{xii}; ensuring a clear and transparent framework for overseeing the change (management of the change) and following through with it (including disclosure and reporting)^{xiii}.
- iii. Culture: 'Building on the ownership and the intent to reform'. Culture pertains to practices and expectations which tend to converge within a particular group. In the case of change management efforts to change 'culture', elements include, understanding the culture of the organization and identifying the strengths; rolling out change initiatives from the base including 'bottom-up' initiatives; identifying ways to break barriers – through shared values; cross-functional initiatives; focusing on what motivates.
- iv. Behaviour: 'Linking behaviour to the intended change'. Elements include, identifying whether reform implies any behaviour change; identifying the types of behaviours sought, as mediated through values and practices; addressing the reaction to change under specific circumstances and attempting to ameliorate or refocus it; focus on engagement and involvement of staff; training and capacity building; coaching and support.
- v. Practice: 'Application of principles, strategy and procedures'. Relates primarily to the engender habits within in an organization, tied to culture and behaviour. Practice relates both

to what people do, and also how they do it. Change management aims to influence practice positively.

35. This is not an exhaustive definition. It is expected that other features are relevant, and the definition may evolve based on emerging knowledge in the project and understanding.

C. Guide for case summaries

36. The following section provides guidance for those completing the case summaries, whether through desk review of available literature and/or interview with key personnel involved. The guidance provides both examples and benchmarks (where appropriate and possible) to assist the user when reviewing the secondary material or conducting interviews.

37. Please note, the guidance focuses only on the questions which additional interpretation or assistance is considered necessary. Factual questions, for example, are not provided with additional guidance. Cells are shaded for questions where no additional guidance is provided.

^v Source: Canadian Intellectual Property Organization, GCDocs 7560230: 2017 Change Management: Establishing a Centre of Expertise,

^{vi} Source: UNLOCK training material.

^{vii} McKinsey's 7-S Model; Kotter's 8-step process of Change; Lewin Model 3-step change process; ADKAR Simple, Powerful, Action-oriented Model for Change; Burke-Litwin Performance and Change Model; Kubler-Ross 5 Stage Model and UNLOCK Change Management Model. In addition, PwC's Strategy& approach and Mindlab's Plan of Change were reviewed, as have been drawn-upon by one or more UN agency.

^{viii} After John Kotter, *Professor of Leadership*, Emeritus, *Harvard Business School*.

^{ix} The United Nations Terminology Database defines Change Management as: "An approach to moving organizations and their stakeholders, in an organized manner, from their current state to a desired future state. Effective change management tries to do so in a manner which causes the least anxiety and resistance and therefore is the most likely to succeed. The ultimate goal of change management at the United Nations is to increase effectiveness, accountability, transparency, and efficiency in delivering results"

^xThe Association of Change Management Professionals in their Standard for Change Management uses the definition "the application of knowledge, skills, abilities, methodologies, processes, tools, and techniques to transition an individual or group from a current state to a future state to achieve expected benefits and organizational objectives. Change management processes, when properly applied, ensure individuals within an organization efficiently and effectively transition through change so that the organization's goals are realized"

^{xi} Source: PWC; Strategy& approach

^{xii} Source: UNLOCK Change Model, August 2018

^{xiii} UNESCAP, 2008, defines "good governance" as the **process of decision making** and **the process by which decisions are implemented** (or not implemented). It is proposed that there are eight characteristics of good governance and these are: **Participatory** - Participation is a key cornerstone of good governance and as such needs to be informed and organized; **Consensus oriented** - There are several actors and as many view points. Good governance requires mediation of the different interest; **Accountable** - Who is accountable to who varies, depending on whether decisions or actions taken are internal or external to an organization. In general, an organization is accountable to those who will be affected by its decisions or actions. **Transparent** - Transparency means that decisions taken and their enforcement are done in a manner that follows rules and regulations. It also means that information is freely available and directly accessible to those who will be affected by such decisions and their enforcement. It also means that enough information is provided and that it is provided in easily understandable forms and media.; **Responsive** - Good governance requires that institutions and processes try to serve all stakeholders within a reasonable timeframe; **Effective and efficient** - Good governance means that processes and institutions produce results that meet the needs of stakeholders while making the best use of resources at their disposal; **Equitable and inclusive** - A society's well-being depends on ensuring that all its members feel that they have a stake in it and do not feel excluded from the mainstream of society. This requires all groups, but particularly the most vulnerable, have opportunities to improve or maintain their well-being.; **Follows a rule of law** - Good governance requires fair legal frameworks that are enforced impartially (<https://www.pmi.org/learning/library/project-governance-principles-corporate-perspective-6528>)

Review Question	Review Sub-Question	Sub-sub Question	Additional Details and Guidance
REFORM/INITIATIVE OVERVIEW			
1. Details of the organizational reform/initiative (The 'What' question – what the initiative and reasoning behind it was?)	1.1 A brief summary of the reform/initiative.	1.1.1 What is its purpose? What are the objectives?	Purpose– what it plans to contribute to: e.g. ILO Business Process Review purpose to address organizational health and process efficiency, to make ILO i) a more agile and influential organization; ii) increase its technical and analytical capacity; and iii) raise the quality of administrative services. Objectives - the specific aims of the reform or initiative itself. e.g. ILO Business Process Review objectives are to improve the quality, efficiency (lighten the administrative workload) and effectiveness (increase satisfaction with business processes and administrative services). The second objective is to identify opportunities to reallocate resources from ‘back office’ to front line technical and analytical roles.
		1.1.2 When did it start? When did it end?	
		1.1.3 What are the key elements/sub-initiatives?	These refer to the components of the reform or initiative, where it is broken down into functional parts. The importance of breaking out the components are to see which may pertain to change management. e.g. UNOPS HR Transformation Initiative had the following components: 1) E-recruitment, 2) flexible and recognized ICA contract modality; 3) ICA pay system; 4) extensive management and emerging leadership training and learning; 5) Talent Benches; 6) performance management; 7) recognition and reward system; 8) change management capacity development; and 9) organizational excellence. Those components highlighted in red appear – from their title alone – to potentially be where the change management elements of the reform reside. So should be areas where the drafter of the case summary focuses for the write up in the later section of the summary.
		1.1.4 When and by whom was it approved?	
		1.1.5 Was the reform evaluated? What were the achievements, results, and/or outcomes?	If the reform or management initiative was subject to an evaluation, review or performance audit, the key results and achievements should be summarized here, and links made to relevant evaluation / review

Review Question	Review Sub-Question	Sub-sub Question	Additional Details and Guidance
			<p>documents should be cited here – so that the reader can go back to the source documents if necessary.</p> <p>Where not evaluated, it may still be the case that the intended or expected results of the reform were identified in the planning documents, these should be listed here, even if results were not assessed, as these can be followed up with subsequent interviews.</p> <p>e.g. For ILO Business Process review, the intended results of introducing new management tools were: 1) increased levels of staff engagement; 2) improved team communication through daily meetings; 3) improved problem-solving skills; 4) higher levels of collaboration.</p> <p>In other cases, specific metrics may have been identified. E.G. for UNOPS IICA Modality, it was noted that 3,500 people accepted their contract amendments within 2 weeks which represented a significant (undefined) increase in turn-around time.</p> <p>Some of these results may be considered ‘change management’ results, if they pertain to elements of the reform that relate to change management strategies and actions. They may, therefore be copied over to section 5 of the case summary framework</p>
	<p>1.2 What were the underlying factors or drivers behind this reform/initiative?</p> <p>Where distinct or additional to broader drivers of change, what specific events or triggers signalled the start? Each of these will affect the approach, speed, scope, resources and adoption of change management. They can be both expected or unexpected.</p>	<p>1.2.1 What were the drivers? The causes of the initiative, generally an overarching, longer-term shift affecting how the organization operates.</p>	<p>It’s worth digging into the material to see if the ‘stated’ drivers are in fact the ‘real’ drivers or ‘only’ drivers. There may be drivers that are stated for palatable or political reasons, but are underpinned by more sensitive issues.</p> <p>For example, for UNFPA regionalization initiative. The documents note that the driver was to move ‘regional divisions closer to the clients’. However, behind this was also the natural attrition/retirement of international staff in HQ and recruitment of national staff in regional and country office positions. This reduced the overall staffing costs of UNFPA which may reflect the need to address budgetary or cost-cutting imperatives.</p>

Review Question	Review Sub-Question	Sub-sub Question	Additional Details and Guidance
		1.2.2 Was there a specific event that acted as a trigger to get it started? It may be internal or external. These might include funding depletion, reputational (fraud, mismanagement) or other.	<p>A trigger may come to kick-off a reform that has been pending for some time (for example, ILO Business Process Review, the DG's election campaign included management reform, and when they were elected, the reform began – but arguably the need for management reform pre-dated this DG. This might also be said to be the case for OCHA reforms, which were accelerated under the current USG but pre-dated).</p> <p>Triggers may also come where there is no prior driver. For example, in the case of malpractice of malfeasance – and an immediate reform is required, for example, UNAIDS.</p>
PLAN OF CHANGE MANAGEMENT PROCESS			
<p>2. Which change management approaches have been used in the <u>design</u> of the above reform or initiative?</p> <p>(The 'How' question on design – what did they set out to do?)</p>	2.1 Describe the design or plan for change management in the initiative?	2.1.1 What were the specific objectives of change management within the design of the initiative?	<p>As outlined in the definition, change management refers to efforts (plans, actions, results) within a wider reform or organizational change that pertain specifically to people: how to support them in the process of change; how support cultural and behavioural change where necessary, and how maximise organizational benefits while minimising negative impacts on people.</p> <p>This definition should help identify or distil the specific objectives within the reform or management initiative that pertain to change management.</p> <p>Examples of specific objectives</p> <ul style="list-style-type: none"> - Behaviour change to facilitate fuller adoption of new technology (e.g. UMOJA, or 'addressing the critical mind-sets that limit the organization's potential, ILO BPR). In many cases, initiatives refer to CM objectives as being to reduce anxiety and change resistance, particularly where HR is involved – i.e. where downsizing might take place or repositioning) - Empowerment of all staff to increase adoption of new policy (e.g. UNFPA, Regionalization – 'to ensure that staff were fully informed about the process and could contribute to it') - Improve communication of new roles and responsibilities - Enhance openness and transparency as part of an effort to increase accountability culture in an organization

Review Question	Review Sub-Question	Sub-sub Question	Additional Details and Guidance
			<p>Where a clear objective or objectives isn't found, this also needs to be noted, as this might suggest that there was a lack of a vision as to why change should occur, the goals objectives and criteria of that change (which we would posit are key to achieving a successful change).</p> <p>Eventually, we will seek to categorize the objectives into types, to enable coding and comparison across the initiatives.</p>
		2.1.2 Did the approach to change management draw from established practices (Kotter, McKinsey, , UNLOCK etc) or not? If so, how?	<p>In some cases, change management strategies and plans have evidentially drawn directly from existing models and frameworks.</p> <p>For example, UNOPS ERP drew from McKinsey's seven steps model, as did the ILO BPR initiative.</p> <p>Where an existing model has been drawn from, it is necessary here to spell out how the models was used. Has it been taken verbatim, parts of it only, or adapted. If adapted, how?</p>
		<p>2.1.3 Was a specific plan prepared outlining the change management process(es)?</p> <p>Who prepared this plan – done internally or by an outside company? If external, please state who?</p> <p>What were the elements of the plan?</p>	<p>Strategies and plans for Change Management can be divided into the following.</p> <p>The exact names may change in the documents you review, but if you see some of the elements you can decide if it's sufficient to qualify and be included. They may all be rolled into one document, or defined differently, but the key is to identify whether these elements have been included or not.</p> <p>1) Readiness Assessment and Diagnosis, including</p> <ul style="list-style-type: none"> - Defined the change and why it must occur - Clear vision of the future state - Goals, objectives and success criteria for the change - Benefits to be realized and means to measure them - Change initiative aligned with organization's strategic directions and priorities - External factors that can impact organizational change initiative - Identified and analyzed stakeholders influencing,

Review Question	Review Sub-Question	Sub-sub Question	Additional Details and Guidance
			<p>involved in or impacted by the change</p> <ul style="list-style-type: none"> - Assessed organizational culture in relation to the change - Assessed organization's capacity and readiness for change - Assessed whether change leaders understand and are committed to the change - Assessed the risks, considerations and likelihood of success to identify mitigation strategies - Means to prepare organization for change <p>2) Communications strategy and/or plan</p> <ul style="list-style-type: none"> - Objectives of the plan, e.g. risk mitigation; importance of comms vis-à-vis commitment; addressing expectations etc - Principles - Key messages for different audiences (segmentation) - Types of messages - Key events and timetable - Results framework / review of plan measures <p>3) Engagement strategy and/or plan</p> <ul style="list-style-type: none"> - Definition of type and scope of change - Approach to engaging with staff and stakeholders - Defined roles and responsibilities, including leadership, change agents etc - Institutional framework (governance, management etc) - Process plan (training, engagement, feedback) - Review and learning plan (monitoring, internal learning) <p>4) Training strategy and/or plan</p> <ul style="list-style-type: none"> - Role of training / capacity development in this initiative - Needs assessment - Differentiated needs and responses / types of training - Follow-up / feedback <p>5) Benefits realization and measurement strategy</p> <ul style="list-style-type: none"> - Theory of change or equivalent - Results framework - Key success criteria - Data collection mechanisms

Review Question	Review Sub-Question	Sub-sub Question	Additional Details and Guidance
			<ul style="list-style-type: none"> - Risk management framework - Evaluation plan - Reflexive learning opportunities <p>NB. This list is not exhaustive, can add to with practical examples as the review develops.</p>
	2.3 How did the triggers of the organizational reform or management initiative influence the change management approach?	2.3.1 What effect, if any, did the drivers or triggers of the reform have on the objectives and plan for change management?	<p>This requires a judgement call, whether from the participating organization and/or the JIU reviewer – to link what is identified in the driver or trigger section with the objectives.</p> <p>Example from UNFPA reorganization case summary: “The drivers of the reorganization and regionalisation related both to the need to strengthen field presence; to move ‘regional divisions closer to the clients’ (see 1.1.1). This also implied retrenchment of international positions at HQ and hiring of national staff in regions and countries (lower cost) It’s unclear from the documentation how much cost downsizing took place, and how much this was also an imperative behind the reform (for efficiency gains). Clearly, the nature of the reorganization, being focused in large part on reprofiling and reorganization meant that good communications with staff was critical to success. This links closely with the objectives of the change management process itself- with the aims being in part to reduce anxiety and change resistance and build buy in.”</p>
	2.3 What experiences or lessons were drawn from prior practice or others practice that informed this change management plan?	2.3.1 Did the plan draw from either prior experiences of change management within the organization? If so, please describe how	<p>For ‘deep dive’ cases in particular it’s important to understand the genesis of change management in an organization. Has it learnt from prior attempts? How has it learnt? What has it learnt?</p> <p>For example, for UNOPS the ERP initiative appears to have a more explicit approach than the HR initiative that preceded it. Is this accidental? Perhaps they were run by different people and there was no lesson learning. But alternately perhaps there was, and it was built on successes and failures. This is what should be described here.</p>
		2.3.2 Did the plan draw from other similar change management initiatives going on in other UN	Similar to 2.3.1, the review wants to know if there has been cross-sharing of knowledge, lessons, experiences between similar types of reforms – whether on ERPs, or regionalization / decentralization, on

Review Question	Review Sub-Question	Sub-sub Question	Additional Details and Guidance
		organizations (e.g. ERPs, HR reforms etc)? If so, please describe how	HR reforms or the like. The reviewer should also therefore review the other case summaries in the same theme, and see if there is any cross-referencing. If not, this should be included as a question to ask in interviews.
IMPLEMENTATION OF CHANGE MANAGEMENT PROCESS			
3. How have the change management approaches been adopted/ adapted and implemented? (The 'How' question on implementation)	3.1 What was the scope – breadth and depth of the change process?	3.1.1 Was it system-wide, organization, department etc.	System-wide here refer to UN system. It's not clear if any single initiative has been rolled out across the entire system due to varying governance structures, but it's possible. One might consider whether initiatives rolled-out across the Secretariat (which has multiple entities – be considered sub-system wide? E.g. UMOJA).
	3.2 How was the change management process led?	3.2.1 Who led the change management process? Who was the owner/sponsor of the change? What is their position in relation to management?	<p>This can be broken down as follows:</p> <p>Change Sponsor – the senior manager who is initiating or supporting the change at the highest levels (with the Board, the GA or other). This could be the SG himself, a USG (such as for UMOJA), an Executive Director or other. The designation here is important so that we can read across.</p> <p>Change Manager – is there a specific person with the job of leading the change management process? What is their designation and grade? Who do they report to?</p> <p>Change Specialists / Agents – were others designated responsibilities in the change management process. What levels, how many etc.</p>
		3.2.2 Were consultants involved in implementation? If so, in what role?	<p>Indicate who, and how involved.</p> <p>For example, for ILO BPR “McKinsey formed 50% of the project team in the first wave and their participation decreased to 0% by the end of the 4th wave”. McKinsey led training initially, training trainers etc.</p>
		3.2.3 What was the size of the team? Where was the CM team located?	<p>This should be divided between the full-time team (see 3.2.4) and the team that was created specifically for change management in this initiative.</p> <p>For example, ILO BPR:</p>

Review Question	Review Sub-Question	Sub-sub Question	Additional Details and Guidance
			<p>The BPR team has averaged 8 full-time members. It is physically located in an open office space and organizationally located in the office of the DDG/Management and Reform.</p> <p>The Continuous Improvement Team consists of 3 part-time members who are located in different operational units and work on change management only occasionally in response to specific demands. They are ex-BPR team members and change management is not their focus.</p>
		3.2.4 Is there an institutionalized function for change management in the organization or was the function time-bound for this specific initiative? <u>If yes, please include information in question 7 as well.</u>	Here, just answer a YES or NO. If YES, more specific questions can be found in Section 7.
		3.2.5 What mechanisms were put in place to oversee the change management process? Did it include the head of organization, the governing body, just senior managers, or other? What role was played by each?	<p>This is a governance question. It is asking what the role of the organization's governing body was, the management and the staff specifically related to the change management components of the reform.</p> <p>For example, for UNOPS ERP, 'The business process project steering committee covered technical activities as well as the change management activities. It was chaired by the Deputy Executive Director'</p>
	3.3 How was the change management process structured?	3.3.1 Did the process have a definitive start and end?	
		3.3.2 How long did it last?	
	3.4 How was it implemented?	3.4.1 Describe the implementation process (refer to the plan in 2.1.3)	This section should draw on the specific components identified in the plan (2.1.3) and detail whether they were implemented or not, and what the evidence was for this. The purpose of this is to reveal whether what was planned was implemented or not. And if not, why not.

Review Question	Review Sub-Question	Sub-sub Question	Additional Details and Guidance
			It may be that evidence of implementation can be found in the documentation even where there is no written plan, in this case they should be written down here – using where possible the terminology from 2.1.3 so the team can see what elements of a structured process were put in place.
		3.4.2 What communication mechanisms were used?	As with 3.4.1, this should refer to 2.1.3 under the elements of the communication plan. What actually took place should be listed here, drawing on the types and categories listed in 2.1.3 under communication.
		3.4.3 How was the change initially framed and presented to staff?	<p>What should be detailed here is what mechanisms and messages were used to initially communicate.</p> <p>For example, for UNOPS ERP the reform was implemented stepwise, starting with features familiar to everyone.</p> <p>For ILO Organization Health Initiative, the following steps were taken: 1) discussion of survey questions with staff union; 2) introduction through the ‘inside’ intranet?; 3) broadcast email and reminder; 4) town hall meeting hosted by DG to present results</p>
	3.5 How much reflexive learning took place during the process? Was it evaluated during or after?	3.5.1 What learning and adaptive management processes were put in place during or after the CM process? (please specify when put in place in relation to the process)	<p>Adaptive management processes refer to learning and adaption during the reform or management initiative, rather than from post-hoc evaluation.</p> <p>For example, for ILO’s BRP “Assessments were conducted after the first and second waves. During the waves, a barometer to collect feedback from both the functional staff and BPR team members is conducted every 2 weeks. Feedback sessions take place after all significant events.”</p>
	RESOURCE IMPLICATIONS OF CHANGE MANAGEMENT PROCESS		
4. What have been the resource implications of change management?	4.1 How was the CM budgeted?	4.1.1 What was the source of financing- core resources/XB. Implications.	<p>The source of financing should state core, non-core (extra-budgetary) or some share of both.</p> <p>Where possible, address the implications of this. On what basis were funds raised externally? What were the expectations of donors? Where XB was used, one might assume that some form of results /</p>

Review Question	Review Sub-Question	Sub-sub Question	Additional Details and Guidance
			benefits framework was devised – this should be identified to understand how the intended results were measured.
	4.2 What were the major cost elements and actual costs (where available)?	4.2.1 What were the cost elements – financial, human (non-financial), etc? (Actual cost breakdown if possible to estimate – both for the change management components and the reform as a whole)	<p>Describe here, where possible, the different cost elements outlined, and the amount budgeted and spent. Where possible, also indicate the total budget and cost of the organizational reform / management initiative of which it is a part. This will enable some estimation of relative cost of CM efforts.</p> <ul style="list-style-type: none"> - <i>Staff</i> (time %s), e.g. ILO BRP – 10% of departmental Directors time; 30-35% of team leaders during the process. Cost \$\$\$\$ - <i>Consultants</i>, e.g. ILO BRP. McKinsey contract. Cost \$\$\$ - <i>Travel</i> - <i>Materials</i> <p>For UNFPA regionalization the one-time cost estimated at approximately US\$ 35 million, and then recurrent costs of \$3.2 million annually (unclear for how long). No information yet on the specific CM components costs.</p>
RESULTS OF CHANGE MANAGEMENT PROCESS			
5. What are the results and critical success factors <i>of the change process or approach?</i>	<p>5.1 What were the results of the change process?</p> <p><i>(Is there evidence of sustainability of these changes? What is the degree to which organization is working differently and people are behaving differently? Degrees of result or proxies around these include cost reduction (staff and non-staff); service levels; reduced risks; behavioural changes; improved collaboration etc.)</i></p>	<p>5.1.1 What were the <u>short-term</u> outputs? How were they assessed?</p> <p>(Where output is a defined deliverable under the direct control of the process – trainings completed, implementation of standards and practices etc)</p> <p>-</p>	<p>Change Management outputs are the deliverables from CM processes. They are directly under the control of the initiative, and typically have resource elements to them, for example: training completed; standards drafted; practices rolled out; communication plan delivered; etc. They don't reflect the change itself (which is the outcome).</p> <p>Examples of outputs (effective implementation of CM processes)</p> <ul style="list-style-type: none"> - Implementation of standards and practices, e.g. clear roles and responsibilities for effective accountability. - Staff trained in new work practices - New organizational structure prepared and approved - <p>These are milestones towards outcomes. They necessary but insufficient conditions for the change sought.</p>

Review Question	Review Sub-Question	Sub-sub Question	Additional Details and Guidance
		5.1.2 What were the <u>immediate, intermediate and/or long</u> outcomes? How were they assessed? Did they bring about the desired transformation? (linked back to objectives in 2.1.1)	<p>Change Management outcomes refer to the actions, decisions and practices of those targeted in CM initiatives. These should be planned for and sequenced, given that people – their practices and behaviour – are central to the change sought. Drawing on the literature (Burke-Litwin, Lewin, Prosci-Akar etc), we have the following:</p> <p><i>Immediate outcomes</i> may relate to the reaction to proposed changes: pertaining to</p> <ul style="list-style-type: none"> - understanding, - acceptance of shared values, - knowledge of what is being communicated, and - positive perception. <p>Look for indicators/metrics and evidence of increases in stakeholder engagement, morale, and preparedness for the new way; knowledge acquisition (to carry out the roles and responsibilities effectively, or understand the changes sought); staff empowerment; studies that measure levels of satisfaction (or inversely levels of resistance to change); client satisfaction studies as appropriate.</p> <p>Proxies may include measures of the ‘reach’ of the CM components of the initiative, such as:</p> <ul style="list-style-type: none"> - Number of contacts/engagement points - Metrics of engagement at different levels <ul style="list-style-type: none"> o Receiving survey o Providing feedback/ comments (e.g. via web posts) o Actively participating in designing the solution <p><i>Intermediate outcomes</i> may relate to adoption and adaptation of changes sought by the target users or stakeholders. For example, ILO BPR, adoption of standards and benchmarks. Look for indicators/metrics and evidence of increases organization readiness, flexibility, and adaptability. Increases stakeholder utilization of and proficiency in new way of working. Increased stakeholder utilization of and proficiency in the new way; increased the likelihood of benefits</p>

Review Question	Review Sub-Question	Sub-sub Question	Additional Details and Guidance
			<p>realization; proxies for long-term sustainability once the future state is achieved</p> <p>Surveys can be used here, measuring issues such as:</p> <ul style="list-style-type: none"> - # of staff being able to apply new work practices - # of staff dedicated to specific functions - Demand data vs staff used to cover demand - User feedback results on service levels before and after <p><i>Studies of organizational health, as used in ILO (based on McKinsey work) may be measure of immediate outcomes (around levels of perception of change) and, over time, intermediate outcomes (about actual adoption and adaptability).</i></p> <p><i>Long-term outcomes and impacts</i> may relate to a more permanent change state, where improvement in practice and behaviour is sustained, and where the results impact upon the overall reform goals. For example, adoption of standards and benchmarks in ILO from the BPR initiative, had stated positive effect on the bottom line of UNOPS, evidenced through EFQM report.</p> <p>Long term outcome and impact measures, that pertain to the interface between CM and the reform itself, may include:</p> <ul style="list-style-type: none"> - Cost savings (staff/non-staff) - Time savings - Service levels - Reduction in risks etc
	5.2 How did the process affect the results?	<p>5.2.1 How did the change management results contributed to the reform results or outcomes and in what way?</p> <p>What is the value-add of the structured process, where used?</p>	

Review Question	Review Sub-Question	Sub-sub Question	Additional Details and Guidance
LESSONS FROM CHANGE MANAGEMENT PROCESS			
6. What lessons can be derived to guide future change management initiatives?	6.1 What are considered critical factors +/-	6.1.1 What do those involved, and those affected considered: (a) the key factors of success (b) factors that led to failure and the challenges and constraints to the change management process?	It is critical to probe key success and fail factors, as these are central to the report which focuses on lessons.
	6.2 What positive features identified are transferable or scalable, which are not and why?	6.2.1 How unique are these to the context in which they were implemented?	Views on the uniqueness are important, as we are looking for what may be generalizable – either across all organizations, or by type (size, function etc). We can also test this information by cross-tabulating other responses in this table.
		6.2.2 What generalizable lessons can be identified?	This is the other side of question 6.2.1.
	6.3 What has the organization learnt from this process?	6.3.1 Would the organization run the process the same way again, or do things differently? If so, how?	This should be linked to the new questions 2.3.1 and 2.3.2 which ask about what has been learnt from elsewhere.

IV. Review timeline

38. May 2018 – Initial email sent to participating organizations with the TOR and request for CM focal points to all 28 participating organizations.

39. June 2018 – Requested for key 3-4 change management initiatives, with the following definition and an indicative list of initiatives with details based on an initial desk review.

“By change management initiative we mean a defined process (perhaps run as a ‘project’ with clear objectives and budget), that has been used to support the implementation of a reform, policy or investment (e.g. HR system, ERP, operational restructuring or the like). We recognize that change management may be a ‘work stream’ in a wider reform or change, we are interested in such cases. Where there are many such initiatives, we would reduce the scope to that are organization-wide, and directed by or mandated from the senior management of the organization, rather than department or unit level change processes.”

40. July 2018 – Participating organizations given the following two options

- a. To either complete a case summary for each of the cases based on the JIU case summary framework and provide supporting documentation. The JIU team would review these and write back for any remaining questions or documentation.
- b. Or to provide documentation on change management for each of the cases and the JIU team would complete a case summary for each initiative. These would be sent back for validation and for any remaining questions.

41. August 2018 – based on initial documentation from the POs, the JIU definition and conceptual framework on change management was developed. This was sent back to the organizations that were in the process of completing the case summaries or providing documentation.

42. August-October 2018 – With varying response levels from the participating organizations, first round of documentation and case summaries were received from 26 organizations. For each organization the documentation and/or case summaries were reviewed twice by a lead reviewer and a supporting reviewer before a request for additional information was made.

43. September-November 2018

- a. Each participating organization was either requested for more information in case the documentation provided was inadequate to complete the case summary or was requested to respond to questions marked in red in the margins of the case summary.
- b. Simultaneously, based on the review of the two rounds of documents – deep dive cases were selected that had substantial documentation on change management or had a clear focus on changing practices, behaviours and cultures.

44. October-December 2018 – Based on the review of the second round of documentation and details in the case summaries interviews were requested for either

- a. Completion of the case summaries – these were short 30-40 minute interviews with the lead on completing the case summary or someone that had been closely involved with the reform process.
 - b. Or for the deep dive cases – these were detailed interviews of around 60 minutes. The purpose of these were to get more detailed information on areas that had been well covered in the case summaries.
45. January 2018 – The cases summaries were finalized with additional information from the interviews and any remaining documentation. Each of these were reviewed by at least two members of the JIU team as in the first round of review. The final version was sent to the participating organizations for validation.
46. February 2018 – A final round of interviews was conducted by an external consultant and the review team focused on the use of behavioural science in change management. Insights from these interviews were used to develop a separate note on ‘Applying behavioural science to organizational change management in the United Nations system’.

V. Data collection tools

A. Case summary framework

Overall comments to the organization		[summary paragraph to the organization about the main comments and issues that you want them to address]		
Review Question	Review Sub-Question	Sub-sub Question	Key Findings	Gaps and Questions
<i>(Adapted from overall Review Framework)</i>			<i>(After stating findings Indicate source by letter, corresponding to document list below)</i>	<i>(Include list of documents that may be applicable)</i>
REFORM/INITIATIVE OVERVIEW				
1. Details of the organizational reform/initiative (The 'What' question – what the initiative and reasoning behind it was?)	1.1 A brief summary of the reform/initiative.	1.1.1 What is its purpose? What are the objectives?		
		1.1.2 When did it start? When did it end?		
		1.1.3 What are the key elements/sub-initiatives?		
		1.1.4 When and by whom was it approved?		
		1.1.5 Was the reform evaluated? What were the achievements, results, and/or outcomes?		
	1.2 What were the underlying factors or drivers behind this reform/initiative? Where distinct or additional to broader drivers of change, what specific events or triggers signalled the start? Each of these will affect the approach, speed, scope, resources and adoption of change management. They can be both expected or unexpected.	1.2.1 What were the drivers? The causes of the initiative, generally an overarching, longer-term shift affecting how the organization operates.		
		1.2.2 Was there a specific event that acted as a trigger to get it started? It may be internal or external. These might include funding depletion, reputational (fraud, mismanagement) or other.		

Review Question	Review Sub-Question	Sub-sub Question	Key Findings	Gaps and Questions
<i>(Adapted from overall Review Framework)</i>			<i>(After stating findings Indicate source by letter, corresponding to document list below)</i>	<i>(Include list of documents that may be applicable)</i>
<u>PLAN OF CHANGE MANAGEMENT PROCESS</u>				
<p>2. Which change management approaches have been used in the <u>design</u> of the above reform or initiative?</p> <p>(The 'How' question on design – what did they set out to do?)</p>	<p>2.1 Describe the design or plan for change management in the initiative?</p>	<p>2.1.1 What were the specific objectives of change management within the design of the initiative?</p> <p>Examples of specific objectives</p> <ul style="list-style-type: none"> - Behaviour change to facilitate fuller adoption of new technology (e.g. UMOJA) - Empowerment of all staff to increase adoption of new policy - Improve communication of new roles and responsibilities - Enhance openness and transparency as part of an effort to increase accountability culture in an organization 		
		<p>2.1.2 Did the approach to change management draw from established practices (Kotter, McKinsey, PWC, UNLOCK etc) or not? If so, how?</p>		
		<p>2.1.3 Was a specific plan prepared outlining the change management process(es)? Who prepared this plan – done internally or by an outside company? If external, please state who?</p> <p>Examples of elements of plan:</p> <ul style="list-style-type: none"> - change readiness assessment - definition of type and scope of change - Approach to engaging with staff and stakeholders 		

Review Question	Review Sub-Question	Sub-sub Question	Key Findings	Gaps and Questions
<i>(Adapted from overall Review Framework)</i>			<i>(After stating findings Indicate source by letter, corresponding to document list below)</i>	<i>(Include list of documents that may be applicable)</i>
		<ul style="list-style-type: none"> - Institutional framework (governance, management, change management team, etc) - Defined role of leadership - Process plan (training, engagement etc) - Reflexive learning plan (monitoring and internal evaluation) 		
	2.2 How did the triggers of the organizational reform or management initiative influence the change management approach?	2.2.1 What effect, if any, did the drivers or triggers of the reform have on the objectives and plan for change management?		
IMPLEMENTATION OF CHANGE MANAGEMENT PROCESS				
3. How have the change management approaches been adopted/ adapted and implemented? (The 'How' question on implementation)	3.1 What was the scope – breadth and depth of the change process?	3.1.1 Was it system-wide, organization, department etc.		
	3.2 How was the change management process led?	3.2.1 Who led the change management process? Who was the owner/sponsor of the change? What is their position in relation to management?		
		3.2.2 Were consultants involved in implementation? If so, in what role?		
		3.2.3 What was the size of the team? Where was the CM team located?		
		3.2.4 Is there an institutionalized function for change management in the organization or was the function time-bound for this specific initiative? <u>If yes, please include information in question 7 as well.</u>		

Review Question	Review Sub-Question	Sub-sub Question	Key Findings	Gaps and Questions
(Adapted from overall Review Framework)			(After stating findings Indicate source by letter, corresponding to document list below)	(Include list of documents that may be applicable)
		3.2.5 What mechanisms were put in place to oversee the change management process? Did it include the head of organization, the governing body, just senior managers, or other? What role was played by each?		
	3.3 How was the change management process structured?	3.3.1 Did the process have a definitive start and end?		
		3.3.2 How long did it last?		
	3.4 How was it implemented?	3.4.1 Describe the implementation process (refer to the plan in 2.1.3)		
		3.4.2 What communication mechanisms were used?		
		3.4.3 How was the change initially framed and presented to staff?		
	3.5 How much reflexive learning took place during the process? Was it evaluated during or after?	3.5.1 What learning and adaptive management processes were put in place during or after the CM process? (please specify when put in place in relation to the process)		
	RESOURCE IMPLICATIONS OF CHANGE MANAGEMENT PROCESS			
4. What have been the resource implications of change management?	4.1 How was the CM budgeted?	4.1.1 What was the source of financing-core resources/XB. Implications.		
	4.2 What were the major cost elements and actual costs (where available)?	4.2.1 What were the cost elements – financial, human (non-financial), etc? (Actual cost breakdown if possible to estimate)		

Review Question	Review Sub-Question	Sub-sub Question	Key Findings	Gaps and Questions
<i>(Adapted from overall Review Framework)</i>			<i>(After stating findings Indicate source by letter, corresponding to document list below)</i>	<i>(Include list of documents that may be applicable)</i>
RESULTS OF CHANGE MANAGEMENT PROCESS				
5. What are the results and critical success factors of the change process or approach?	5.1 What were the results of the change process? <i>(Is there evidence of sustainability of these changes? What is the degree to which organization is working differently and people are behaving differently? Degrees of result or proxies around these include cost reduction (staff and non-staff); service levels; reduced risks; behavioural changes; improved collaboration etc.)</i>	5.1.1 What were the <u>short-term</u> outputs? How were they assessed? Examples of outputs (effective implementation of CM processes) - Implementation of standards and practices - Staff being able to apply new work practices - Reduced time spent on processes (efficiency measure)		
		5.1.2 What were the <u>intermediate or long</u> outcomes? How were they assessed? Did they bring about the desired transformation? (linked back to objectives in 2.1.1) Examples of specifically change management outcomes (changes in practice and behaviour) - Defined improvements in accountability as a consequence of redefined and communicated roles and responsibilities - Staff satisfaction levels - Client satisfaction levels		
	5.2 How did the process affect the results?	5.2.1 How did the change management results contributed to the reform results or outcomes and in what way? What is the value-add of the structured process, where used?		

Review Question	Review Sub-Question	Sub-sub Question	Key Findings	Gaps and Questions
<i>(Adapted from overall Review Framework)</i>			<i>(After stating findings Indicate source by letter, corresponding to document list below)</i>	<i>(Include list of documents that may be applicable)</i>
LESSONS FROM CHANGE MANAGEMENT PROCESS				
6. What lessons can be derived to guide future change management initiatives?	6.1 What are considered critical factors +/-	6.1.1 What do those involved, and those affected considered: (c) the key factors of success (d) factors that led to failure and the challenges and constraints to the change management process?		
	6.2 What positive features identified are transferable or scalable, which are not and why?	6.2.1 How unique are these to the context in which they were implemented?		
		6.2.2 What generalizable lessons can be identified?		
	6.3 What has the organization learnt from this process?	6.3.1 Would the organization run the process the same way again, or do things differently? If so, how?		

Change Management Functions in the Organization

If information on organizational level change management initiatives is found while reading through documents, please note details/findings below

Review Question	Review Sub-Question	Additional Description	Key Findings	Gaps and Questions
7. To what extent have change management functions been institutionalized?	7.1 Does the Participating Organization (PO) have a Change Management function – formalized or otherwise?	7.1.1 Is there a team – time-bound or fixed – working on CM across multiple initiatives (i.e. beyond a single time-bound change process)?		
	7.2 What are its objectives?	7.2.1 How was it established? When? What is its purpose? How sustainable is it?		
	7.3 How is it structured, staffed and funded?	7.3.1 How many staff, and at what grades? Who does it report to? How is it funded and to what levels?		

Document Key

Document	Document Title	Document Source
A.		
B.		

B. Interview guides

Interview Guide 1: Change Management Focal Points for cases where trying complete case

47. Length: 30 minutes should be enough; Mechanism: by telephone, skype or in person if in Geneva. Questions:

1. Asking about the genesis. How did the reform or management initiative go? If successful, what were the conditions for success? If not, why not?
2. To what extent was change management considered in the conception and design of the reform or initiative (linked to 2.1.1 in the case framework)

Note: In JIU view (and in guidance note, p.8) we focus on objectives around people – changes in practice, culture and behaviour. Specifically – objectives may relate to how to support people in the process of change; how to support cultural and behavioural change where necessary, and how to maximise organizational benefits while minimising negative impacts on people.

3. How well is change management reflected in the strategies and plans of the reform or initiative? (2.1.3). As per the guide, p.9, this can cover:
4. Elements of diagnosis of the reasons for change, intended benefits of change, external factors, understanding the culture, organizational readiness, etc
5. Communications strategy or plan – where the focus is on communications around change management, or facilitating engagement of people in a change process.
6. Engagement strategy or plan – focusing on how it would be implemented, management, governed.
7. Training strategy or plan – the role of training in change management; who will train and be trained, the needs, the follow-up
8. Benefits realization / results measurement – defining ex-ante what changes are sought and how to measure them, focusing on satisfaction, uptake etc.
9. Can you describe how the elements of change management were implemented? Who was involved, and how? (3.4.1)
10. What do you think were the results specifically attributable to change management effort? (5.1.2)
11. Were there (and was it measured) any immediate changes around understanding; acceptance of shared values, perception changes etc; look for evidence of changes in stakeholder engagement, morale, preparedness for new works of working, knowledge acquisition, etc.
12. Dig into whether these efforts – they feel – improved the quality of delivery of the initiative itself, and if so, how.
13. How does your organization feel about change management now? Do you feel that it understands and values it, and will seek to incorporate elements of CM in future management initiatives and reforms? Or is it still unclear about what it is and the potential benefits?

Interview Guide 2: Senior Management and Oversight Staff for Deep Dives

48. Length: 45 minutes to 1 hour; Mechanism: by telephone, skype or in person if in Geneva; Questions:

A. Asking about the genesis. The drivers of the reform and how change management became part of the initiative.

1. Was there a connection between the type of change management envisaged and the type of reform or the drivers of that reform? (2.3.1)
2. Were there clear goals and aims of the change management components themselves – what was the expected change? Was it discussed, visualised, planned for in advance (and then measured when done?)
3. Was it consciously budgeted for in the design phase? Was there a ring fence around funds for change management elements?

Note: Validating information around whether there was specific intent around change management ex-ante;

B. Understanding the results and lessons from the initiative, particularly in terms of change management.

4. This should focus on questions 5 and 6 (from case framework) – what were immediate, medium and long term results? To what extent do the reform results reflect the investment in change management? What changes were detected and how? What has been the long term effect?
5. Were there particular aspects of the change management approach and process(es) that you would consider innovative? If so, what and why? How did it come about?
6. What was the connection between change management results and the overall reform / management initiative?
7. What were the key success factors (if it was successful)? What factors were challenges or constraints?
8. How unique are these to the context (the nature of the organization; the timing of the reform; the type of initiative (EPR, HR etc))?
9. Are there any generalizable lessons?
10. Would the organization run the process the same way again, or do things differently? And if so, how?

C. Institutionalization and future directions. Where the Participating Organization has an established Change Management function (i.e. there is information in Question 7 of the case summary framework):

11. What was the rationale behind setting up a change management function in your organization?
12. What primary role does it serve?
13. How well does it service this need?
14. What are your future plans for this function (particularly in view of current reforms across UN system and the nature of change being more ‘constant’)?

Interview Guide 3: Staff, Champions and Staff Associations for Deep Dives

49. Length: 45 minutes to 1 hour; Mechanism: by telephone, skype or in person if in Geneva; Questions:

A. Design

1. What was your role in the reform and specifically in the change management elements?
2. Did you have a sense that the overall objectives of the reform were simply about following an expected practice (such as donor pressure to introduce RBM, or internal pressures to reduce staffing and costs), or that there was genuine interest on the part of management to improve practices, culture, behaviour in the organization?
3. Was it clear to you that this reform or initiative focused not only on the technology, but also on the people involved?
4. How specifically did the reform affect you and how were you brought into the change management process?
5. What can you point to in terms of the design of the initiative that really focused on change management?

B. Implementation (including of the plan)

6. What actually happened? (share with them the implementation plan and ask what happened and what worked and what are good practices and lessons for replication for the different parts of the implementation plan we have in the case summary)
7. What can you point to in terms of the implementation of the initiative that embraced the principles and practices of change management? (Base this on the components of change management outlined in the case summary)
8. Where there any adaptive management process or changes made along the way? If so, what, and how effective were they?

C. Results

9. What do you feel the level of buy-in was amongst the staff? Conversely, what do you feel the level of resistance was at the start of the initiative? Did that change (get better, worse or stay the same) during the initiative?
10. How engaged were the staff in the process? Was it top-down? Or was there genuine involvement of a range of staff from the beginning across the organization?
11. Do you feel that the staff bought into the reform? Why?
12. Were there particular aspects of the change management approach and process(es) that you would consider innovative? If so, what and why? How did it come about?
13. To what extent do you feel that the results of the reform / initiative were enhanced by the change management actions (processes)? And how?
14. How sustainable do you feel the results are? How, if at all, has this been affected / enhanced by the change management elements?
15. What do you feel the organization has learnt from this experience? Is it exhibiting different behaviour now?

VI. Analytical tools

A. Presence and depth of key elements frameworks and scoring methodologies

Presence of Critical Elements				Depth of Critical Elements						
	Scale 0-Critical element not present 1-Critical element present	0	1		Scale 0-Not addressed 2-Partially addressed 4-Fully addressed	0	1	2	3	4
	A judgement was formed on a binary scale (yes/no) based on each individual element as to whether it was present or not in the case				A judgement was formed based on an analysis of the case against the critical elements below and a score assigned.					
Pre-Planning (making the case for change management)	1.Evidence of clear rationale and purpose for change management in the organizational reform			Readiness Assessment and Diagnosis	Carrying out some form of pre-engagement with staff or pre-appraisal is considered vital to determine the attitudes, issues, needs and opportunities, and fundamentally whether change and change management is needed and if so in what form.					
	2.Evidence of clear oversight framework that links change management to the organizational reform (governance)				Elements of effective pre-engagement or readiness: <ul style="list-style-type: none">○ Defined the rationale for change and why it must occur○ Clear vision of the future state○ Goals, objectives and success criteria for the change○ Benefits to be realized and means to measure them○ Change initiative aligned with organization’s strategic directions and priorities○ External factors that can impact organizational change initiative○ Identified and analyzed stakeholders influencing, involved in or impacted by the change○ Assessed organizational culture in relation to the change○ Assessed organization’s capacity and readiness for change○ Assessed whether change leaders understand and are committed to the change○ Assessed the risks, considerations and likelihood of success to identify mitigation strategies○ Means to prepare organization for change					
	3.Evidence of clear management structure that links change management to the organizational reform									
	4.Evidence of any pre-engagement with staff, use of staff survey data and/or readiness assessment in determining the need for change and areas of change									

			<p>Where:</p> <p>Not addressed (0)– no evidence of any pre-engagement with staff or readiness assessment to determine whether a change was needed, assessing the organization’s capacity or readiness for change; estimate the likely effect or impact; diagnose the organizational cultural or behavioural issues in relation to the proposed change; assess risks.</p> <p>Partially addressed (2) – some evidence of pre-engagement with staff or readiness assessment. Some of the above elements of engagement and readiness present.</p> <p>Fully addressed (4) – considerable evidence of pre-engagement with staff or readiness assessment. Many of the above elements of engagement and readiness present.</p>
Planning (planning the change management)	5.Evidence of an engagement strategy or plan either standalone or part of overall change management plan.	Engagement strategy and/or plan	<p>Evidence of a specific engagement strategy or plan, or elements of engagement planning. This gets to the actual planning of what needs to be done, how and by whom (once the change management has been agreed).</p> <p>Elements of an effective engagement strategy or plan (or elements within an overall CM plan) might include:</p> <ul style="list-style-type: none"> ○ Definition of type and scope of change ○ Approach to engaging with staff and stakeholders ○ Defined roles and responsibilities, including leadership, change agents etc ○ Institutional framework (governance, management etc) ○ Process plan (training, engagement, feedback) ○ Review and learning plan (monitoring, internal learning) <p>Where:</p> <p>Not addressed (0)– no evidence of any engagement with staff to define roles, institutional framework, governance, process plan etc around specifically the change management elements (not just the project plan). Specifically, therefore this is around a) how staff will engage with the reform, c) how staff will be affected by the reform, and actions to mitigate this, c) how will transformation – behavioural – be realized – to ensure that there is a change in actual practice, and a sustenance of it. None of the above elements present.</p>

			<p>Partially addressed (2) – some evidence of any engagement with staff to define roles, institutional framework, governance, process plan etc around specifically the change management elements (not just the project plan). Specifically, therefore this is around a) how staff will engage with the reform, c) how staff will be affected by the reform, and actions to mitigate this, c) how will transformation – behavioural – be realized – to ensure that there is a change in actual practice, and a sustenance of it. Some of the above elements of engagement and readiness present.</p> <p>Fully addressed (4) – considerable evidence of engagement with staff to define roles, institutional framework, governance, process plan etc around specifically the change management elements (not just the project plan). Specifically, therefore this is around a) how staff will engage with the reform, c) how staff will be affected by the reform, and actions to mitigate this, c) how will transformation – behavioural – be realized – to ensure that there is a change in actual practice, and a sustenance of it. Many of the above elements of engagement and readiness present.</p>
	6.Evidence of a communications strategy or plan either standalone or part of overall change management plan.		<p>Communications strategy</p> <p>Evidence of a specific communications strategy or plan for changing behaviour and practices and how the change itself will be communicated and managed.</p> <p>A good change management plan has a clearly laid out communications plan, that should include some of the following elements:</p> <ul style="list-style-type: none"> ○ Objectives of the plan, e.g. risk mitigation; importance of comms vis-à-vis commitment; addressing expectations etc ○ Principles ○ Key messages for different audiences (segmentation) ○ Types of messages ○ Key events and timetable ○ Who and how communication will be done (use of change agents, plan for this, selection process etc) ○ Results framework / review of plan measures on communications <p>Where:</p> <p>Not addressed (0)– no evidence of any structured change management communications plan at all. None of the above elements present.</p>
	7.Evidence of a training strategy or plan either standalone or part of overall change management plan.		
	8.Evidence of change management planning drawn from academic, private sector or UN (UNLOCK) models, and/or from prior experiences of change management within the organization, or from other organizations		

				<p>Partially addressed (2) - some evidence of a structured change management communications plan. This might be as a section within the overall change management plan, or as separate formal or informal documents shared with staff. It should lay out what and how, and the intended benefits. Some of the elements above should be present.</p> <p>Fully addressed (4) – strong evidence of a structured change management communications plan. Fully elaborated plan, outlining exactly who and how messages from the management will be shared, and how information will feedback (such as through carefully thought-through selection and use of change agents across the organization). Evidence of plan for use of data and analysis on practice progress and perceptions, and feedback. Many of the elements outlined above present.</p>
Budgeting	9.Evidence of clearly earmarked / ring-fenced financing of change management activities (this can include in-kind use of resources, such as clearly demarcated staff time)			
Implementation	10.Evidence of senior level sponsorship of the change management initiative	Evidence of implementation of specific change management actions		Evidence of implementation pertains to each of the planning elements outlined in detail from points 5-7 above.
	11.Evidence of change management expertise and experience with designated roles relating to change management in the reform			How well has change management been implemented considering the planned elements of engagement (design); communications; training.
	12.Evidence of implementation of specific change management actions			<p>Where:</p> <p>Not addressed (0). Where there is no evidence of implementation of what was planned in any area against the criteria laid out in points 5-7 above.</p> <p>Partially addressed (2). Where there is some evidence of implementation of aspects of what was planned. This might include a spread of some elements of structures, processes, comms, or an intense effort in one of these areas. This should be detailed in the far right column.</p> <p>Fully addressed (4). Where there is considerable evidence of implementation of most aspects of what was planned. This should be detailed in far right column.</p>
Assessment	13.Evidence of benefits / results framework, and/or plan for reflexive learning and evaluation in place to assess change	Benefits realized		Evidence of a specific benefits or results framework that focuses on change management (or clear proxies of the intended change). This should focus

	management outputs, outcomes, impacts		not just on the ‘hard’ results of the reform, but the change to working practices, behaviours and organizational health sought through the reform.
	14.Evidence of internal mechanisms and practices of monitoring, formative learning, reflexive learning carried out during the process of implementation		Theories of change, results frameworks, success criteria, data collection mechanisms etc should be considered here in light of this specific focus on CM, namely:
	15.Evidence of external ex-post or summative evaluations or reviews carried out that include change management aspects.		<p>Intended Outputs that pertain to; Implementation of standards and practices, e.g. clear roles and responsibilities for effective accountability; Staff trained in new work practices; New organizational structure prepared and approved</p> <p>Intended <i>Immediate outcomes</i> may relate to the reaction to proposed changes: pertaining to understanding, acceptance of shared values, knowledge of what is being communicated, and positive perception. Looking for indicators/metrics and evidence of increases in stakeholder engagement, morale, and preparedness for the new way; knowledge acquisition (to carry out the roles and responsibilities effectively, or understand the changes sought); staff empowerment; studies that measure levels of satisfaction (or inversely levels of resistance to change); client satisfaction studies as appropriate. Proxies may include measures of the ‘reach’ of the CM components of the initiative, such as: Number of contacts/engagement points; Metrics of engagement at different levels; Receiving survey; Providing feedback/ comments (e.g. via web posts); Actively participating in designing the solution</p> <p><i>Intermediate outcomes</i> may relate to adoption and adaptation of changes sought by the target users or stakeholders. For example, ILO BPR, adoption of standards and benchmarks. Look for indicators/ metrics and evidence of increases organization readiness, flexibility, and adaptability. Increases stakeholder utilization of and proficiency in new way of working. Increased stakeholder utilization of and proficiency in the new way; increased the likelihood of benefits realization; proxies for long-term sustainability once the future state is achieved. Surveys can be used here, measuring issues such as: # of staff being able to apply new work practices; # of staff dedicated to specific functions; Demand data vs staff used to cover demand; User feedback results on service levels before and after.</p>

			<p><i>Long-term outcomes and impacts</i> may relate to a more permanent change state, where improvement in practice and behaviour is sustained, and where the results impact upon the overall reform goals. For example, adoption of standards and benchmarks in ILO from the BPR initiative, had stated positive effect on the bottom line of UNOPS, evidenced through EFQM report. Long term outcome and impact measures, that pertain to the interface between CM and the reform itself, may include: Cost savings (staff/non-staff); Time savings; Service levels; Reduction in risks etc</p> <p>Where:</p> <p>Not addressed (0). Where there is no evidence of a benefits of results framework for change management, and none of the elements listed above can be found in the material provided.</p> <p>Partially addressed (2). Where there is some form of benefits or results framework, but it's not really that focused on change management results as defined above, or where the proxies are not that strong.</p> <p>Fully addressed (4). Where there is a strong benefits or results framework, which really speaks to the types of intended results and mechanisms to measure them as defined above.</p>
Institutionalization	16.Evidence of an institutionalized change management function in the organization	N/A	
	17.Evidence of change management beyond single reform initiatives	N/A	

B. Explanatory note for tables and figures

50. The graphs and tables in the report were developed using data from the case summaries, scores of the presence and depth of critical elements, and CEB data. The following table provides notes on each of these.

Number	Label	Notes	Source
Figure 1	Typology of Reforms by Change Management focus	Descriptive information	JIU analysis
Figure 2	Proportion of reforms by type	Each of the reforms was categorized into the four intent types. The figure presents simple percentages in each category.	JIU analysis based on case summaries
Figure 3	Typology of Reforms by Size of Organization	The figure presents the % of reforms in each of the four types by size.	JIU analysis based on case summaries; CEB data
Figure 4	Typology of Reforms by Start Year	The figure presents the % of reforms in each of the four types by reform start year as mentioned in the case summaries.	JIU analysis based on case summaries
Figure 5	Use of established change management models and approaches over time	The figure presents information on the use of established change management approaches across reforms over time. The graph takes into account the number of active/ongoing reforms across each year.	JIU analysis based on case summaries
Figure 6	Breadth and depth of key elements of change management by reform	Individual cases were scored against the presence and depth of key elements frameworks. The figure presents scores for each of the 47 reforms in ascending order based on the presence of key elements scores. The mean scores are shown by the horizontal lines. The presence and depth scores are overlapping and not stacked.	JIU analysis using frameworks for presence and depth of key elements
Figure 7	Breakdown of presence and depth of change management scores by phase of the reform process	The figure presents the overlapping presence and depth scores by the reform phase.	JIU analysis using frameworks for presence and depth of key elements
Figure 8	Enablers of change management	Descriptive information	JIU analysis
Figure 9	Configuration of institutional arrangements for change management in United Nations reforms	The figure presents the institutional arrangement across each of the four institutional arrangement categories.	JIU analysis based on case summaries
Figure 10	Distribution of dedicated staff working on change management across United Nations reforms	The figure presents the frequency of reforms by the number of change management specialists. Both variables were calculated based on the case summaries.	JIU analysis based on case summaries

Table 1	Average depth of change management practices in reforms with different team configurations	The table presents depth scores across each of the four institutional arrangement categories by organization size.	JIU analysis based on case summaries and frameworks for presence and depth of key elements
Table 2	Established change management capacity in United Nations organizations	Descriptive information	JIU case summaries

VII. Case Summaries

51. This section provides all case summaries that were completed for each of the participating organizations during the review. These were based on the reform documentation and inputs from the interviews.

52. The following case summaries are included:

S. No.	Organization Name	Reform Name
1	United Nations*	Creating a better OCHA
2	United Nations*	Umoja (ERP)
3	United Nations*	Global Service Delivery
4	UNCTAD	Nairobi Maafikiano
5	UNCTAD	Results-Based Management
6	ITC	Innovation Lab
7	UNEP	Programme management and implementation
8	UNEP	Restructuring and regionalization
9	UNEP	Internal reforms
10	UNFPA	Regionalization
11	UNFPA	Comprehensive Change Process
12	UN-Habitat	Change Process
13	UNHCR	Structural and Management Reform
14	UNHCR	Change Process
15	UNICEF	Human Resources
16	UNICEF	Strategic repositioning of the Operations Function
17	UNICEF	Office Management Plan
18	UNICEF	Performance Management System
19	UNODC	Local Umoja Implementation
20	UNODC	Framework for Engaging External Partners (FEPP)
21	UNOPS	HR Transformation
22	UNOPS	Reform of Process and Project Quality
23	UNOPS	International Individual Contractor Agreement (IICA) Modality
24	UNOPS	OneUNOPS – Enterprise Resource Planning
25	UNRWA	Health Reform
26	UNRWA	Education Reform
27	UN-Women	Regional Architecture
28	WFP	Fit For Purpose
29	WFP	Integrated Road Map
30	FAO	Revised Policy for International Consultants
31	FAO	Global Resource Management System (GRMS)
32	FAO	Risk Management and Internal Control Measures
33	IAEA	Accountability
34	IAEA	Agency-wide Information System for Program Support (AIPS)
35	ICAO	Organizational Performance Management
36	ICAO	Organizational Risk Management

37	ILO	Business Process Review (BPR)
38	ILO	IT Infrastructure Transformation
39	ILO	Integrated Resource Information System (IRIS) Rollout – Enterprise Resource Planning
40	IMO	Review and Reform of IMO
41	ITU	Gender Equality and Mainstreaming Policy (GEM)
42	ITU	Reform on Strategic Planning, Monitoring and Oversight
43	UNESCO	Invest for Efficient Delivery
44	UNIDO	Programme for Change and Organizational Renewal
45	UNWTO	Collaborator Contractual Scheme
46	UPU	Union reform
47	WHO	WHO Reform 2011-17
48	WHO	AFRO Transformation Agenda
49	WHO	Transformation Plan and Architecture 2018-20
50	WIPO	Strategic Realignment Program
51	WIPO	Enterprise Risk Management
52	WMO	WMO Constituent Body Reform

* As listed in ST/SGB/2015/3

Overall Comments	<ul style="list-style-type: none"> • Very comprehensive and clear change management process evident from the documents and correspondence provided vis-à-vis 'creating a better OCHA'. • If there is a gap it appears to be around the definition and measurement of expected behavioural change results. The results framework and KPIs pertain to proxies around leadership, implementation of audit & evaluation recommendations etc, not actual measures of changes in behaviour and practice. • Case is considered complete, but may follow-up on behavioural aspects of the reform in January / February 2019 with respect to the chapter of our study on behavioural factors/insights.
Themes for consideration in JIU report	<ul style="list-style-type: none"> - Use of Change Agents – see section 3.4.2 and documents S,T,U. - Compact between staff and managers - Strong focus on 'instituting a new culture' (doc W, p.2) - Budget Elements

1. UN Secretariat – Creating a better OCHA

Review Question	Review Sub-Question	Sub-sub Question	Key Findings	Remarks
REFORM/INITIATIVE OVERVIEW				
1. Details of the organizational reform/initiative (The 'What' question – what the initiative and reasoning behind it was?)	1.1 A brief summary of the reform/initiative.	1.1.1 What is its purpose? What are the objectives?	<p>Purpose – to make OCHA more focused, agile and unified organization (Feb 2017, USG goal of the change process). (H.5)</p> <p>Objectives:</p> <ul style="list-style-type: none"> i) Strongly align priorities with those of crisis-affected countries, HCs and operating partners ii) Streamlining and rigorously focusing on OCHA's five core functions iii) Restructuring OCHA to optimise delivery iv) Introduce a flexible operating model to adjust rapidly and constantly to ever-changing humanitarian challenges v) Establish new processes to manage work transparently and accountability across the organization vi) Developing administrative services that are fit-for-purpose 	
		1.1.2 When did it start? When did it end?	<p>December 2015 – ongoing (G). USG commissioned functional review to identify improvements to make OCHA fit for purpose (H.5). Change process envisaged (then) to take 18 months from January 2017 to June 2018</p> <p>December 2015 when the functional review was commissioned. The change process is considered complete because: the 23 decisions in the creating a Better OCHA document have been implemented; the Change Management Unit completed its term.</p>	

Review Question	Review Sub-Question	Sub-sub Question	Key Findings	Remarks
		1.1.3 What are the key elements/sub-initiatives?	<ul style="list-style-type: none"> i) Transition: initiating changes as per “creating a better OCHA” and handovers to relevant functional leads ii) Operating Model: restructuring, finance, resource mob iii) Admin: services: HR iv) Governance: consultation, oversight? v) Org Culture and Behaviour: Change Agents, People Strategy vi) ERC priorities (Emergency Relief Coordinator, who is also OCHA’s Under Secretary-General) <p>Source: Document O.</p>	Note from OCHA: OCHA’s simultaneous downsizing in late 2017 was not part of the Change Implementation Plan nor was it a recommendation of the functional review; the downsizing was a distinct process that had to do with our extra-budgetary financial position in late 2017 and our cost/work planning for 2018. Unfortunately, the downsizing coincided with restructuring and they tried to make distinctions between the two simultaneous processes wherever possible. But just to be clear, the downsizing was never a first step of our internal reforms. The nuance that was lost last year was that the change process was never about getting OCHA to be smaller first before breaking down siloes and refocusing on the basics or becoming more field-oriented, hence this is to clarify the point that downsizing is not misread as a necessary first step in order to achieve the change.
		1.1.4 When and by whom was it approved?	<p>USG for Humanitarian Affairs, December 2015</p> <p>There was no initial strategy document. The reforms contained in “Creating a Better OCHA” were designed following the functional review</p>	

Review Question	Review Sub-Question	Sub-sub Question	Key Findings	Remarks
		1.1.5 Was the reform evaluated? What were the achievements, results, and/or outcomes?	<p>Series of reviews of different components at different stages, appear to be more formative in nature than evaluating the implementation to date. E.G. Initial Diagnosis; Front Office Review (led by Change Implementation Team) (D.1)</p> <p>The newly-formed Organizational Development Unit, the successor of OCHA's Change Management Unit, is in the process of developing a work plan to ensure continual improvement and follow-up of remaining change issues, with ongoing light touch/informal reviews of how new reform structures and processes are functioning and delivering results.</p>	
	<p>1.2 What were the underlying factors or drivers behind this reform/initiative?</p> <p>Where distinct or additional to broader drivers of change, what specific events or triggers signalled the start? Each of these will affect the approach, speed, scope, resources and adoption of change management. They can be both expected or unexpected.</p>	1.2.1 What were the drivers? The causes of the initiative, generally an overarching, longer-term shift affecting how the organization operates.	<ul style="list-style-type: none"> • Recognition of the need for OCHA to change. XB at 90%. Spending more than earning (question of value?). Drawing on financial reserves and unsustainably trying to cover too much group (I.1) • Field say HQ no long serving them the way they needed. Also, not serving partner beneficiaries in the way needed, e.g. Syria • OCHA expanded dramatically in size. Systems and processes not keeping up. Overlap at HQ. Silos. Needed to become fit for purpose otherwise would soon become irrelevant. • Question of raison d'être? How effective is OCHA as a coordination body? • Arrival of new USG ("sat in the middle of the office surrounded by staff, not in a corner office") (G) <p>OCHA would emphasize though that these questions were addressed in the Creating a Better OCHA document, which is the blueprint for OCHA's change. OCHA's 2019 budget is also following a 75:25 Field: Headquarters split to ensure that the Organization is field focused. See attached Under-Secretary-General's email to staff on 2018/19 budget process dated 26 Oct 2018 (Doc R).</p> <p>The 2018-21 Strategic Plan outlines OCHA's priorities and functional areas, which are cross functional and require Headquarters and the field to work together.</p>	

Review Question	Review Sub-Question	Sub-sub Question	Key Findings	Remarks
		1.2.2 Was there a specific event that acted as a trigger to get it started? It may be internal or external. These might include funding depletion, reputational (fraud, mismanagement) or other.	No specific event, but a combination of a loss of donor confidence, budget crisis and feedback from staff.	
PLAN OF CHANGE MANAGEMENT PROCESS				
2. Which change management approaches have been used in the <u>design</u> of the above reform or initiative? (The 'How' question on design – what did they set out to do?)	2.1 Describe the design or plan for change management in the initiative?	2.1.1 What were the specific objectives of change management within the design of the initiative?	<ul style="list-style-type: none"> i) Change of culture within OCHA. Compact between staff and management – focusing on mutual commitments, expectations, and culture change necessary to deliver vision and mission (A) ii) Changing working practices – making OCHA 'more accountable, agile, effective, decentralized, transparent and collaborative' <p>Within the priorities of the comprehensive reform (creating a better OCHA) the focus that pertains most to change management is addressed under the work of change agents and the people strategy (see doc O). Their work (as we understand it) permeates the other elements of the strategy.</p>	
		2.1.2 Did the approach to change management draw from established practices (Kotter, McKinsey, PWC, UNLOCK etc) or not? If so, how?	<p>Change Management Team set up within OCHA – small internal group supported by McKinsey. Established various components drawn from them – change agents etc.</p> <p>There were two change management teams: one was led by the change management secondee, Bruce Aylward, with support from McKinsey, which was later succeeded by OCHA's own Change Management Unit led by the OCHA Director for Change Implementation. The response below relates to the latter.</p> <p>McKinsey provided support to the change team on the new operating model and also facilitated two change workshops for OCHA's change agents</p>	

Review Question	Review Sub-Question	Sub-sub Question	Key Findings	Remarks
		<p>2.1.3 Was a specific plan prepared outlining the change management process(es)?</p> <p>Who prepared this plan – done internally or by an outside company? If external, please state who?</p>	<p>Yes. “Creating a better OCHA: Outcomes of the Design Phase of OCHA’s change process” June 2017</p> <p>Within this plan are elements and processes specific related to CM as we define it:</p> <ul style="list-style-type: none"> i) Wide engagement in plan preparation - EMC, OCHA staff, Donor Support Group, Operational Partners Advisory Group, HCs and Resident Coordinators (H.7) ii) Sub-strategy on ‘Managing OCHA: people strategy, committees and processes’ covering a) a new people strategy to describe the type and size of work force; b) people strategy and management committee to permanently oversee talent and people management and career development; c) new planning, budget and finance committee to ensure that the EMC is well informed to make financial and strategic decisions; d) new internal operations committee; e) use of digital management dashboard to ensure decisions made based on a single source of information (H.24-25) iii) Focus on key administrative blockages, and identification of areas to cut red-tape. (J) iv) Establishment of a change management decision-list – of key decisions, why important, and tracking progress against these. (H.33-34) <p>Also, Change Implementation Plan (Dec 2017-Mar 2018)</p> <ul style="list-style-type: none"> vii) Transition: initiating changes and handovers to functional leads viii) Operating Model: restructuring, finance, resource mob ix) Admin: services: HR x) Governance: consultation, oversight? xi) Org Culture and Behaviour: Change Agents, People Strategy xii) ERC priorities <p>NB. There were no earlier Change Implementation Plans covering the period Jan-Nov 2017 (confirmed by OCHA)</p> <p>Further elements outlined in the 2nd Change Agents Forum (March 2018, Doc L):</p>	

Review Question	Review Sub-Question	Sub-sub Question	Key Findings	Remarks
			<ul style="list-style-type: none"> - Influence Model of change theory - improving both Performance and Health (aligned to McKinsey); four elements i) role modelling; ii) fostering understanding and conviction through a compelling story; iii) developing talent and skills required for change, iv) reinforcing with formal mechanisms. (see implementation section below) 	
	2.2 How did the triggers of the organizational reform or management initiative influence the change management approach?	2.2.1 What effect, if any, did the drivers or triggers of the reform have on the objectives and plan for change management?	Clear linkage between the drivers of change and the change plan itself. Structural and cultural issues part of the drivers of change highlighted previously. The new operating model focuses on this – ‘working as ‘one’; aligning around core functions; establishing global teams, strengthening collaboration and learning (K)	
IMPLEMENTATION OF CHANGE MANAGEMENT PROCESS				
3. How have the change management approaches been adopted/ adapted and implemented? (The 'How' question on implementation)	3.1 What was the scope – breadth and depth of the change process?	3.1.1 Was it system-wide, organization, department etc.	Organization-wide	
	3.2 How was the change management process led?	3.2.1 Who led the change management process? Who was the owner/sponsor of the change? What is their position in relation to management?	Previous and current USGs were the drivers of the change process.	
		3.2.2 Were consultants involved in implementation? If so, in what role?	McKinsey provided support to the change team on the new operating model and also facilitated two change workshops for OCHA's change agents. An OCHA team facilitated the implementation process.	
		3.2.3 What was the size of the team? Where was the CM team located?	<p>From January to June 2018, the Change Management team had one D2, three P4s, two P3s and one General Service support staff.</p> <p>After June, the Change Management Team's term came to an end and was replaced by the Organizational Development Unit which has one P5 and two P4s.</p>	

Review Question	Review Sub-Question	Sub-sub Question	Key Findings	Remarks
			Role of team – facilitation, leading from behind. Change Agents identified – 35 from across the organization. Staff asked to submit vision and ideas for change. Picked people from this group. Get together and have face time with USG once a month. All received McKinsey training, 2 - 3 day workshop including USG. They have access to all the info and act as conduits to colleagues, so they have a good sense of the pulse. Opportunities to dialogue on culture, and also talent identification (G.15)	
		3.2.4 Is there an institutionalized function for change management in the organization or was the function time-bound for this specific initiative? <u>If yes, please include information in question 7 as well.</u>	Yes. In Sept 2016, the Change Management Unit (and a high-level process for pursuing change), established based on recommendation of the Function Review of 2015. (H.5) – See Question 7 later for more	
		3.2.5 What mechanisms were put in place to oversee the change management process? Did it include the head of organization, the governing body, just senior managers, or other? What role was played by each?	The Change Management Unit reported to the Assistant-Secretary General, while the Organizational Development Unit now reports to the Under Secretary-General.	
	3.3 How was the change management process structured?	3.3.1 Did the process have a definitive start and end?	Initially yes Jan 2017 to June 2018. Yes. The implementation commenced in October 2017 when the OCHA Change Implementation Director was appointed until June 2018. From June, there was a transition period between June and July, when the team's terms ended, and the Change Director was appointed to another role within the organization.	
		3.3.2 How long did it last?	18 months	
	3.4 How was it implemented?	3.4.1 Describe the implementation process (refer to the plan in 2.1.3)	People Strategy	

Review Question	Review Sub-Question	Sub-sub Question	Key Findings	Remarks
			<ul style="list-style-type: none"> - People strategy 2018-21 developed: focus on learning and development; duty of care; performance management; talent promotion. - Process to improve HR processes (e.g. regularizing 89 TJO posts as first batch, March 2018) - Leadership development training to apply to all staff, including national and general staff. Staff can self-nominate to be reviewed by People Strategy and Management Committee - A People Strategy Committee, led by the Assistant Secretary-General, was constituted to implement the People Strategy. <p>Change Process / Analysis (documents from source O)</p> <ul style="list-style-type: none"> - Theory: Focus on improving OCHA 'health' – "influencing model" of change theory (source?) - changing mind-sets and behaviours i) role modelling, ii) fostering understanding and conviction through compelling story; ii) developing talent and skills required for change, iv) reinforcing with formal mechanisms. (L2) - Compact: Change agents and the Change Implementation team will facilitate focus group discussions on a compact between staff and manager. . . Was the result of three months of consultations with more than 500 staff across the organization, and it encompasses the organizational culture that should define us, namely being agile, accountable, decentralized, effective, transparent, and, above all, collaborative. - Anonymous have your say page on this issue for the month for those who prefer to reflect in writing or cannot make one of the focus group discussions. - Town Hall meetings 	
		3.4.2 What communication mechanisms were used?	Use of change agents (described in 3.2.3) "check the pulse on staff interest in the process and decide when to 'raise the volume'. Change agents have bilateral conversations actively listening and seeking feedback from staff. Change agents to remind staff to complete surveys and questionnaires shared. They are accountable to help people clarify, reinforce and recognize progress made in the change process.	No actual 'change stories' provided

Review Question	Review Sub-Question	Sub-sub Question	Key Findings	Remarks
			<p>Use of change stories. Provides a context and explanation for change. Helps people make sense of change and gives agents and leaders a chance to demonstrate humanness and vulnerability. (L.3)</p> <p>“change agents are a litmus test for how things are going as an organization as they are the connection point on the whole change process” (USG, Lowcock) (L.3)</p> <p>There was a concept note for change agents that was shared with staff by the Under-Secretary-General, followed by his email on how to apply to become a change agent, then announcement of change agents, notification to all staff by the Change Director on the change agents workshop, sharing of change agents list, communication of a change implementation Workplan (followed by regular updates).</p> <p>See section 4.2.1 for further info on time used.</p> <p>Documents S,T,U for further information on change agents</p>	
		3.4.3 How was the change initially framed and presented to staff?	<p>OCHA FAQ from 2014 (doc W)</p> <p>Q: How do the decisions to date make OCHA more fit for purpose and what is the rationale for change”?</p> <p>“We took [the functional review] as a template for what needed to be changed and our decisions to date address these recommendations at the strategic level. The changes aim to help ensure more consistent delivery across OCHA and improve our functional excellence across the organization, and ensure our operations and our major Functions work together better. Our organizational structure will be simpler, allowing for clearer accountability for staff, donors, and partners. These decisions will help move us to a place that builds trust, transparency, and a culture where every staff member knows that their work is valued.”</p>	
	3.5 How much reflexive learning took place during the process? Was it	3.5.1 What learning and adaptive management processes were put in place during or after the CM	The new operating model was developed as an action point from the Creating a Better OCHA document on how to ensure functional excellence and define mutual lines of accountability between Headquarters functions and field offices. The modalities on how to	

Review Question	Review Sub-Question	Sub-sub Question	Key Findings	Remarks
	evaluated during or after?	process? (please specify when put in place in relation to the process)	operate on the ground were a result of consultations by the change team, which held workshops with management and selected staff at both field and Headquarters level. The new operating model was also piloted through five field offices: one medium, one large, one compact sized and two regional offices. The full rollout of the new operating model was based on feedback from these offices.	
RESOURCE IMPLICATIONS OF CHANGE MANAGEMENT PROCESS				
4. What have been the resource implications of change management?	4.1 How was the CM budgeted?	4.1.1 What was the source of financing- core resources/XB. Implications.	Unclear whether costs spread across core/XB or not.	
	4.2 What were the major cost elements and actual costs (where available)?	4.2.1 What were the cost elements – financial, human (non-financial), etc? (Actual cost breakdown if possible to estimate)	<p>Change Implementation budget 2018 (one year as example), initial approval 1.407mn, revised upwards, actual 1,912mn USD. (doc X)</p> <p>Total OCHA budget in 2018 317mn, so 0.6% of total annual budget. (Doc Y). No information on cost of 'reform'.</p> <p>Elements for 2018 expenditure: Staff Personnel – 1,210,161 Contract Services – 8,072 Operating and other direct costs – 157,333 Travel – 414,794 Prog Support Costs – 122,325</p> <p>Time: Doc S – 5-10% of change agents time for 12 months (through implementation process) Done in addition to regular job duties. 36 people selected.</p>	
RESULTS OF CHANGE MANAGEMENT PROCESS				
5. What are the results and critical success factors of the change process or approach?	5.1 What were the results of the change process? <i>(Is there evidence of sustainability of these changes? What is the degree to which organization is working differently and people</i>	5.1.1 What were the <u>short-term</u> outputs? How were they assessed?	<ul style="list-style-type: none"> - Downsizing and reduction initially, and then had to rebuild after. Had to manage through it. - More structured. Gone from 51 to 39 entities. - Investment in staff. Better contracts (had a lot of TJOs before so moved to full time openings, proper and secure contracts); big focus on trust and leadership. - Reduced clearance process – cut out 11 steps to clear TPs (temporary promotions?) down to 1. - Sought to address issues that impacted on the field. - Operating model key to providing consistent and more predictable support to the field 	<p>Doesn't seem quite right. Many of the 23 decisions weren't results as such, but actions or processes.</p> <p>One of these was to establish KPIs itself, which suggests that more work on results measurement was needed.</p>

Review Question	Review Sub-Question	Sub-sub Question	Key Findings	Remarks
	<i>are behaving differently? Degrees of result or proxies around these include cost reduction (staff and non-staff); service levels; reduced risks; behavioural changes; improved collaboration etc.)</i>		<ul style="list-style-type: none"> - Matching needs with problems - Bottom up approaches - Compact between management and the staff. - People being evaluated on their behaviours <p>(Source: Doc G)</p> <p>There were KPIs for administrative services that were agreed upon by the Executive Office. However, the key KPIs for OCHA were the 23 decisions of the Creating a Better OCHA document.</p>	
		<p>5.1.2 What were the <u>intermediate or long</u> outcomes? How were they assessed? Did they bring about the desired transformation? (linked back to objectives in 2.1.1)</p> <ul style="list-style-type: none"> - 	<p>Not a great deal defined in terms of results and measurement, surprisingly.</p> <p>OCHA results framework (Feb 2018) [Doc Z] and key performance indicators, baselines and targets: OCHA Strategy Plan 2018-21 [Doc Z2] have results and measures related to 'Management and Enabling Functions'.</p> <p>The measures are as follows:</p> <ul style="list-style-type: none"> % of stakeholders that perceived OCHA leadership as effective % audit and evaluation recommendations implemented % implementation plans with more than 80% benchmarks achieved % OCHA Heads of Office who are women <p>All others relate to external objectives. None on the direct expectations around the organizational / cultural changes</p>	Gap in results framework around organizational health / culture
	5.2 How did the process affect the results?	<p>5.2.1 How did the change management results contributed to the reform results or outcomes and in what way?</p> <p>What is the value-add of the structured process, where used?</p>	<p>The Change Implementation Unit was entirely staffed by OCHA secondees and supported by a cadre of 35 OCHA Change Agents across the globe, which helped to foster an OCHA-led, OCHA-owned process of determining how best to implement the 23 decisions in the "creating a better OCHA" document.</p>	

Review Question	Review Sub-Question	Sub-sub Question	Key Findings	Remarks
LESSONS FROM CHANGE MANAGEMENT PROCESS				
6. What lessons can be derived to guide future change management initiatives?	6.1 What are considered critical factors +/-	6.1.1 What do those involved, and those affected considered: (e) the key factors of success (f) factors that led to failure and the challenges and constraints to the change management process?	Key factors in success: - New operating model - Organizational change evidenced by: (reducing) 6 to 5 Regional Offices; HQ restructuring, i.e., 1 HQ in two locations, repetitive activities consolidated/stopped/ Challenges (source: doc N) - Didn't start communicating early enough - Insufficient buy-in at beginning as done too internally. Staff felt left out in functional reviews. Particularly junior staff. - Difficulty of communicating the diagnostic. How to communicate in a way that doesn't undermine the effort and trust – importance of managing expectations. - - Workshops not always good – but tasking people to find solutions to problems - No cultural diagnostic – but did come up all the time.	
	6.2 What positive features identified are transferable or scalable, which are not and why?	6.2.1 How unique are these to the context in which they were implemented?	The functional review was undertaken by external consultants. The design phase of the change was led by a United Nations agency official, supported by external consultants plus some OCHA staff. However, the change implementation phase was led entirely by OCHA - by an OCHA Director and supported by an OCHA team of secondees and OCHA Change Agents, which helped foster a sense of ownership of the change process as something being done “by” OCHA and not “to” OCHA.	
		6.2.2 What generalizable lessons can be identified?	To the extent possible, the change process should involve existing staff members, including through the use of “change agents”.	
	6.3 What has the organization learnt from this process?	6.3.1 Would the organization run the process the same way again, or do things differently? If so, how?	Lessons are still being drawn about how the change process unfolded.	

Change Management Functions in the Organization

Review Question	Review Sub-Question	Additional Description	Key Findings
7. To what extent have change management functions been institutionalized?	7.1 Does the Participating Organization (PO) have a Change Management function – formalized or otherwise?	7.1.1 Is there a team – time-bound or fixed – working on CM across multiple initiatives (i.e. beyond a single time-bound change process)?	<p>Yes. In Sept 2016, the Change Management Unit (and a high-level process for pursuing change), established based one recommendation of the Function Review of 2015. (H.5)</p> <p>There was a subsequent Change Management Unit that was led by OCHA staff, which has been replaced by the Organizational Development Unit</p>
	7.2 What are its objectives?	7.2.1 How was it established? When? What is its purpose? How sustainable is it?	<p>Sept 2016. Role – facilitate and lead from behind across all facets of change (the 5 components of the plan laid out above in Q1.1.3 above)</p> <p>The first Change Management Unit that was led by a United Nations agency secondee and an external consultant delivered the Creating a Better OCHA document.</p> <p>The second Change Implementation team, led by the OCHA Director for Change Implementation was supported by OCHA staff, oversaw the implementation of the document.</p> <p>The Organizational Development Unit, also led by OCHA staff is following up on remaining change priorities and ensuring that OCHA remains adaptable to and anticipates ongoing reforms.</p>
	7.3 How is it structured, staffed and funded?	7.3.1 How many staff, and at what grades? Who does it report to? How is it funded and to what levels?	The Organizational Development Unit (now headed by a P5 and supported by two P4s along with a cadre of OCHA change agents) is working on continuous change since the organization is agile and continues to evolve.

Document Key

Document	Document Title	Document Source
A.	8 June 2018 – <i>Update on Change Implementation</i> Email. Comments on OCHA compact between staff and management, provides a video update on OCHA's change implementation process, and informs of newly established internal operations committee.	OCHA
B.	Terms of Reference, Internal Operations Committee, OCHA (undated)	OCHA
C.	Compact of Staff and Management, OCHA (one-page diagram) (undated)	OCHA
D.	30 June 2018 – <i>Update on Change Implementation</i> Email. Comments on the roll-out of OCHA's new operating model, on the role of OCHA regional offices, and on the strengthening of OCHA's Operations and Advocacy Division.	OCHA
E.	OCHA Change Management, Regional Offices Task Team. The Way Forward for OCHA's Regional Offices, unpublished memo (undated)	OCHA
F.	Meeting of the Internal Operations Committee, OCHA, 18 June 2018, Minutes (unpublished)	OCHA
G.	Notes from UNLOCK Network meeting, OCHA and UNHCR story of transformation presentation, Reena Ghelani, 20 June 2018	JIU notes
H.	Creating a better OCHA, Outcomes of the Design Phase of OCHA's change process, June 2017	OCHA
I.	OCHA on Message, note (unpublished), (undated)	OCHA
J.	Key OCHA Administrative Issues, note (unpublished) 12 March 2018	OCHA
K.	OCHA New Operating Model, 1-page infographic, 12 May 2018	OCHA
L.	OCHA Second Change Agents Forum, Summary Note Draft (unpublished), 27-28 March 2018	OCHA
M.	Decision-Tracker, Progress on Decisions from 'Creating a Better OCHA dashboard', 27 April 2018	OCHA
N.	OCHA People Strategy 2018-21 Flyer	OCHA
O.	Emails from Change Director to all staff OCHA (2018, several)	OCHA
P.	Change Implementation Work Plan	OCHA
Q.	OCHA Strategic Plan 2018-21	JIU identified
R.	USG Message to Staff, EMC Budget Presentation, 25 October 2018	OCHA
S.	Concept Note for OCHA Change Agents, undated	OCHA
T.	Email, Announcement of Change Agents, 16 October 2017	OCHA
U.	Email, Change Agents workshop, 22 November 2017	OCHA
V.	USG Message to Staff: Change Management, Downsizing, Restructuring, 16 December 2017	OCHA
W.	OCHA Frequently Asked Questions, Change Management Process, 15 June 2014	OCHA
X.	Change Implementation 2018 Budget: Implementation rate by sponsored class	OCHA
Y.	OCHA Executive Management Committee Meeting, 25 Oct 2018	OCHA
X.	OCHA, Key Performance Indicators and Baselines and Targets, OCHA Strategic Plan 2018-21, May 25, 2018	OCHA
X2.	OCHA Results Framework, Draft, February 2018	OCHA

2.UN Secretariat – Umoja (ERP)

Overall comments	<ul style="list-style-type: none"> The case has a clear definition and focus on change management as evident from the progress reports. There appear to be gaps around the planning of change management processes and no overall strategy for change management could be identified in the documentation The case summary is considered complete for now, but may follow-up on the remaining questions in January/ February 2019.
Themes for consideration in overall report	<ul style="list-style-type: none"> - Communication strategy - Change network strategy - Definition and scope of change management - Preparing for change

Review Question	Review Sub-Question	Sub-sub Question	Key Findings	Remarks
REFORM/INITIATIVE OVERVIEW				
1. Details of the organizational reform/initiative (The 'What' question – what the initiative and reasoning behind it was?)	1.1 A brief summary of the reform/initiative.	1.1.1 What is its purpose? What are the objectives?	<p>Umoja is an implementation of the SAP ERP software, an application that supports management activities related to finance, budget, human resources, supply chain, central support services and other core business functions. This integrated transactional system replaces numerous existing legacy information systems previously used across the Secretariat. (Q.1)</p> <p>Based on the vision statement: Umoja is a continuous organizational transformation. It transcends organizational, geographical and functional barriers, fostering culture of transparency, accountability, empowerment, sharing and unity across the UN. (B.6).</p> <p>Umoja remains central to the successful reform and modernization of the administration of the United Nations and has the potential to generate major benefits for the Organization and for Member States. (O.8)</p> <p>The Purpose of Umoja is to renew the way the United Nations manages human, financial and material resources. The complex, high-value project is aimed at modernizing a wide range of business processes and systems that are crucial to the efficient and effective management of the Organization. (O.6)</p> <p>Based on the vision statement (B.6): <u>Outcome:</u> Umoja maximizes the productivity of the UN human, financial and material resources.</p>	

Review Question	Review Sub-Question	Sub-sub Question	Key Findings	Remarks
			<p><u>Output strategy:</u> It seeks to allow staff to work together in a truly coordinated manner, giving managers the visibility to plan appropriately, providing stakeholders the confidence to support and endorse programmes, and enabling the Organization to deliver better on its mandate. (A.2)</p> <p>It seeks to enable high-quality, cost-effective service delivery for evolving United Nations mandates, anywhere in the world by:</p> <ol style="list-style-type: none"> 1. updating skills, 2. harmonizing practices 3. and applying global technology, <p>The main objectives were to: (a) provide a global system that captured accurate and timely core resource data from all operations, including those in the field; (b) support decision-making by linking programmes and operations with the resources allocated and utilized; (c) reduce the average time required for administrative processes by streamlining and integrating business processes and using greater automation; (d) increase organizational efficiency by reducing manual processes and redirecting resources to value-added work; (e) support the implementation of IPSAS; (f) enable easy access to reports for Member States, staff and the public, as appropriate; and (g) enhance accountability, transparency and internal controls. (I.23)</p>	
		1.1.2 When did it start? When did it end?	2008- 2019 (O.4)	
		1.1.3 What are the key elements/sub-initiatives?	Functional pillars for Umoja are listed as: <ol style="list-style-type: none"> 1. Human resources 2. Finance 3. Central support services 4. Supply chain and logistics 5. Technology and data management 	
		1.1.4 When and by whom was it approved?	Approved by the General Assembly in December 2008 (resolution 63/262) (B.11)	

Review Question	Review Sub-Question	Sub-sub Question	Key Findings	Remarks
		1.1.5 Was the reform evaluated? What were the achievements, results, and/or outcomes?	<p>There is no document that evaluates the overall reform. The following descriptive is what we have been able to get from the documents but without details:</p> <ol style="list-style-type: none"> 1. Umoja Integration has been deployed to five clusters with more than 40,000 users, operating from more than 400 locations. (O.6) 2. Umoja has improved a range of administrative processes. (M.7) 3. The BOA reports focus on the high costs of Umoja implementation consuming most of the project budget by 2015. The total cost of ownership of Umoja over 15 years including capital and maintenance costs, is unknown but is likely to exceed 1 billion dollars. (N.9) 4. A post-implementation survey of staff members impacted by the Galileo decommissioning project, conducted by the Umoja Coordination Service four months after go-live, showed a high level of confidence in the business readiness support provided: 76 per cent of respondents reported advanced or intermediate knowledge of Umoja, 81 per cent were satisfied with the training and 80 per cent were satisfied with post-deployment support. The majority of users see value and benefits in moving to Umoja; the examples most often cited include improved reporting, real-time transactions, the interlinkage of processes and global visibility. The Service continues to assist business units to identify areas where support and improvement are needed. (S. 5) 	
	1.2 What were the underlying factors or drivers behind this reform/initiative?	1.2.1 What were the drivers? The causes of the initiative, generally an overarching, longer-term shift affecting how the organization operates.	<ol style="list-style-type: none"> 1. Changes in the operating environment, the work of the organization, the scale of humanitarian responsibility and the size of the budget. (A.2) 2. “in a fast-changing world, the United Nations cannot continue to operate and credibly account for itself without it. Indeed, Umoja is not so much a benefit as a necessity.” (A.6) 	

Review Question	Review Sub-Question	Sub-sub Question	Key Findings	Remarks
	Where distinct or additional to broader drivers of change, what specific events or triggers signalled the start? Each of these will affect the approach, speed, scope, resources and adoption of change management. They can be both expected or unexpected.		3. Current and projected business needs had outpaced the technical capabilities and business functionality of the Organization's patchwork of information technology systems. The silos of information caused by fragmented data from disparate information systems had diminished transparency and control of administrative processes, weakening management oversight capability and exposing the Organization to unacceptable risks through weak financial and procurement controls and a lack of accurate global reporting. (S. 21)	
		1.2.2 Was there a specific event that acted as a trigger to get it started? It may be internal or external. These might include funding depletion, reputational (fraud, mismanagement) or other.	Not evident from the information provided	
PLAN OF CHANGE MANAGEMENT PROCESS				
2. Which change management approaches have been used in the <u>design</u> of the above reform or initiative? (The 'How' question on design – what did they set out to do?)	2.1 Describe the design or plan for change management in the initiative?	2.1.1 What were the specific objectives of change management within the design of the initiative? Examples of specific objectives - Behaviour change to facilitate fuller adoption of new technology (e.g. UMOJA) - Empowerment of all staff to increase adoption of new policy - Improve communication of new roles and responsibilities	From the documents the overall objective of <u>UMOJA change management</u> seems to be to facilitate the move from its current state to its desired future <u>by supporting all levels of personnel in transitioning to new ways of working</u> (B.16). The following objectives were extracted from the project reports: 1. Harnessing strong commitment from staff at all levels such that changes in human skills, working methods, procedures and technology can be made to fully realize the benefits of Umoja. (A. 22) 2. To develop (local?) change management capacity throughout the Organization. (A. 22) 3. To provide comprehensive role-based training to help staff to fulfil their new roles and responsibilities . (A. 22) 4. To provide direct engagement between experts and user community (to enhance staff performance in the course of adopting new way of doing things?) . (A. 22)	

Review Question	Review Sub-Question	Sub-sub Question	Key Findings	Remarks
		- Enhance openness and transparency as part of an effort to increase accountability in an organization	5. To accelerate user adoption and optimize business process (I.32) 6. A clear, consistent and compelling vision of Umoja as a reform enabler is necessary to secure sustained business commitment. (S.19)	
		2.1.2 Did the approach to change management draw from established practices (Kotter, McKinsey, PWC, UNLOCK etc) or not? If so, how?	Not evident from the information provided	
		2.1.3 Was a specific plan prepared outlining the change management process(es)? Who prepared this plan – done internally or by an outside company? If external, please state who?	Not evident from the information provided	
	2.2 How did the triggers of the organizational reform or management initiative influence the change management approach?	2.2.1 What effect, if any, did the drivers or triggers of the reform have on the objectives and plan for change management?	Not evident from the information provided	
IMPLEMENTATION OF CHANGE MANAGEMENT PROCESS				
3. How have the change management approaches been	3.1 What was the scope – breadth and depth of the change process?	3.1.1 Was it system-wide, organization, department etc.	The implementation is focused on UN Secretariat and includes OCHA, UNON, UNEP, UN-Habitat, ESCAP, UNAKRT, UNOG, UNOV, ECA, ESCWA, ECLAC, ECE, ITC, UN Headquarters in New York and the international tribunals. (I.6)	

Review Question	Review Sub-Question	Sub-sub Question	Key Findings	Remarks
<p>adopted/ adapted and implemented?</p> <p>(The 'How' question on implementation)</p>			<p>Its outreach in the UN Secretariat includes more than 40,000 staff in 400 locations.</p> <p>The Umoja user base has expanded to 46,500 users across 420 locations</p>	
	3.2 How was the change management process led?	3.2.1 Who led the change management process? Who was the owner/sponsor of the change? What is their position in relation to management?	<p>1. the <u>change management team</u> was led by a P-5 or D-1 grade staff.</p> <p>2. The Secretary-General remains a proactive champion of the project.</p> <p>3. The Management Committee, chaired by the Chef de Cabinet, reviews the project status periodically and provides guidance on strategic issues.</p> <p>4. The Umoja Steering Committee, chaired by the Under-Secretary-General for Management, meets regularly to oversee the strategic and operational management of the project.</p> <p>5. Heads of business units are actively engaged and reinforce the awareness and commitment of their departments and offices. (A/68/375 and A/68/375/Add.1).</p>	
		3.2.2 Were consultants involved in implementation? If so, in what role?	<p>The documents provided do not indicate any hiring of consultants for the implementation of the change management process. Could you please provide information in case any were hired and for what role?</p> <p>Umoja response: No</p>	
		3.2.3 What was the size of the team? Where was the CM team located?	<p>The change management team is responsible for all activities related to the organizational change process, throughout all phases of the project through planning and preparation, communications and training. (B.16)</p> <p>The team was part of the ERP project team established in 2009. Initially, it was one of the four main teams under the project manager. The four teams were:</p> <ol style="list-style-type: none"> 1. Change Management 2. Process Management 3. Technology Management 	

Review Question	Review Sub-Question	Sub-sub Question	Key Findings	Remarks
			<p>4. Administrative Management</p> <p>There were also four other teams established supporting the above</p> <ol style="list-style-type: none"> 1. Finance and Budget team 2. Supply chain team 3. Human resources team 4. Central support services team (A.45) 	
		3.2.4 Is there an institutionalized function for change management in the organization or was the function time-bound for this specific initiative? <u>If yes, please include information in question 7 as well.</u>	Not evident from the information provided	
		<p>3.2.5 What mechanisms were put in place to oversee the change management process?</p> <p>Did it include the head of organization, the governing body, just senior managers, or other? What role was played by each?</p>	<p>Two groups stand out in the documents in overseeing the implementation of UMOJA: Board of Auditors and the Change Management Team.</p> <p>With regards to Umoja, the CMT recommends: (Paragraphs 87-88) The provision of a governance structure for the project as a matter of priority (no later than at the first half of the resumed part of the sixty-sixth session of the General Assembly); Completed. Umoja continues to benefit from the strengthened governance model, first described in the fifth progress report (A/68/375 and A/68/375/Add.1). The Secretary-General remains a proactive champion of the project. The Management Committee, chaired by the Chef de Cabinet, reviews the project status periodically and provides guidance on strategic issues. The Umoja Steering Committee, chaired by the Under-Secretary-General for Management, meets regularly to oversee the strategic and operational management of the project. Heads of business units are actively engaged and reinforce the awareness and commitment of their departments and offices;</p>	

Review Question	Review Sub-Question	Sub-sub Question	Key Findings	Remarks
	3.3 How was the change management process structured?	3.3.1 Did the process have a definitive start and end?	Definitive start date – August 2010, after project initiation and the initial phases of process design.	
		3.3.2 How long did it last?	Continuing	
	3.4 How was it implemented?	3.4.1 Describe the implementation process (refer to the plan in 2.1.3)	The following elements of the implementation were mentioned throughout the progress reports:	
			<ol style="list-style-type: none"> 1. Preparing for change: developing and engaging the Umoja stakeholder network. Mobilizing key stakeholders (subject matter experts, business owners, and process owners) in the design of the Umoja solution. (respecting the global nature of the scope – more than half of the experts came from the duty stations). The following 3 major components were established by the team. <ol style="list-style-type: none"> a. An Umoja change management presence was established in Geneva. During the design phase, over 100 Geneva-based subject matter experts contributed to the solution b. At the Department of Field Support Umoja Leaders Workshop, held in Brindisi, Italy, in May 2010, the change management team established a first group of 25 Umoja Leaders in the field, representing 23 missions. These leaders are now the focal points and coordinators for Umoja activities in their respective duty stations. The workshop prepared them to support implementation by introducing Umoja's core design concepts, guiding principles, and project timeline. c. Umoja is linking information and communications technology, supply chain and other global staff groups into communities of practice that interact using online information-sharing tools (including Umoja NET). This provides a vehicle for the exchange of ideas and data, and the coordination of community activities to support Umoja implementation. (B.17) 2. Training: During deployment, end-user training will commence approximately six weeks before the launch for each site. Staff will have the opportunity to acquire role-based Umoja skills and knowledge. The programme will consist of instructor-led, role- 	

Review Question	Review Sub-Question	Sub-sub Question	Key Findings	Remarks
			<p>based classroom learning, complemented by an interactive web-based training approach for self-study. Classroom-based learning will be delivered in a just-in-time manner to ensure maximum comprehension and retention of learned content and skills. (B.17)</p> <p>As the International Public Sector Accounting Standards (IPSAS) will be implemented simultaneously with Umoja, integrated end-user training strategies and materials will be jointly developed and delivered in a manner that is consistent with the overall training programme of the Secretariat. (B.17)</p> <p>The training approach will blend traditional instructor-led classroom learning and e-learning approaches. Training courses will be modular, role-based and reusable and will address the needs of each stakeholder group. (C.9)</p> <p>3. Organizational alignment: The Umoja team launched organizational alignment activities in the second quarter of 2012. These focus on two priority areas: change impact analysis and role mapping.</p> <p><u>Change impact analysis</u> is the assessment of any changes to current processes, policies, roles, responsibilities, work volume, complexity, skills and knowledge of the United Nations workforce that may be required to implement the Umoja solution. The goal of change impact analysis is to identify and document the change between the “as-is” and the “to-be” way of working per functional process. The change impact analysis will inform:</p> <ul style="list-style-type: none"> • Job change impacts • Policy review/updated requirements • End user learning needs • Targeted stakeholder communications. (D.18) 	
		3.4.2 What communication mechanisms were used?	Umoja uses a variety of communication tools to ensure that different groups and profiles of staff across the globe are engaged	The different stakeholders and mechanisms are outlined

Review Question	Review Sub-Question	Sub-sub Question	Key Findings	Remarks
			<p>appropriately. To the greatest extent possible, Umoja will engage all its stakeholders directly, either in person or through videoconference. (B.17)</p> <p>In addition, the change management team has established multiple new communication pathways, using both traditional and online media. Umoja NET enables direct online interaction with Umoja's stakeholders, from subject matter experts to Steering Committee members. At the same time, Umoja's public website (www.unumoja.org) provides more general information, including the "Umoja Times" newsletter. Umoja publishes articles regularly on iSeek to ensure outreach throughout the Secretariat. "Umoja Wire" is an online news feed that provides news and information about current project events. (B.17)</p> <p><u>Communications to Member States</u>- briefings have been held at each session of the Fifth Committee, in addition to formal consultations and informal meetings to ensure that Member States are well informed about activities, risks and progress, and that Member States feedback is duly considered in the Umoja action plans. (D.18)</p> <p><u>A change network strategy</u> to enable selected staff at missions to cascade messages while giving them local context and to multiply the number of people reached. The engagement strategy also includes "change measurement" activities to track the growth in staff awareness and understanding of how and when Umoja will affect the Secretariat and staff roles in it. (D.18)</p> <p><u>Communications strategy</u></p> <p>A. Communication strategy 5 tracks</p> <p>a. Awareness – introduce and promote the implementation of ERP and the basic concepts of Umoja to all UN audiences from the SG, USGs, Directors, Professionals, General Service, and UN Volunteers.</p>	<p>in the communications strategy; however, it does not seem to target uptake of the reform or changing the way people work – more emphasis on one-way provision of information.</p>

Review Question	Review Sub-Question	Sub-sub Question	Key Findings	Remarks
			<ul style="list-style-type: none"> b. Status and News – Report on the status of Umoja, deployment plans, and progress to all Stakeholders, and Staff c. Internal – Work collaboratively with all internal Umoja teams in order to ensure smooth transition to Umoja. d. Deployment – Ensure all Entity Teams, Staff and Managers the information they need throughout the deployment journey. e. Using Umoja – Prepare all users to work within Umoja by facilitating access to relevant training, deployment, and other information as needed 	
		3.4.3 How was the change initially framed and presented to staff?	No information provided on the initial framing – however, the origins of the framing can be traced back to the DG presenting Umoja to the General Assembly in 2006	
	3.5 How much reflexive learning took place during the process? Was it evaluated during or after?	3.5.1 What learning and adaptive management processes were put in place during or after the CM process? (please specify when put in place in relation to the process)	<p>1. Post implementation review task force – for the mitigation of risks and to address technical and process related challenges.</p> <p>2. Umoja academy – improving on the training approach across roll outs (F; G.1)</p> <p>3. Acting on the recommendations and evaluation by the Board of Auditors –</p> <p>The Administration and the steering committee responded to difficulties in implementation by making changes in the areas of training and readiness assessment and by emphasizing collective responsibility for change management. The main actions proposed were:</p> <ul style="list-style-type: none"> • Increased senior business involvement in business change and decision-making following the establishment of process owners in 2013; • Increased investment in training and communication in order to improve the preparation of staff on the ground to support Umoja preparation and cutover and to provide first-line support through the Umoja Academy; • Establishing new structures and teams to increase local involvement in site readiness by appointing senior deployment coordinators and business readiness managers as well as by seeking 	

Review Question	Review Sub-Question	Sub-sub Question	Key Findings	Remarks
			<p>timely involvement of staff from the business to support both technical cutover and the transition to new Umoja processes. (M.22)</p> <p>Online user satisfaction surveys conducted by the Board (O.6) -</p> <p>4. Internal Audit of Umoja change management and implementation by OIOS (Q, R)</p> <ul style="list-style-type: none"> - the report 2017/156 suggests that the Geneva based entities and UNOG had established good project management practices for the deployment of Umoja, such as coordination, communication and clear delineation of roles and responsibilities (R.1) 	
RESOURCE IMPLICATIONS OF CHANGE MANAGEMENT PROCESS				
4. What have been the resource implications of change management?	4.1 How was the CM budgeted?	4.1.1 What was the source of financing- core resources/XB. Implications.	<p>The overall costs and source of finance are mentioned in the 2016 BOA report (N. 8). However, here we would like to know more about the source of financing for the change management processes listed above and the cost associated with it.</p> <p>Umoja change management also consistently takes advantage of the United Nations regular calendar of staff conferences, informing and involving staff to the maximum extent. This approach allows specific stakeholder communities to be targeted, and also leverages travel costs already being incurred for such conferences. (B.17)</p>	
	4.2 What were the major cost elements and actual costs (where available)?	4.2.1 What were the cost elements – financial, human (non-financial), etc? (Actual cost breakdown if possible to estimate)	The overall project expenditure is stated to be 411.8 million dollars (O.4) and it is mentioned that projects roughly spend around 20-30% of the total expenditure on change management (A.22)	
RESULTS OF CHANGE MANAGEMENT PROCESS				
5. What are the results and critical success factors of the change process or approach?	5.1 What were the results of the change process? <i>(Is there evidence of sustainability of these changes?)</i>	5.1.1 What were the <u>short-term</u> outputs? How were they assessed? Examples of outputs (effective implementation of CM processes)	<p>1. The administration indicated that 35,596 of the 40,694 Umoja users had been trained, of whom 32,240 had received training in multiple courses, implying that 12 per cent of the total Umoja users had not received any training (BOA – 2017 report) (O.6)</p> <p>2. Board of Auditors reports included the following sections on change management</p>	

Review Question	Review Sub-Question	Sub-sub Question	Key Findings	Remarks
	<i>What is the degree to which organization is working differently and people are behaving differently? Degrees of result or proxies around these include cost reduction (staff and non-staff); service levels; reduced risks; behavioural changes; improved collaboration etc.)</i>	<ul style="list-style-type: none"> - Implementation of standards and practices - Staff being able to apply new work practices - Reduced time spent on processes (efficiency measure) 	<p>a. The Umoja organizational change management team and the realization teams have developed approaches, strategies and plans to assess the change impact associated with the deployment of Umoja; the role-mapping (Umoja roles to individuals) approach and a learning/training approach. (J.36)</p> <p>b. The Board highlighted that implementation challenges were about to escalate and identified the need for an increased focus on business readiness and change management. (L.5)</p> <p>3. Results of the online user satisfaction survey (O.6)</p> <p>a. 15% of the respondents reported that they were very confident and 69% reported that they were somewhat confident of using Umoja</p> <p>b. 10% of the respondents reported that they considered themselves fully ready and 66% somewhat or mostly ready at the time of implementation of Umoja.</p> <p>c. 46% of the respondents felt that the timing of training had been just right, while 54% of the respondents felt either that there had not been enough time after training or the training had been carried out too early before deployment.</p> <p>4. In addition, 44% of the respondents said that they had received training but could not understand Umoja, while 56% felt that they had been adequately trained.</p> <p>5. Umoja used A/73/389, paragraphs 36 and 37, a comparative analysis of performance measures based on Umoja workflow data over two years, using the average duration to complete a workflow, reflecting performance improvements in almost all workflows.</p>	
		5.1.2 What were the <u>intermediate</u> or <u>long</u> outcomes? How were they assessed? Did they bring about the desired transformation?		

Review Question	Review Sub-Question	Sub-sub Question	Key Findings	Remarks
		(linked back to objectives in 2.1.1)		
	5.2 How did the process affect the results?	5.2.1 How did the change management results contributed to the reform results or outcomes and in what way? What is the value-add of the structured process, where used?	Not evident from the information provided	
LESSONS FROM CHANGE MANAGEMENT PROCESS				
6. What lessons can be derived to guide future change management initiatives?	6.1 What are considered critical factors +/-	6.1.1 What do those involved, and those affected considered: (g) the key factors of success (h) factors that led to failure and the challenges and constraints to the change management process?	(a) <u>Key success factors:</u> 1. “To ensure success early involvement of management and staff of implementing entities is necessary to (a) become acquainted with the new operating model (b) provide feedback to the Umoja team and (c) assist in building a tailored transition path for each entity taking into account different levels of preparedness in different entities” (E.3). 2. With respect to change management, ahead of any roll-out, organizational management and user access mapping activities must be preceded by a strategic discussion with senior management on the division of labour among Secretariat entities, outlining roles, responsibilities and reporting lines; change discussions should be held between management and staff, including to provide clarity to staff on their new roles and responsibilities; and internal communication must be strengthened through regular videoconferences, information kiosks, etc., in order to further engage and educate staff; (G.11) 3. The approach to training must be modified, with only basic training provided before go-live and more in-depth, hands-on training during the ramp-up and in the months following the roll-out. Training plans must be developed only after the completion of user access mapping, and the training of local process experts must be based on the number of end users in the functional areas. There must be a significant increase in the quantity of certified process experts to ensure that in-depth knowledge and skills are	

Review Question	Review Sub-Question	Sub-sub Question	Key Findings	Remarks
			<p>entrenched widely throughout the Organization and that users are adequately supported; (G.11)</p> <p>(b) <u>Factors that led to challenges:</u></p> <ol style="list-style-type: none"> 1. The Board notes that, while not critical, the <u>open design items</u> have had an impact on the change management team's ability to complete its role mapping activities at the UNIFIL pilot site owing to insufficient detail in the finance design (K.24) 2. Budgets are not assigned to milestones and deliverables. For example, the team lead for change management does not have a budget for training or change management activities. As a result, it is unclear what resources are needed to complete each project task and whether any funding constraints exist owing to overruns in any area of the project. (K.29) 3. Business processes and governance not aligned with the new solution – No alignment between the new processes and business needs — requires process improvement work in each mission (L.19) 4. Change fatigue- There is a risk that the Organization lacks the capacity to undertake the multiple roll-outs that the current phased approach to delivery requires and that the demands on an already hard-pressed project team are unsustainable. The diversion of project staff to help to stabilize the roll-out in peacekeeping missions has only increased the level of pressure. Project team fatigue had been consistently one of the highest-rated risks reported to the steering committee in the preceding six months. (L.30) 5. Change management framework_ Managing those changes and deriving full benefit from them requires an understanding of the main areas of change as well as the preparation of users for those changes, including introducing new organizational structures and procedure instructions where appropriate. <u>The Administration, however, have not developed a change</u> 	

Review Question	Review Sub-Question	Sub-sub Question	Key Findings	Remarks
			<p><u>management framework to guide and support the implementation of the new business processes nor have business units assumed responsibility for doing so. (M.25)</u></p> <p>(c) <u>Recommendations from the board:</u></p> <p>1. The Board makes a recommendation on change management in paragraph 29 (d) of the summary.</p> <p><u>paragraph 29 (d)</u> <i>Ensure that heads of business units have the resources and skills required to implement the standard business processes and new ways of working successfully. The implementation of an enterprise resource planning system requires investment in business change, training and data management. For future roll-outs, senior leaders must be clear on the resources and skills required, drawing on guidance and support from the process owners and the project team, to use the resources available to them effectively or highlight any gaps;(L.30)</i></p>	
	6.2 What positive features identified are transferable or scalable, which are not and why?	6.2.1 How unique are these to the context in which they were implemented?	Not evident from the information provided	
		6.2.2 What generalizable lessons can be identified?	Each successive deployment has built on lessons learned and are reported on in each of Umoja's Progress Reports (see Umoja's latest report A/73/389)	
	6.3 What has the organization learnt from this process?	6.3.1 Would the organization run the process the same way again, or do things differently? If so, how?	Not evident from the information provided	

Change Management Functions in the Organization

If information on organizational level change management initiatives is found while reading through documents, please note details/findings below

Review Question	Review Sub-Question	Additional Description	Key Findings	Remarks
7. To what extent have change management functions been institutionalized?	7.1 Does the Participating Organization (PO) have a Change Management function – formalized or otherwise?	7.1.1 Is there a team – time-bound or fixed – working on CM across multiple initiatives (i.e. beyond a single time-bound change process)?	<p>A time bound change management team was established in 2009 which was merged with the project management team in 2017. (H.44)</p> <p>There also seems to be a fixed Change Management Team part of the secretariat that worked on the Change Plan (2011) (P.1),</p> <p>The 2011 Change Management Team (CMT) was led by Assistant Secretary-General Atul Khare.</p> <p>On 31 July 2018, Jens Wandel was appointed by the SG as the Special Adviser to the SG on Reforms. The Secretary-General established a reform coordination structure under the joint leadership of the Deputy Secretary-General and the Chef de Cabinet to ensure a unified and cohesive change management programme across all three reforms, with dedicated teams to service each individual stream. (Response from Umoja)</p>	
	7.2 What are its objectives?	7.2.1 How was it established? When? What is its purpose? How sustainable is it?	<p>The change management team for Umoja was established specifically for its implementation in 2009.</p> <p>The change management team is responsible for all activities related to the organizational change process, throughout all phases of the project through planning and preparation, communications and training. (B.16)</p>	
	7.3 How is it structured, staffed and funded?	7.3.1 How many staff, and at what grades? Who does it report to? How is it funded and to what levels?	<p>6 personnel in the change management team for Umoja. (A.45) The team reports to the project manager. (1-P5, 2-P3, 3-GS)</p> <p>As presented for 2017 in A/71/390</p>	

Document Key

Document	Document Title	Document Source
A.	First progress report on ERPP project and revised estimates under 28A, Office of the Under-Secretary-General for Management, of the proposed programme budget for 2010-2011, and under the peacekeeping support account (2009)	UN Secretariat
B.	Second progress report on ERPP project and revised estimates under 28A, Office of the Under-Secretary-General for Management, of the proposed programme budget for the biennium 2010-2011, and under the peacekeeping support account (2010)	UN Secretariat
C.	Third progress report on the ERP project (2011)	UN Secretariat
D.	Fourth progress report on the ERP project (2012)	UN Secretariat
E.	Fifth progress report on the ERP project (2013)	UN Secretariat
F.	Sixth progress report on the ERP project (2014)	UN Secretariat
G.	Seventh progress report on the ERP project (2015)	UN Secretariat
H.	Eighth progress report on the ERP project (2016)	UN Secretariat
I.	Ninth progress report on the ERP project (2017)	UN Secretariat
J.	First annual progress report of the Board of Auditors on the implementation of the UN ERP system (2012)	UN Secretariat
K.	Second annual progress report of the Board of Auditors on the implementation of the UN ERP system (2013)	UN Secretariat
L.	Third annual progress report of the Board of Auditors on the implementation of the UN ERP system (2014)	UN Secretariat
M.	Fourth annual progress report of the Board of Auditors on the implementation of the UN ERP system (2015)	UN Secretariat
N.	Fifth annual progress report of the Board of Auditors on the implementation of the UN ERP system (2016)	UN Secretariat
O.	Sixth annual progress report of the Board of Auditors on the implementation of the UN ERP system (2017)	UN Secretariat
P.	The Change Plan (2011)	Found online
Q.	Audit of Umoja change management – Report 2016/164 by OIOS	UN Secretariat
R.	Audit of the Umoja implementation in the United Nations Office at Geneva and Geneva based entities – Report 2017/156 by OIOS	UN Secretariat
S.	Tenth progress report on the ERP project (2018)	UN Secretariat

3.UN Secretariat – Global service delivery

Overall comments	<ul style="list-style-type: none"> The reform has potential elements of change management, however we note that it is an ongoing reform, which leaves us with limited capacity to understand impacts and effects, and to draw upon results and lessons learnt.
Themes for consideration in overall report	<ul style="list-style-type: none"> - Future reforms - Initial planning and approach to change management

Review Question	Review Sub-Question	Sub-sub Question	Key Findings	Remarks
<i>(Adapted from overall Review Framework)</i>			<i>(After stating findings Indicate source by letter, corresponding to document list below)</i>	<i>(Include list of documents that may be applicable)</i>
REFORM/INITIATIVE OVERVIEW				
1. Details of the organizational reform/initiative (The 'What' question – what the initiative and reasoning behind it was?)	1.1 A brief summary of the reform/initiative.	1.1.1 What is its purpose? What are the objectives?	GSDM is a key enabler of the Secretary General's reform agenda and aims to deliver fit for purpose administrative support services to clients across the organization, including through the establishment of global shared services. This offers an opportunity to improve operational efficiency, enhance business continuity and improve the quality of services provided. By utilizing shared services, staff can re-focus toward improving mission delivery, rather than back-office administrative functions.	
		1.1.2 When did it start? When did it end?	The initiative has been discussed from as early as 2012, with the first report to the General Assembly on the topic submitted in the 70 th session. Two subsequent reports were submitted to the General Assembly in the 71st and 72nd sessions. The GSDM proposals (A/72/801, A/72/801/add 1/rev.1) have not yet been approved by the General Assembly (A/RES/72/262 C). A revised report of the Secretary General will be provided to the General Assembly in the first resumed part of the 73 rd resumed session.	A/70/323, A/71/417, A/72/801, A/72/801/add 1/rev.1
		1.1.3 What are the key elements/sub-initiatives?	The global shared service centres will organize administrative support into a common shared function, in a small number of locations around the world. The shared service centre will be responsible for providing administrative transactional services to support Secretariat clients, including for example the functions of Human Resources, Administration, Accounts Payable and Payroll services. The shared service centre scope is expected to grow as additional processes are incorporated into its scope.	

Review Question	Review Sub-Question	Sub-sub Question	Key Findings	Remarks
(Adapted from overall Review Framework)			(After stating findings Indicate source by letter, corresponding to document list below)	(Include list of documents that may be applicable)
		1.1.4 When and by whom was it approved?	The GSDM proposals (A/72/801, A/72/801/add 1/rev.1) have not yet been approved by the General Assembly. See resolution: A/RES/72/262 C. A revised report of the Secretary General will be provided to the General Assembly in the first resumed part of the 73 rd resumed session.	
		1.1.5 Was the reform evaluated? What were the achievements, results, and/or outcomes?	Not applicable	
	1.2 What were the underlying factors or drivers behind this reform/initiative? Where distinct or additional to broader drivers of change, what specific events or triggers signalled the start? Each of these will affect the approach, speed, scope, resources and adoption of change management. They can be both expected or unexpected.	1.2.1 What were the drivers? The causes of the initiative, generally an overarching, longer-term shift affecting how the organization operates.	GSDM consolidates location-independent hub functions into Global Shared Service Centres. This model will enable services to be delivered with greater consistency and scalability, provide economies of scale and reduce the Organization’s footprint in higher-cost and higher-risk duty stations. The initiative also offers an opportunity to enhance business continuity and improve the quality of services. With administrative services delivered where, when and how they are needed, the United Nations Secretariat can become nimbler and work more efficiently and effectively to better support its normative and operational activities.	
		1.2.2 Was there a specific event that acted as a trigger to get it started? It may be internal or external. These might include funding depletion, reputational (fraud, mismanagement) or other.	Umoja standardized and automated business processes across the Secretariat. The global service delivery model intends to consolidate fragmented administrative structures within and across duty stations, with the goal of improving service delivery.	
	PLAN OF CHANGE MANAGEMENT PROCESS			
2. Which change management approaches have been used in the design of the above	2.1 Describe the design or plan for change management in the initiative?	2.1.1 What were the specific objectives of change management within the design of the initiative?	An overarching change management strategy for the global service delivery model establishes the foundation for change that will help to guide the model towards a shared vision for the future delivery of administrative support services across the Secretariat. The strategy is supplemented by a change action plan containing the specific	

Review Question	Review Sub-Question	Sub-sub Question	Key Findings	Remarks
<i>(Adapted from overall Review Framework)</i>			<i>(After stating findings Indicate source by letter, corresponding to document list below)</i>	<i>(Include list of documents that may be applicable)</i>
reform or initiative? (The 'How' question on design – what did they set out to do?)		Examples of specific objectives <ul style="list-style-type: none"> - Behaviour change to facilitate fuller adoption of new technology (e.g. UMOJA) - Empowerment of all staff to increase adoption of new policy - Improve communication of new roles and responsibilities - Enhance openness and transparency as part of an effort to increase accountability culture in an organization 	initiatives that will minimize the impact on people and operations and optimize available resources. The strategy will ensure the right frameworks, measures and processes are in place to ensure: <ul style="list-style-type: none"> a) The global service delivery model vision is clear and compelling, communicated consistently and shared by all; b) The project retains a balanced emphasis on the people aspects (such as job design, training and communication) alongside those of process and technology; c) Wider transition activities are appropriately planned so that staff and resources are engaged at the relevant time throughout the roll-out; d) Change is utilized as a positive force to engage staff across the Organization, highlight learning opportunities and encourage the cultural shift required towards increased self-service and client service orientation; e) Effective stakeholder engagement is promoted to help increase the probability of project success by ensuring that stakeholders clearly understand the project goals, objectives, benefits and risks. 	
		2.1.2 Did the approach to change management draw from established practices (Kotter, McKinsey, PWC, UNLOCK etc) or not? If so, how?	This process takes a holistic view of all the components necessary to embed and sustain change and will regularly measure the progress made in implementing the changes and making corrective adjustments as required, so as to realign people towards the desired future vision. The proposed strategy draws on a mix of approaches including Kotter and PwC.	
		2.1.3 Was a specific plan prepared outlining the change management process(es)? Who prepared this plan – done internally or by an	Adaptations were made based on United Nations and project experience within the team, plus the specific requirements of the project. The planned approach utilizes a mix of organizational-wide change management support as well as structured support at local level.	

Review Question	Review Sub-Question	Sub-sub Question	Key Findings	Remarks
<i>(Adapted from overall Review Framework)</i>			<i>(After stating findings Indicate source by letter, corresponding to document list below)</i>	<i>(Include list of documents that may be applicable)</i>
		outside company? If external, please state who? -		
	2.2 How did the triggers of the organizational reform or management initiative influence the change management approach?	2.2.1 What effect, if any, did the drivers or triggers of the reform have on the objectives and plan for change management?		
IMPLEMENTATION OF CHANGE MANAGEMENT PROCESS				
3. How have the change management approaches been adopted/ adapted and implemented? (The 'How' question on implementation)	3.1 What was the scope – breadth and depth of the change process?	3.1.1 Was it system-wide, organization, department etc.	The GSDM proposals (A/72/801, A/72/801/add 1/rev.1) have not yet been approved by the General Assembly (A/RES/72/262 C). A revised report of the Secretary General will be provided to the General Assembly in the first resumed part of the 73 rd resumed session. This section has therefore not been completed.	
	3.2 How was the change management process led?	3.2.1 Who led the change management process? Who was the owner/sponsor of the change? What is their position in relation to management?		
		3.2.2 Were consultants involved in implementation? If so, in what role?		
		3.2.3 What was the size of the team? Where was the CM team located?		
		3.2.4 Is there an institutionalized function for		

Review Question	Review Sub-Question	Sub-sub Question	Key Findings	Remarks
<i>(Adapted from overall Review Framework)</i>			<i>(After stating findings Indicate source by letter, corresponding to document list below)</i>	<i>(Include list of documents that may be applicable)</i>
		change management in the organization or was the function time-bound for this specific initiative? <u>If yes, please include information in question 7 as well.</u>		
		3.2.5 What mechanisms were put in place to oversee the change management process? Did it include the head of organization, the governing body, just senior managers, or other? What role was played by each?		
	3.3 How was the change management process structured?	3.3.1 Did the process have a definitive start and end?		
		3.3.2 How long did it last?		
	3.4 How was it implemented?	3.4.1 Describe the implementation process (refer to the plan in 2.1.3)		
		3.4.2 What communication mechanisms were used?		
		3.4.3 How was the change initially framed and presented to staff?		
	3.5 How much reflexive learning took place during the process? Was it evaluated during or after?	3.5.1 What learning and adaptive management processes were put in place during or after the CM process? (please specify when put in place in relation to the process)		
RESOURCE IMPLICATIONS OF CHANGE MANAGEMENT PROCESS				
4. What have been the resource implications of	4.1 How was the CM budgeted?	4.1.1 What was the source of financing- core resources/XB. Implications.		

Review Question	Review Sub-Question	Sub-sub Question	Key Findings	Remarks
<i>(Adapted from overall Review Framework)</i>			<i>(After stating findings Indicate source by letter, corresponding to document list below)</i>	<i>(Include list of documents that may be applicable)</i>
change management?	4.2 What were the major cost elements and actual costs (where available)?	4.2.1 What were the cost elements – financial, human (non-financial), etc? (Actual cost breakdown if possible to estimate)		
RESULTS OF CHANGE MANAGEMENT PROCESS				
5. What are the results and critical success factors of the change process or approach?	5.1 What were the results of the change process? <i>(Is there evidence of sustainability of these changes? What is the degree to which organization is working differently and people are behaving differently? Degrees of result or proxies around these include cost reduction (staff and non-staff); service levels; reduced risks; behavioural changes; improved collaboration etc.)</i>	5.1.1 What were the <u>short-term</u> outputs? How were they assessed?		
		5.1.2 What were the <u>intermediate or long</u> outcomes? How were they assessed? Did they bring about the desired transformation? (linked back to objectives in 2.1.1)		
	5.2 How did the process affect the results?	5.2.1 How did the change management results contributed to the reform results or outcomes and in what way? What is the value-add of the structured process, where used?		
LESSONS FROM CHANGE MANAGEMENT PROCESS				

Review Question	Review Sub-Question	Sub-sub Question	Key Findings	Remarks
<i>(Adapted from overall Review Framework)</i>			<i>(After stating findings Indicate source by letter, corresponding to document list below)</i>	<i>(Include list of documents that may be applicable)</i>
6. What lessons can be derived to guide future change management initiatives?	6.1 What are considered critical factors +/-	6.1.1 What do those involved, and those affected considered: (i) the key factors of success (j) factors that led to failure and the challenges and constraints to the change management process?	<ul style="list-style-type: none"> • Leadership commitment, including cascade of the change vision from executive leadership. • Communication of the change and its various components to key stakeholders, including simple, prompt messaging that offers opportunity for two-way communication. • Meaningful involvement of key stakeholders throughout the change process. • Managing the impact of the range of changes required across the organization. 	
	6.2 What positive features identified are transferable or scalable, which are not and why?	6.2.1 How unique are these to the context in which they were implemented?	The GSDM proposals (A/72/801, A/72/801/add 1/rev.1) have not yet been approved by the General Assembly (A/RES/72/262 C). A revised report of the Secretary General will be provided to the General Assembly in the first resumed part of the 73 rd resumed session. This section has therefore not been completed.	
		6.2.2 What generalizable lessons can be identified?	The GSDM proposals (A/72/801, A/72/801/add 1/rev.1) have not yet been approved by the General Assembly (A/RES/72/262 C). A revised report of the Secretary General will be provided to the General Assembly in the first resumed part of the 73 rd resumed session. This section has therefore not been completed.	
	6.3 What has the organization learnt from this process?	6.3.1 Would the organization run the process the same way again, or do things differently? If so, how?		

Change Management Functions in the Organization

If information on organizational level change management initiatives is found while reading through documents, please note details/findings below

Review Question	Review Sub-Question	Additional Description	Key Findings	Gaps and Questions
7. To what extent have change management functions been institutionalized?	7.1 Does the Participating Organization (PO) have a Change Management function – formalized or otherwise?	7.1.1 Is there a team – time-bound or fixed – working on CM across multiple initiatives (i.e. beyond a single time-bound change process)?	The GSDM project team includes project team members with change management expertise.	
	7.2 What are its objectives?	7.2.1 How was it established? When? What is its purpose? How sustainable is it?		
	7.3 How is it structured, staffed and funded?	7.3.1 How many staff, and at what grades? Who does it report to? How is it funded and to what levels?		

4.UNCTAD – Nairobi Maafikiano

Overall comments	<ul style="list-style-type: none"> The case summary was completed by JIU. Additional information was added based on an interview and further documentation. The documents provide a good overview of the reform, its purpose, components and roll-out. From the information provided and the interview, there does not appear to have been a change management approach as part of this reform, however, there is some evidence of use of change management processes in efforts to break down silos and strengthen working practices The case is considered complete.
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Review Question	Review Sub-Question	Sub-sub Question	Key Findings	Remarks
REFORM/INITIATIVE OVERVIEW				
1. Details of the organizational reform/initiative (The 'What' question – what the initiative and reasoning behind it was?)	1.1 A brief summary of the reform/initiative.	1.1.1 What is its purpose? What are the objectives?	<p>The purpose of Nairobi Maafikiano's is to move towards an inclusive and equitable global economic environment for trade and development in four main areas. Specifically, the following;</p> <ol style="list-style-type: none"> 1. The role of UNCTAD in dealing with challenges and opportunities in multilateralism for trade and development. 2. Promote inclusive and sustainable economic growth through trade, investment, finance and technology to achieve prosperity for all. 3. UNCTAD in the next four years will be advancing economic structural transformation and cooperation to build economic resilience. 4. Contributing to the effective implementation of, and follow-up to the 2030 Agenda for Sustainable Development and relevant outcomes from global conferences and summits as related to trade and development. (C.) 	
		1.1.2 When did it start? When did it end?	December 2016 – present	
		1.1.3 What are the key elements/sub-initiatives?	<p>The Sub-initiatives include;</p> <ol style="list-style-type: none"> 1. Cross- divisional initiative information flows, information sharing and project collaboration between departments /divisions. Two cross-divisional taskforces on statistics and gender. (B.2) 2. Crossing the line initiative – dedicated to research and motion, Strengthening in-depth, open discussions among UNCTAD researchers while strengthening cross-divisional work and cooperation. (B.4) 3. UNCTAD Youth Initiative - engaging youth to sustain change- 	

Review Question	Review Sub-Question	Sub-sub Question	Key Findings	Remarks
			<p>Youth city hubs allowing for the voice of the youth to be shared in UNCTAD's research work and meetings. (B.8)</p> <p>The Sub elements of these reforms include;</p> <ol style="list-style-type: none"> 1. Challenges and opportunities in multilateralism for trade and development 2. Promoting sustained, inclusive and sustainable economic growth through trade, investment, finance and technology to achieve prosperity for all; 3. Advancing economic structural transformation and cooperation to build economic resilience and address trade and development challenges, at all levels, within the UNCTAD mandate 4. Contributing to the effective implementation of and follow-up to the 2030 Agenda for Sustainable Development and relevant outcomes from global conferences and summits, as related to trade and development. (C.4) 	
		1.1.4 When and by whom was it approved?	22 July 2016, By the Member States of UNCTAD / Secretary General of UNCTAD Mukhisa Kituyi	
		1.1.5 Was the reform evaluated? What were the achievements, results, and/or outcomes?	<p>Yes to a certain extent;</p> <ul style="list-style-type: none"> • The Nairobi Maafikiano Mid-Term Review (C.7) • "Friends of UNCTAD" sounding board for internal reflections <p>Mechanisms put in place to monitor sub-initiatives including a results framework for the UNCTAD Youth initiative (See 1.1.3) to measure impact and results. (B.9)</p>	
	1.2 What were the underlying factors or drivers behind this reform/initiative? Where distinct or additional to broader drivers of change, what specific events or triggers signalled	1.2.1 What were the drivers? The causes of the initiative, generally an overarching, longer-term shift affecting how the organization operates.	<ul style="list-style-type: none"> • The Secretary General statement to TDB in December 2016 • The Non-paper on making statistics its own service, and the idea of consolidating Trade Analysis Branch with macroeconomic analysis • Notes on the proposed shift of Trade Analysis Branch to GDS • TPs for SG discussion with G-77 on the need to make changes to the structure in line with Maafikiano, and in light of the strengthening of UNCTAD by the AAAA as part of the Nabarro Report process • SG's statement to TDB in September 2017 • DSG's presentation to TDB in September 2017 on Maafikiano implementation 	

Review Question	Review Sub-Question	Sub-sub Question	Key Findings	Remarks
	the start? Each of these will affect the approach, speed, scope, resources and adoption of change management. They can be both expected or unexpected.		•From Actions to Results paper, which tried to address many of the same issues in light of the Phase II of TDB revitalization and Maafikiano Implementation: https://unctad.org/en/pages/PublicationWebflyer.aspx?publicationid=1933 The introduction of a new DG that has shifted the focus of UNCTAD in to their direction, in this case Africa (f1)	
		1.2.2 Was there a specific event that acted as a trigger to get it started? It may be internal or external. These might include funding depletion, reputational (fraud, mismanagement) or other.	Report of the United Nations Secretary-General’s Independent Expert Advisory Group on a Data Revolution for Sustainable Development, entitled “ <i>A World That Counts</i> ”. (A.1) SG’s statement to TDB in September 2017	
PLAN OF CHANGE MANAGEMENT PROCESS				
2. Which change management approaches have been used in the <u>design</u> of the above reform or initiative? (The 'How' question on design – what did they set out to do?)	2.1 Describe the design or plan for change management in the initiative?	2.1.1 What were the specific objectives of change management within the design of the initiative?	1. Result Based Management is being taught across the organisation 2. A stronger ‘business model’ for our Publications 3. A clearer picture of what we do thanks to an updated online toolbox 4. An easy-to-navigate website 5. Helping managers concentrate on the delivery of the programme of work (B.2)	
		2.1.2 Did the approach to change management draw from established practices (Kotter, McKinsey, PWC, UNLOCK etc) or not? If so, how?	No use of external consultants because of the negative connotations of people outside the organization coming in to do work. (F.2)	
		2.1.3 Was a specific plan prepared outlining the change management process(es)? Who prepared this plan – done internally or by an outside company? If external, please state who?	No evidence of this.	
	2.2 How did the triggers of the	2.2.1 What effect, if any, did the drivers or triggers	No information available on this from documents provided	

Review Question	Review Sub-Question	Sub-sub Question	Key Findings	Remarks
	organizational reform or management initiative influence the change management approach?	of the reform have on the objectives and plan for change management?		
IMPLEMENTATION OF CHANGE MANAGEMENT PROCESS				
3. How have the change management approaches been adopted/ adapted and implemented? (The 'How' question on implementation)	3.1 What was the scope – breadth and depth of the change process?	3.1.1 Was it system-wide, organization, department etc.	Organisation wide reform	
		3.2.1 Who led the change management process? Who was the owner/sponsor of the change? What is their position in relation to management?	Secretary General of UNCTAD Mukhisa Kituyi	
	3.2 How was the change management process led?	3.2.2 Were consultants involved in implementation? If so, in what role?	No use of external consultants because of the negative connotations of people outside the organization coming in to do work. (f.2)	
		3.2.3 What was the size of the team? Where was the CM team located?	No information available on this from documents provided	
		3.2.4 Is there an institutionalized function for change management in the organization or was the function time-bound for this specific initiative? <u>If yes, please include information in question 7 as well.</u>	No	
		3.2.5 What mechanisms were put in place to	No information available on this from documents provided	

Review Question	Review Sub-Question	Sub-sub Question	Key Findings	Remarks
		oversee the change management process? Did it include the head of organization, the governing body, just senior managers, or other? What role was played by each?		
	3.3 How was the change management process structured?	3.3.1 Did the process have a definitive start and end?	The process is ongoing	
		3.3.2 How long did it last?	Ongoing	
	3.4 How was it implemented?	3.4.1 Describe the implementation process (refer to the plan in 2.1.3)	<p>Very little that has obviously incorporated principles or actions of change management.</p> <p>Closest evidence appears to be around the work of breaking-down silos and strengthening collaborative working practices.</p> <ul style="list-style-type: none"> Strengthen Specifically starting with conferences and themes. (This was an attempt at providing an example of change management) Every conference has a theme investment, technology, LDCs etc. Now UNCTAD does not have divisional themes, but rather task based themes. One UNCTAD approach promoted The SDG implementation changed, had to identify which theme applied to work and how to go about it. UN System wide reform. Annual report structured around SDGs and reports with a “one UNCTAD” harmonized approach of how things are organized. Using SDGs to bring out the coordination. Changed communications including weekly wrap of what the SG and others have been up to during the week 	
		3.4.2 What communication mechanisms were used?	<ol style="list-style-type: none"> The non paper from the Secretariat The Implementation of the Nairobi Maafikiano in a Changing Environment Broschure The UNCTAD annual reports 2016 and 2017 Formulated a new UNCTAD strategic communications plan. To ensure that the strengthened and realigned role of UNCTAD makes a maximum impact 	

Review Question	Review Sub-Question	Sub-sub Question	Key Findings	Remarks
			on external UNCTAD stakeholders and duly informs ongoing development debates. (E.23)	
			Publications, flagships and peer reviews by all divisions. Task forces on gender and statistics (running since Feb chaired by SG). Cross divisional Intranet and online lounge and space dedicated to sharing. Increased participation by staff and feeling that staff are asking for more initiatives.(F.2)	
		3.4.3 How was the change initially framed and presented to staff?	The Nairobi Maafikiano was framed as a response to the call in the Addis Ababa Action Agenda for strengthening of the role of UNCTAD as the focal point in the United Nations system for the integrated treatment of trade and development by “strengthening”, “enhancing” or “reinforcing” a number of key areas of work. (C.5)	
	3.5 How much reflexive learning took place during the process? Was it evaluated during or after?	3.5.1 What learning and adaptive management processes were put in place during or after the CM process? (please specify when put in place in relation to the process)	No information available on this from documents provided	
RESOURCE IMPLICATIONS OF CHANGE MANAGEMENT PROCESS				
4. What have been the resource implications of change management?	4.1 How was the CM budgeted?	4.1.1 What was the source of financing- core resources/XB. Implications.	2/3 of UNCTAD budget is core funding (F4)	
	4.2 What were the major cost elements and actual costs (where available)?	4.2.1 What were the cost elements – financial, human (non-financial), etc? (Actual cost breakdown if possible to estimate)	No information available on this from documents provided	
RESULTS OF CHANGE MANAGEMENT PROCESS				
5. What are the results and critical success factors of the change process or approach?	5.1 What were the results of the change process? <i>(Is there evidence of sustainability of these changes?)</i>	5.1.1 What were the <u>short-term</u> outputs? How were they assessed?	<ol style="list-style-type: none"> 1. Strengthened” engagement with Governments, civil society organizations, academia and the private sector. 2. Launched eFounders initiative with Alibaba Business Schools piloting training of 200 young entrepreneurs in Africa 3. “Strengthened” cooperation on non-tariff measures with relevant partners 	

Review Question	Review Sub-Question	Sub-sub Question	Key Findings	Remarks
	<i>What is the degree to which organization is working differently and people are behaving differently? Degrees of result or proxies around these include cost reduction (staff and non-staff); service levels; reduced risks; behavioural changes; improved collaboration etc.)</i>		<ol style="list-style-type: none"> 4. New partnership with World Trade Organization /International Trade Centre on small and medium-sized enterprise helpdesk using non-tariff measures data 5. Advisory services to the least developed countries group at the World Trade Organization and to individual least developed countries 6. Seminars, workshops and side events planned in lead up to 72nd General Assembly summit on migration 7. Enhanced” development of transparent measures of progress on sustainable development, and other work on statistics and measuring impact of policies 8. Capacity-building workshop on Sustainable Development Goal indicators in the United Republic of Tanzania 9. Advisory services, issues notes and selection of indicators on corporate sustainability reporting 10. Regional seminars on promoting bankable Sustainable Development Goal projects 11. Launched first regional online course on trade and gender for Common Market for Eastern and Southern Africa 12. “Strengthened” focus on the least developed countries, including technical cooperation activities and policy dialogue with policymakers 13. “Strengthened” engagement with Governments, civil society organizations, academia and the private sector 14. “Enhanced” work programme on science and technology, including science, technology and innovation policy reviews (E.6) (E.7) 	
		5.1.2 What were the <u>intermediate or long</u> outcomes? How were they assessed? Did they bring about the desired transformation? (linked back to objectives in 2.1.1)	No information available on this from documents provided	

Review Question	Review Sub-Question	Sub-sub Question	Key Findings	Remarks
	5.2 How did the process affect the results?	5.2.1 How did the change management results contributed to the reform results or outcomes and in what way? What is the value-add of the structured process, where used?	No information available on this from documents provided	
LESSONS FROM CHANGE MANAGEMENT PROCESS				
6. What lessons can be derived to guide future change management initiatives?	6.1 What are considered critical factors +/-	6.1.1 What do those involved, and those affected considered:	No information available on this	
	6.2 What positive features identified are transferable or scalable, which are not and why?	6.2.1 How unique are these to the context in which they were implemented?	No information available on this	
		6.2.2 What generalizable lessons can be identified?	No information available on this	
	6.3 What has the organization learnt from this process?	6.3.1 Would the organization run the process the same way again, or do things differently? If so, how?	No information available on this	

Document Key

Document	Document Title	Document Source
A.	Non-paper from the Secretariat on the proposed UNCTAD Statistical Service and on consolidation of trade and macroeconomic analysis activities	UNCTAD
B.	01. UNCTAD Maafikiano document	UNCTAD
C.	UNCTAD Brochure “A Commitment to Inclusive Trade” 2017	UNCTAD
D.	Opening Remarks...Board 64 th Session. 2017	UNCTAD
E.	From Actions to Results: Implementation of the Nairobi Maafikiano in a Changing Environment	UNCTAD
F.	UNCTAD Interview Notes	JIU

5. UNCTAD – Results Based Management

Overall comments	<ul style="list-style-type: none"> The case summary was completed by JIU. Additional information was added based on an interview and further documentation. The documents provide a good overview of the reform, its purpose, components and roll-out. From the information provided and the interview and subsequent discussions no evidence was found of the planned use of change management approaches or processes in the roll-out of RBM (as per the JIU change management definition and guide document). The case is considered complete.
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Review Question	Review Sub-Question	Sub-sub Question	Key Findings	Remarks
<i>(Adapted from overall Review Framework)</i>			<i>(After stating findings Indicate source by letter, corresponding to document list below)</i>	<i>(Include list of documents that may be applicable)</i>
REFORM/INITIATIVE OVERVIEW				
1. Details of the organizational reform/initiative (The 'What' question – what the initiative and reasoning behind it was?)	1.1 A brief summary of the reform/initiative.	1.1.1 What is its purpose? What are the objectives?	<p>Increase results-focus in work; improve information available to member states; encourage better integration of lessons in future activities (#A.3)</p> <p>Design, implementation and integration of results-based management into the working practices of UNCTAD (Source/ref #A, page 3); RBM becomes business as usual</p>	
		1.1.2 When did it start? When did it end?	<p>2013 for 3 years, extended to 4 years (2013-17) (UN Secretariat driven)</p> <p>Pilot for technical cooperation from July 2016 – June 2017 (#A.3) (UNCTAD led)</p> <p>Still ongoing. New RBM requirements were piloted in 2016-2017 and subsequently fine-tuned. Now working towards the requirements of Umoja Extension 2 (revising section/branch/division level results frameworks and theories of change; training staff, identifying champions to be catalysts of change, etc.).</p> <p>We are continuously assessing the implementation of RBM and adapting the approach to achieve our objectives.</p>	
		1.1.3 What are the key elements/sub-initiatives?	<p>a) sub-programmatic reviews of RBM orientation of the log frames</p> <p>b) adoption of common workplans and self-assessment plans for all divisions of UNCTAD</p> <p>c) improvement of information available to member states</p>	

Review Question	Review Sub-Question	Sub-sub Question	Key Findings	Remarks
<i>(Adapted from overall Review Framework)</i>			<i>(After stating findings Indicate source by letter, corresponding to document list below)</i>	<i>(Include list of documents that may be applicable)</i>
			d) development of mechanisms to encourage better integration of lessons (all led by a Programme Officer in the Office of the SG)	
		1.1.4 When and by whom was it approved?	At 59 th session of Trade and Development Board, September 2012	
		1.1.5 Was the reform evaluated? What were the achievements, results, and/or outcomes?	Reference to evaluation in 2016-17 (#A.3) Pilot evaluation results (#3.3) <ul style="list-style-type: none"> - efforts to employ RBM principles, but inadequate implementation overall (<15% of programmes reported results data) - Of the 10 areas (min requirements for RBM); 3 were strong (problem analysis; stakeholder analysis and results frameworks); 2 were fair (value add and work plans) and 5 were in need to significant improvement (budget, monitoring, evaluation and reporting) - More support required to develop detailed M&E plans - UNCTAD requires customized training on RBM - Need for IT-based project management and reporting tool urgently. - Greater dissemination of impact stories required - (D.5) (d=D.6) - Assessment by OIOS (2018) 	
	1.2 What were the underlying factors or drivers behind this reform/initiative? Where distinct or additional to broader drivers of change, what specific events or triggers signalled the start? Each of these	1.2.1 What were the drivers? The causes of the initiative, generally an overarching, longer-term shift affecting how the organization operates.	<ul style="list-style-type: none"> - Outcomes of 26th special session of Trade and Development Report on the JIU Review of Man and Admin on Trade and Development (2012) to stating that 'further efforts should be made to enhance UNCTAD's lasting effectiveness, efficiency, transparency, accountability, inclusiveness, and relevance, in the implementation of its established mandate for the benefit of all member States' (#B.2) - A/57/474 – RBB introduced in the preparation of the Programme Budget for the biennium 2002-2003. - E/AC.51/2015/4 - Evaluation of the United Nations Conference on Trade and Development 	

Review Question	Review Sub-Question	Sub-sub Question	Key Findings	Remarks
<i>(Adapted from overall Review Framework)</i>			<i>(After stating findings Indicate source by letter, corresponding to document list below)</i>	<i>(Include list of documents that may be applicable)</i>
	will affect the approach, speed, scope, resources and adoption of change management. They can be both expected or unexpected.	1.2.2 Was there a specific event that acted as a trigger to get it started? It may be internal or external. These might include funding depletion, reputational (fraud, mismanagement) or other.	The event was the 59 th session of Trade and Development Board in Sept 2012	
PLAN OF CHANGE MANAGEMENT PROCESS				
2. Which change management approaches have been used in the <u>design</u> of the above reform or initiative? (The 'How' question on design – what did they set out to do?)	2.1 Describe the design or plan for change management in the initiative?	2.1.1 What were the specific objectives of change management within the design of the initiative?	To have RBM principles fully integrated into the way of working at UNCTAD. To have M&E be part of the regular workplan of the divisions/branches/teams. To change the culture, attitudes and practice of individuals in the organization. Central to this was the hiring of a P4 Programme Officer who would be responsible for leading the change process at UNCTAD (implement the reform process itself but also support staff in transitioning). The Officer in charge has experience in RBM and evaluation but also as project officer in UNCTAD, which helps with acceptance of proposed reform initiatives by UNCTAD staff.	
		2.1.2 Did the approach to change management draw from established practices (Kotter, McKinsey, PWC, UNLOCK etc) or not? If so, how?	No, but rather on lessons from RBM implementation from JIU and OIOS reviews.	
		2.1.3 Was a specific plan prepared outlining the change management process(es)? Who prepared this plan – done internally or by an outside company? If external, please state who?	No evidence of specific overall change management 'plan' from the documentation provided, nor component plans (as per project guide) for 'readiness and diagnosis'; 'engagement strategy or plan', 'benefits realization plan'. Reference is made to in the pilot review and email from staff member to: <ul style="list-style-type: none"> - Internal communications - Identification of focal points / champions (for RBM) - Training for all staff (on RBM) - Leadership 	

Review Question	Review Sub-Question	Sub-sub Question	Key Findings	Remarks
<i>(Adapted from overall Review Framework)</i>			<i>(After stating findings Indicate source by letter, corresponding to document list below)</i>	<i>(Include list of documents that may be applicable)</i>
			<p>What is less clear is how much of this focused on what it takes to actually create change, understanding and diagnosing culture, engaging with the nature of the change process required at the individual level (beyond frameworks and systems); tracking that etc.</p> <p>The need for change management was envisaged from the start even if there was no explicit strategy developed.</p>	
	2.2 How did the triggers of the organizational reform or management initiative influence the change management approach?	2.2.1 What effect, if any, did the drivers or triggers of the reform have on the objectives and plan for change management?	UNCTAD member States and staff are divided over the applicability of RBM principles to UNCTAD's work. The divisions are deep, political and historical. With the 59 th session of Trade and Development Board in Sept 2012, there was recognition by senior management that reform was needed but that it would have to be UNCTAD led and supported by someone who had the technical expertise but also understanding of UNCTAD and its specificities. Approach has been incremental (starting with the easiest pillar of UNCTAD's work and moving to the next).	
IMPLEMENTATION OF CHANGE MANAGEMENT PROCESS				
<p>F. How have the change management approaches been adopted/ adapted and implemented?</p> <p>(The 'How' question on implementation)</p>	3.1 What was the scope – breadth and depth of the change process?	3.1.1 Was it system-wide, organization, department etc.	Organization wide	
	3.2 How was the change management process led?	3.2.1 Who led the change management process? Who was the owner/sponsor of the change? What is their position in relation to management?	<p>SG and Deputy-Secretary General (DSG) championed RBM by pushing for its implementation and stressing the benefits. (G.2)</p> <p>Programme officer with oversight over RBM in the Office of the UNCTAD SG led the process. (G.2)</p> <p>In both cases this is the whole 'reform' not the specific change management elements alone.</p>	
		3.2.2 Were consultants involved in implementation? If so, in what role?	No. Senior management decided that change in this required a dedicated staff member with the technical and UN expertise but also understanding of UNCTAD and its specificities.	=

Review Question	Review Sub-Question	Sub-sub Question	Key Findings	Remarks
<i>(Adapted from overall Review Framework)</i>			<i>(After stating findings Indicate source by letter, corresponding to document list below)</i>	<i>(Include list of documents that may be applicable)</i>
			No use of external consultants because of the negative connotations of people outside the organization coming in to do work. (I.3)	
		3.2.3 What was the size of the team? Where was the CM team located?	One person drawing on horizontal functions as necessary (Resource Management Service, Evaluation and Monitoring, Technical Cooperation Service, Front offices of the Division Directors, etc.)	
		3.2.4 Is there an institutionalized function for change management in the organization or was the function time-bound for this specific initiative? <u>If yes, please include information in question 7 as well.</u>	No. Full-time Programme Officer whose work plan evolves with the planning and evaluation needs of the organization. Currently working towards March 2019 deadline for revising log frames and theories of change in time for the rollout of Umoja extension2.	
		3.2.5 What mechanisms were put in place to oversee the change management process? Did it include the head of organization, the governing body, just senior managers, or other? What role was played by each?	Reference to focal points and 'informal champions' across all sub-programmes. They prepared the project documents. No further information on how they were trained in or led actual change management processes. Programme Officer reports directly to the DSG (regular meetings). Also weekly coordination meetings with the Chef de Cabinet and rest of OSG staff.	
	3.3 How was the change management process structured?	3.3.1 Did the process have a definitive start and end?	Technical cooperation pilot ran from July 2016 to June 2017. Research and Analysis pilot from Jan-Dec 2017. Now integrated approach across three pillars started in Feb 2018 and will end in March 2019.	
		3.3.2 How long did it last?	Pilot on 2016 (#A.3) – still being rolled out. Ongoing.	
	3.4 How was it implemented?	3.4.1 Describe the implementation process (refer to the plan in 2.1.3)	Concept notes submitted between Oct 2016 and Jan 2017 which included most of the elements required around RBM. Training of staff on RBM, held in cooperation with the UN Staff System College, was provided in October 2014 and October 2016 (with a separate training for senior managers in 2016).(H.3)	

Review Question	Review Sub-Question	Sub-sub Question	Key Findings	Remarks
<i>(Adapted from overall Review Framework)</i>			<i>(After stating findings Indicate source by letter, corresponding to document list below)</i>	<i>(Include list of documents that may be applicable)</i>
			Enhanced sharing of lessons learned and evaluation reports.).(H.3) Improvement of self-assessment capacities and better use of the UNCTAD intranet to promote internal learning).(H.3) Leveraging of social media and web presence, and targeted updates for stakeholders.(H.4) More direct interaction of senior management with staff at all levels and better use of retreats to engage staff in decision-making. (H.4)	
		3.4.2 What communication mechanisms were used?	Briefings, memos, regular meetings (senior management, chiefs of directors' offices and services, project review committee, RBM focal points, etc.), intranet news, dedicated web pages, follow-up phones calls, face-to-face meetings with programme/project managers to work on log frames etc. Leveraging of social media and web presence, and targeted updates for stakeholders. (H.3) Publications, flagships and peer reviews by all divisions. Task forces on gender and statistics (running since Feb chaired by SG). Cross divisional Intranet and online lounge and space dedicated to sharing. Increased participation by staff and feeling that staff are asking for more initiatives.(I.2)	-
		3.4.3 How was the change initially framed and presented to staff?	Presented as key part of accountability framework and in terms of SDG preparedness and stronger reporting requirements from New York (Umoja extension2) and donors. But also an opportunity to streamline multiple reporting requirements and adopt modern, IT-based tools for project management and RBM.	
	3.5 How much reflexive learning took place during the process? Was it	3.5.1 What learning and adaptive management processes were put in place during or after the CM process? (please specify	Weekly reporting to the DSG. Assessments of progress reported quarterly to the Project Review Committee, Chiefs' meetings and so on. Challenges and solutions are identified together with staff. We adapt the approach as necessary in order to achieve our objectives. For example in April 2017, after many consultations with	

Review Question	Review Sub-Question	Sub-sub Question	Key Findings	Remarks
<i>(Adapted from overall Review Framework)</i>			<i>(After stating findings Indicate source by letter, corresponding to document list below)</i>	<i>(Include list of documents that may be applicable)</i>
	evaluated during or after?	when put in place in relation to the process)	management and staff, we were ready to adopt ITC's project management platform. However, in summer 2017 our plans were halted by management in NY which informed us of upcoming Umoja extension 2. We then had to communicate the change of plans to staff and work with them on the new requirements of Umoja.	
RESOURCE IMPLICATIONS OF CHANGE MANAGEMENT PROCESS				
4. What have been the resource implications of change management?	4.1 How was the CM budgeted?	4.1.1 What was the source of financing- core resources/XB. Implications.	One P4	
	4.2 What were the major cost elements and actual costs (where available)?	4.2.1 What were the cost elements – financial, human (non-financial), etc? (Actual cost breakdown if possible to estimate)	70% time of one P4 UNCTAD training budget prioritised for RBM needs All projects over \$1m have budget set aside for M&E to help implement new RBM requirements – transitional as M&E becomes more integrated into work planning and budgeting (part of managing the change)	
RESULTS OF CHANGE MANAGEMENT PROCESS				
5. What are the results and critical success factors of the change process or approach?	5.1 What were the results of the change process?	5.1.1 What were the <u>short-term</u> outputs? How were they assessed?	Greater acceptance on the part of staff (even those initially resistant) of the utility of RBM; Greater commitment from senior managers to apply RBM principles and budget for M&E; Increased use of RBM tools; positive feedback from member States and oversight bodies	
	<i>(Is there evidence of sustainability of these changes? What is the degree to which organization is working differently and people are behaving differently? Degrees of result or proxies around these include cost reduction (staff and non-staff); service levels; reduced risks; behavioural changes;</i>	5.1.2 What were the <u>intermediate or long</u> outcomes? How were they assessed? Did they bring about the desired transformation? (linked back to objectives in 2.1.1)	Some programmes have been redesigned to better capture results (e.g. National Trade Facilitation Committee Empowerment programme, National Green Export Reviews); Increase in follow up post-projects to assess results in medium-long term	

Review Question	Review Sub-Question	Sub-sub Question	Key Findings	Remarks
<i>(Adapted from overall Review Framework)</i>			<i>(After stating findings Indicate source by letter, corresponding to document list below)</i>	<i>(Include list of documents that may be applicable)</i>
	<i>improved collaboration etc.)</i>			
	5.2 How did the process affect the results?	5.2.1 How did the change management results contributed to the reform results or outcomes and in what way? What is the value-add of the structured process, where used?	Change management results outlined above have been key to pushing forward the reform results. We are slowly integrating more M&E into workplans and getting data on results.	
LESSONS FROM CHANGE MANAGEMENT PROCESS				
6. What lessons can be derived to guide future change management initiatives?	6.1 What are considered critical factors +/-	6.1.1 What do those involved, and those affected considered: (k) the key factors of success (l) factors that led to failure and the challenges and constraints to the change management process?	Dedicated staff member to support staff in changing practice, working together on new methods etc. has been key. Regular communication. Involving staff members in the decision-making process. Training workshops to change understanding and practice. A more structured process if prioritised could have moved things faster. Changes coming from New York has also forced us to adapt our approach. We are having to wait for instructions and new tools being developed by the Secretariat's Department of Management.	
	6.2 What positive features identified are transferable or scalable, which are not and why?	6.2.1 How unique are these to the context in which they were implemented?	No information available on this from documents provided	
		6.2.2 What generalizable lessons can be identified?	No information available on this from documents provided	
	6.3 What has the organization learnt from this process?	6.3.1 Would the organization run the process the same way again, or do things differently? If so, how?	Doing the best we can given other priorities and resources.	

Document Key

Document	Document Title	Document Source
A.	TD/B/60/5 Progress report on the implementation of the workplan for enhancing the management and administration of UNCTAD, 2 July 2013	UNCTAD identified doc
B.	TD/B/59/CRP.2 Work plan for enhancing the management and administration of UNCTAD	JIU identified doc
C.	Statement of the DSG of UNCTAD to the Working Party on the Strategic Framework and Programme Budget, 75 th session 4 September 2017	UNCTAD identified doc
D.	UNCTAD, 2017, Internal Assessment of RBM pilot	UNCTAD identified (round 2)
E.	Other assessments: Assessment by OIOS (2018) – Triennial review of the implementation of the recommendations from the programme evaluation of the United Nations Conference on Trade and Development Minutes of the Publications Committee (shared on the UNCTAD intranet) Final_PRC_Meeting Minutes Assessment early 2017	
F.	Initial 2016 reform planTOR of RBM-CG	
G.	Memos from SG/DSG	
H.	Briefings to member States and staff Examples of communicating change Intranet pages: Research, Technical cooperation Intranet stories: RBM vision, Training, CIO monthly monitor	
I	UNCTAD Meeting Notes	JIU

6. ITC – Innovation Lab

Overall comments	<ul style="list-style-type: none"> The case summary was completed by JIU. Additional information was added based on further documentation. The documents provide a good overview of the reform From the information provided, the reform itself has aspect of change management embedded within it, particularly around stimulating a ‘culture of innovation’. However, it is not a typical ‘reform’ in the sense of introducing major changes into the organization, but more of an initiative (drawing on voluntary resources) to introduce aspects of change. The case is considered complete
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Review Question	Review Sub-Question	Sub-sub Question	Key Findings	Remarks
<i>(Adapted from overall Review Framework)</i>			<i>(After stating findings Indicate source by letter, corresponding to document list below)</i>	<i>(Include list of documents that may be applicable)</i>
REFORM/INITIATIVE OVERVIEW				
1. Details of the organizational reform/initiative (The 'What' question – what the initiative and reasoning behind it was?)	1.1 A brief summary of the reform/initiative.	1.1.1 What is its purpose? What are the objectives?	ITC created its very own Innovation Lab to boost and better orchestrate innovation efforts. (A.1) It aims is to enhance ITC's role as a frontrunner in Trade-Related Technical Assistance (TRTA) (C.1) Objectives: 1) Offer services to facilitate the development of initiatives 2) Serve as a platform for exchange around innovation 3) Connect ITC to innovations networks 4) Act as a repository of information regarding innovation at ITC	
		1.1.2 When did it start? When did it end?	2015-2017 Started to develop in 2015. In 2017, the ITC Innovation Lab launched its first strategy. The Lab is still ongoing and growing. It has expanded its number of volunteers as well as the number of services provided and initiatives supported.	
		1.1.3 What are the key elements/sub-initiatives?	The Innovation Lab pursues the following intermediate objectives through the initiatives mentioned below: A) Culture – enhance internal ITC innovation culture a. Innovation Heroes Programme b. Innovation Champions Programme c. Pitching Roulette Sessions d. Ad hoc innovation trainings and events e. Innovation Lab Tech Series	

Review Question	Review Sub-Question	Sub-sub Question	Key Findings	Remarks
<i>(Adapted from overall Review Framework)</i>			<i>(After stating findings Indicate source by letter, corresponding to document list below)</i>	<i>(Include list of documents that may be applicable)</i>
			B) Projects – facilitating project innovation <ul style="list-style-type: none"> a. Project Innovation Bootcamp b. Solutions Clinics c. Creative Consulting Services d. Brainstorming Sessions C) Partnerships – building cross-organizational and sectoral partnerships <ul style="list-style-type: none"> a. External network of partners; The Innovation Lab develops and nurtures partnerships with actors outside ITC, including other innovation units in the UN, NGOs, think tanks, incubators and accelerators, research institutions, etc. b. Internal collaboration; the Innovation Lab is an active member of a diverse set of working groups at ITC (Digital Services, Green Economy, Youth Jobs, Processes and Procedures, among others) c. In addition, the Innovation Lab provides support to in house corporate initiatives related to strategic planning, M&E, governance, among others. 	
		1.1.4 When and by whom was it approved?	2015 with the approval of the ITC Executive Director. The Lab's work plan was first submitted to ITC's Senior Management Committee (SMC) for approval in 2016.	
		1.1.5 Was the reform evaluated? What were the achievements, results, and/or outcomes?	So far there was no evaluation of the Lab's work. The Lab sets an annual work plan and has reported back to Senior Management. The Lab is currently in the progress of establishing a proper reporting mechanism.	
	1.2 What were the underlying factors or drivers behind this reform/initiative? Where distinct or additional to broader drivers of change, what specific events or triggers signalled the	1.2.1 What were the drivers? The causes of the initiative, generally an overarching, longer-term shift affecting how the organization operates.	- Scarcity of funds for ITC and Aid for Trade in general - Need to demonstrate value for money - SGDs, shift in international focus and increased private sector participation in development - Improve focus on innovation as the external environment is changing faster than before (C.1)	
		1.2.2 Was there a specific event that acted as a trigger	In 2014, ITC organized its first Open Doors and Innovation Day. The initiatives engaged members of the ITC community that	

Review Question	Review Sub-Question	Sub-sub Question	Key Findings	Remarks
<i>(Adapted from overall Review Framework)</i>			<i>(After stating findings Indicate source by letter, corresponding to document list below)</i>	<i>(Include list of documents that may be applicable)</i>
	start? Each of these will affect the approach, speed, scope, resources and adoption of change management. They can be both expected or unexpected.	to get it started? It may be internal or external. These might include funding depletion, reputational (fraud, mismanagement) or other.	were personally driven by innovation. Follow the Open Doors, these members of the ITC community took the lead on kick-starting the ITC Innovation Lab with the support of ITC's Senior Management. The initiative, as well as the Open Doors, were motivated by the rising prominence of innovation and the shifting international environment around the MDGs/SDGs and Aid for Trade.	
PLAN OF CHANGE MANAGEMENT PROCESS				
2. Which change management approaches have been used in the <u>design</u> of the above reform or initiative? (The 'How' question on design – what did they set out to do?)	2.1 Describe the design or plan for change management in the initiative?	2.1.1 What were the specific objectives of change management within the design of the initiative?	1) Enhancing the internal ITC culture of innovation. Creating an environment that encourages creativity, specialisation and risk taking – as well as helping people at ITC gain the skills and access to resources and space needed to innovate (E.35) 2) Facilitating greater innovation in projects. Facilitating incremental, sometimes radical, innovation that leads to leaner, faster, most cost-efficient and impactful projects responsive to the needs to clients and donors (E.30) 3) Establishing collaboration linkages with external partners and internally among different units to boost fresh and cross-sectional thinking and open new doors to innovation and creativity at ITC.	
		2.1.2 Did the approach to change management draw from established practices (Kotter, McKinsey, PWC, UNLOCK etc) or not? If so, how?	No, the Innovation Lab was not established based on existing change management practices. It grew organically in the organization through individuals and their ideas.	

Review Question	Review Sub-Question	Sub-sub Question	Key Findings	Remarks
<i>(Adapted from overall Review Framework)</i>			<i>(After stating findings Indicate source by letter, corresponding to document list below)</i>	<i>(Include list of documents that may be applicable)</i>
		<p>2.1.3 Was a specific plan prepared outlining the change management process(es)?</p> <p>Who prepared this plan – done internally or by an outside company? If external, please state who?</p>	<p>The ITC Innovation Lab is a grassroots, mostly volunteers driven initiative, which is strongly supported by ITC's Senior Management. It aims at being open and engaging to all. In this direction, the Innovation Lab launches yearly an internal collaboration process for the development of its strategic and operational plans.</p> <p>The current strategic plan was developed through a series of ITC staff brainstorming sessions, organized by the Innovation Lab.</p> <p>Under 1) Culture of Innovation</p> <ul style="list-style-type: none"> - “pitch routlette” – platform for sharing ideas - “innovation heroes” – awards for innovation - “innovation champions” – pilot to engage influencers and build links between the lab and people around ITC (outreach) <p>Under 2) innovation in Projects:</p> <ul style="list-style-type: none"> - “design bootcamp” – customized workshop series to focus on co-creation, testing etc - “solutions clinic” – problem solving workshops - “creative consulting” – on demand support to projects 	
	2.2 How did the triggers of the organizational reform or management initiative influence the change management approach?	2.2.1 What effect, if any, did the drivers or triggers of the reform have on the objectives and plan for change management?	As the Innovation Lab existence was largely influenced by the perceived need to change business as usual coming from external drivers, the Lab adopted culture and project innovation as key pillars.	
IMPLEMENTATION OF CHANGE MANAGEMENT PROCESS				
3. How have the change management approaches been adopted/ adapted and implemented?	3.1 What was the scope – breadth and depth of the change process?	3.1.1 Was it system-wide, organization, department etc.	The Innovation Lab is a unit officially housed under the Division of Country Programmes (DCP). Nevertheless, it aims at being a cross-divisional, all-inclusive initiative.	
	3.2 How was the change management process led?	3.2.1 Who led the change management process? Who was the owner/sponsor of	Supported by the Director of the DCP and the ITC Executive Director and subsequently by ITC's entire Senior Management Committee (SMC).	

Review Question	Review Sub-Question	Sub-sub Question	Key Findings	Remarks
<i>(Adapted from overall Review Framework)</i>			<i>(After stating findings Indicate source by letter, corresponding to document list below)</i>	<i>(Include list of documents that may be applicable)</i>
(The 'How' question on implementation)		the change? What is their position in relation to management?		
		3.2.2 Were consultants involved in implementation? If so, in what role?	No external consultants on innovation were involved in the implementation of the initiative. The Lab was fully developed by members of the ITC community.	
		3.2.3 What was the size of the team? Where was the CM team located?	The Innovation Lab was initiated in 2015 by 4 volunteers. The size of the core team ranges from 10-20 people. No team member works on the initiative full-time. Most of the members volunteer or have a percentage of their time dedicated to the Innovation Lab.	
		3.2.4 Is there an institutionalized function for change management in the organization or was the function time-bound for this specific initiative? <u>If yes, please include information in question 7 as well.</u>	No The ITC Senior Management Committee is tasked to bring about change management within the organization. It can task different parts of ITC to carry forward initiatives.	
		3.2.5 What mechanisms were put in place to oversee the change management process?	The Director of DCP oversees the Innovation Lab's activities and the Innovation Lab team presents its achievements and work plan at least once a year to SMC.	
	3.3 How was the change management process structured?	3.3.1 Did the process have a definitive start and end?	The Lab has no end date.	
		3.3.2 How long did it last?	3 years to date – but ongoing	
	3.4 How was it implemented?	3.4.1 Describe the implementation process (refer to the plan in 2.1.3)	Under 1) culture of innovation <ul style="list-style-type: none"> - Staff engagement - Process of pitching ideas - Engages yearly around 60 ITC people. - Innovation heroes, a peer-to-peer initiative. Under 2) innovation in Projects:	

Review Question	Review Sub-Question	Sub-sub Question	Key Findings	Remarks
<i>(Adapted from overall Review Framework)</i>			<i>(After stating findings Indicate source by letter, corresponding to document list below)</i>	<i>(Include list of documents that may be applicable)</i>
			<ul style="list-style-type: none"> - Identification of 3 core areas; incentives for purpose driven collaboration; a dedicated and well-resourced system management; a technological solution responding to user needs. <p>It is pitched through word-of-mouth and through its activities.</p>	
		3.4.2 What communication mechanisms were used?	<p>Internal blog to share ideas and updates and is in the process of creating an intranet page.</p> <p>Social media, events and competitions, Geneva Universities and other innovation labs. It is pitched through word-of-mouth and through its activities.</p>	
		3.4.3 How was the change initially framed and presented to staff?	A platform for collaboration and creative thinking. It is an initiative of the ITC people for the ITC people with the objective of make ITC a better, more effective and efficient organization to deliver greater results.	
	3.5 How much reflexive learning took place during the process? Was it evaluated during or after?	3.5.1 What learning and adaptive management processes were put in place during or after the CM process? (please specify when put in place in relation to the process)	Annual review and reflection on the previous year's progress. The Lab also carries out a mid-year review.	
4. What have been the resource implications of change management?	4.1 How was the CM budgeted?	4.1.1 What was the source of financing- core resources/XB. Implications.	The initiative is financed through seed extrabudgetary (XB) funding.	
	4.2 What were the major cost elements and actual costs (where available)?	4.2.1 What were the cost elements – financial, human (non-financial), etc? (Actual cost breakdown if possible to estimate)	Main costs, implementation of trainings (hiring external trainers), facilitation of workshops, internal staff and consultants partially funded by the Lab to carry our Innovation Lab project management, coordination and maintain communications as well as to develop partnerships.	

Review Question	Review Sub-Question	Sub-sub Question	Key Findings	Remarks
<i>(Adapted from overall Review Framework)</i>			<i>(After stating findings Indicate source by letter, corresponding to document list below)</i>	<i>(Include list of documents that may be applicable)</i>
			In 2018, the lab received a budget of USD 50.000. USD 30.000 are used for trainings and worships. USD 20.000 are used for management and partnership development.	
RESULTS OF CHANGE MANAGEMENT PROCESS				
5. What are the results and critical success factors of the change process or approach?	5.1 What were the results of the change process? <i>(Is there evidence of sustainability of these changes? What is the degree to which organization is working differently and people are behaving differently? Degrees of result or proxies around these include cost reduction (staff and non-staff); service levels; reduced risks; behavioural changes; improved collaboration etc.)</i>	5.1.1 What were the <u>short-term</u> outputs? How were they assessed?	Staff (35) exposed to design-thinking based innovation technology (is this a change management output?). The Innovation Lab is currently in the process of gathering data for the assessment of its outputs and outcomes achieved in 2017-18.	
		5.1.2 What were the <u>intermediate or long</u> outcomes? How were they assessed? Did they bring about the desired transformation? (linked back to objectives in 2.1.1)	To date, the Innovation Lab has promoted the training of about two hundred and forty of our professionals in innovation methods and practices and supported the launching of twelve new projects or services. The Lab also achieved the inclusion of objectives related to innovation in the strategic plan of the organization, the development of a corporate system for monitoring and managing results in the area and the launching of an internal initiative that is dedicated to solving institutional bottlenecks.	
	5.2 How did the process affect the results?	5.2.1 How did the change management results contributed to the reform results or outcomes and in what way? What is the value-add of the structured process, where used?	More emphasis on innovation in corporate documents such as the ITC Strategic Framework and Operational Plan. The structured process helps to shape a common language and practices; incentivise behaviour around innovation; and provide an institutional focal point in interaction with internal and external parties.	

Review Question	Review Sub-Question	Sub-sub Question	Key Findings	Remarks
<i>(Adapted from overall Review Framework)</i>			<i>(After stating findings Indicate source by letter, corresponding to document list below)</i>	<i>(Include list of documents that may be applicable)</i>
LESSONS FROM CHANGE MANAGEMENT PROCESS				
6. What lessons can be derived to guide future change management initiatives?	6.1 What are considered critical factors +/-	6.1.1 What do those involved, and those affected considered critical factors in success/ failure of the change management process? Are these distinguishable from the reforms behind the change etc.	Reference to challenges: 1) High turnover and conflicting time/other resource priorities 2) More demand than volunteers and part-time staff/in-house consultants can accommodate 3) Budget flex constraints <ul style="list-style-type: none"> engage further with people excited about the lab to take it to next level Further integrate activities with core of ITC projects Irregularity of resources weakening delivery Lab needs a steady team and process of on-boarding Position lab less on volunteering to stronger integration in ITC projects Partnership true value added to ITC colleagues (D.20-24) It has been essential that the grass-roots initiative has received support from Senior Management.	
	6.2 What positive features identified are transferable or scalable, which are not and why?	6.2.1 What features seem to be key to a successful CM process?	Bottom up engagement of staff for real buy-in Clear support from Senior Management Engagement and training of mid-management Inclusion of innovation in ToRs and staff appraisal system Development of programmes that allow staff to “take time” to innovate	
		6.2.2 How unique are these to the context in which they were implemented?	Not unique. Can be implemented in any organization.	
		6.2.3 What generalizable lessons can be identified?	Change management works best when driven bottom up with a strong support from senior management. Channels for open discussion need to be in place and systems need to be put in place to allow change to happen.	

Review Question	Review Sub-Question	Sub-sub Question	Key Findings	Remarks
<i>(Adapted from overall Review Framework)</i>			<i>(After stating findings Indicate source by letter, corresponding to document list below)</i>	<i>(Include list of documents that may be applicable)</i>
	6.3 What has the organization learnt from this process?	6.3.1 Would the organization run the process the same way again, or do things differently? If so, how?	The Innovation Lab aims to continue with its model as it has demonstrated good results for its community and the organization. Taking time to understand what the ITC people needed, what results the Lab wanted to achieve and what was the change desired was a good model, although takes time to mature.	

Document Key

Document	Document Title	Document Source
A.	ITC Innovation Team, Strategic Framework 2016-2020, undated, unpublished	ITC
B.	ITC Innovation Lab Mid-Term Report, 2015, unpublished	ITC
C.	ITC Innovation Lab, Objectives and Work Plan 2017, unpublished	ITC
D.	ITC Innovation Lab, Concept Note, January 2015, unpublished	ITC
E.	ITC Innovation Lab, Review of 2017 and outlook for 2018, unpublished	ITC

7. UNEP – Programme management and implementation

Overall comments	<ul style="list-style-type: none"> This case summary focuses on the reform efforts carried out during the period from 2006/7-2009 while Achim Steiner was the Executive Director of UN Environment Programme. There is clear evidence of a well-organized multi-faceted reform, led from the top and supported by a strategic implementation team. There appears to be evidence of some good results, though the evaluation in 2012/13 suggested that a number of key objectives around building the one UNEP culture, still have some way to go. The SIP team was also dismantled. The documents and comments provided do not provide evidence of a comprehensive approach to change management within this set of reforms (as per JIU definition and guidelines), but rather, good project management. There are one or two elements that may be considered ‘change management’ around HR areas – staff satisfaction measurement, 360 degree PA, etc – but they are not evidentially part of a conscious change process. The case summary is considered complete, based on the information provided.
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Review Question	Review Sub-Question	Sub-sub Question	Key Findings	Remarks
<i>(Adapted from overall Review Framework)</i>			<i>(After stating findings Indicate source by letter, corresponding to document list below)</i>	
REFORM/INITIATIVE OVERVIEW				
1. Details of the organizational reform/initiative (The 'What' question – what the initiative and reasoning behind it was?)	1.1 A brief summary of the reform/initiative.	1.1.1 What is its purpose? What are the objectives?	<p>Purpose:</p> <ul style="list-style-type: none"> a) address administrative, structural and organizational issues to make the organization more effective and efficient in responding to its mandates; b) strengthen its ability to delivery against increasing mandates through its programme of work, including responding to the needs laid out in the Bali Strategic Plan for Technology Support and Capacity Building specifically to be more responsive at regional and national levels; and c) increase funding to the organization. <p><i>(BSP was an inter-governmentally agreed framework for strengthening the capacity of governments in developing countries and countries with economies in transition to coherently address their needs, priorities and obligations in the field of the environment). BSP was adopted by the 23rd Session of UNEP's Governing Council in February 2005.</i></p> <p>Objective: Improving managerial efficiency and effectiveness and it's administrative processes (A.26)</p>	
		1.1.2 When did it start? When did it end?	The support and lead the change management reform, the Executive Director established a Strategic Implementation Team (SIT). The Team was established over a period of a few months and started its work in the first quarter of 2007 and worked until late 2008/early 2009. This was in line with the initial timeline of having the SIT in place for approximately two years. The SIT was ‘dissolved’ in the first quarter of 2009.	

Review Question	Review Sub-Question	Sub-sub Question	Key Findings	Remarks
<i>(Adapted from overall Review Framework)</i>			<i>(After stating findings Indicate source by letter, corresponding to document list below)</i>	
		1.1.3 What are the key elements/sub-initiatives?	<ul style="list-style-type: none"> a) management of financial resources – including resource planning / allocation, resource monitoring / reporting and financial accounting / fiduciary responsibilities; b) management of human resources – including staff satisfaction survey, HR programming, planning and approach, HR administration and HR reporting as well as streamlining of HR recruitment processes and responsibilities; training strategy; voluntary mobility programme; staff reward programme; coaching to staff and other initiatives. c) management of administrative services. (A.26) d) management and improvement of IT services across the organization e) review of the approach to strategic planning, programming and delivery against the Programme of Work. 	
		1.1.4 When and by whom was it approved?	<p>Strategic Implementation Team was formally established by the Executive Director in the first quarter of 2007 with the support of the Senior Management Team and the Committee of Permanent Representatives.</p> <p>The Strategic Implementation Team was reporting directly to the Executive Director working in close collaboration with the Deputy Executive Director and Division Directors.</p>	
		1.1.5 Was the reform evaluated? What were the achievements, results, and/or outcomes?	<p>Based on the experience during the pilot phase in the implementation of the UNEP Medium Term Strategy (MTS) 2010-2013 and Programme of Work (PoW) 2010-2011, UNEP established a Task Team on Programme Management and Implementation to examine how it can strengthen its programme management. The task team conducted a comprehensive review of experience of programme implementation, and focused its deliberation on the major issues identified as follows: 1) Programme delivery in results-based context; 2) Resource allocation and alignment; and 3) Accountability. The table below summarizes the main findings of the Task Team (B.1).</p> <p>The formative evaluation of the 2010-11 programme of work was highly influential in shaping the course of the initiative http://wedocs.unep.org/bitstream/handle/20.500.11822/290/Formative_Evaluation_of_the_UNEP_Programme_of_Work_for_2010-2011.pdf?sequence=1&isAllowed=y. Also the Mid-Term Evaluation of the MTS covered some dimensions of the work. (see Case #1) https://wedocs.unep.org/bitstream/handle/20.500.11822/243/Mid-</p>	

Review Question	Review Sub-Question	Sub-sub Question	Key Findings	Remarks
<i>(Adapted from overall Review Framework)</i>			<i>(After stating findings Indicate source by letter, corresponding to document list below)</i>	
			<p>term_Evaluation_of_the_UNEP_Medium-term_Strategy_2010-2013.pdf?isAllowed=y&sequence=1</p> <p>Major findings:</p> <ol style="list-style-type: none"> 1) <i>Programme delivery in a results-based context.</i> Need to continue to strengthen strategic planning. Causal logic between UNEP's projects and results in the MTS. Must improve quality of its projects. Strengthen compliance with M, E and audit recommendations 2) <i>Resource allocation and alignment.</i> Need to target resources to the implementation of specific outputs in the Plan of Work. Lack of alignment of Environment Fund resources with the PoW is a serious risk. 3) <i>Accountability.</i> Need to strengthen alignment of budget to the MTS going forwards <p>A number of other outcomes and results of the reform included:</p> <ol style="list-style-type: none"> 4) the drafting and approval of the first Medium Term Strategy for UNEP; 5) revamping of programming approach (subprogramme approach) and resource allocation; 6) significant HR improvements and new initiatives; 7) enhanced focus on gender; and 8) upgrading of UNEP IT infrastructure. 	
	<p>1.2 What were the underlying factors or drivers behind this reform/initiative?</p> <p>Where distinct or additional to broader drivers of change, what specific events or triggers signalled the start? Each of these will affect the approach,</p>	<p>1.2.1 What were the drivers? The causes of the initiative, generally an overarching, longer-term shift affecting how the organization operates.</p>	<p>Arrival of Achim Steiner as Executive Director (2006). The Executive Director was advised by Member States to focus on 'making UNEP more efficient and effective and streamlining programming and administrative processes' when he joined UNEP, including addressing issues such as programming, funding and human resources. This was a critical part of his driver to establish initially the Task Teams composed of staff and subsequently the Strategic Implementation Team to lead the implementation of the Task Team recommendations and other reform measures.</p> <p>UNEP suffered a reduction in financial resources of USD 21 million in 2010–2011, after an increase throughout 2006–2009. The considerable reduction in financial support from Italy and Spain was only partially compensated by the increase of contributions by Germany, USA, Sweden and Finland. Despite the intention to increase voluntary contributions to the Environment Fund in order for UNEP to deliver normative work and policy advice, among others, the EF resource base decreased by 9%. (G.24)</p>	

Review Question	Review Sub-Question	Sub-sub Question	Key Findings	Remarks
<i>(Adapted from overall Review Framework)</i>			<i>(After stating findings Indicate source by letter, corresponding to document list below)</i>	
	speed, scope, resources and adoption of change management. They can be both expected or unexpected.		<p>Reviews conducted of UNEP concluding:</p> <ul style="list-style-type: none"> • UNEP lacks organization-wide strategies to define and address its programme support needs; • UNEP lacks a coherent means to integrate programmatic planning (programme of work) with financial and human resources planning. Currently these three processes move in parallel without clear policy guidance and coordination. The lack of which, is at the root of several problems and issues identified by the task force; • There exists a prevailing institutional culture of distrust and lack of delegation, which breeds apathy and lack of accountability, thus negatively affecting programme delivery; • Existing financial, human resources and administrative systems are inefficient, inadequate for effective programme delivery and do not allow for easy cooperation with partners; • UNEP lacks the means to coherently and efficiently interact with its multiple service providers at headquarters and outposted offices and to monitor and evaluate the quality and results of such services; • More than 50% of UNEP (including MEA secretariats) is based away from HQ, however, the existing administrative mechanisms are not adequate to support a decentralized operation (e.g., no adequate ICT support); • UNEP does not apply the same environmental standards and ethics to itself that it promotes to clients (and requires from its partners) and thus cannot lead by example; • UNEP staff desire change and improvement and are ready to take the necessary steps to position UNEP to fulfill its mandate <p>(A.3-4)</p>	
		1.2.2 Was there a specific event that acted as a trigger to get it started? It may be internal or external. These might include funding depletion, reputational (fraud, mismanagement) or other.	<p>As indicated, the triggers were mainly a) new ED and normal for a new ED to review an organization and make recommendations; b) expectations and guidance to reform by Member States; c) staff recommendations on how to enhance the effectiveness of the organization. d) creation of the Strategic Implementation Team</p> <p>There were not 'negative triggers' such as fraud or mismanagement or reputational concerns. The focus was on 'how can we make UNEP better and address areas that are less effective'.</p>	

Review Question	Review Sub-Question	Sub-sub Question	Key Findings	Remarks
<i>(Adapted from overall Review Framework)</i>			<i>(After stating findings Indicate source by letter, corresponding to document list below)</i>	
PLAN OF CHANGE MANAGEMENT PROCESS				
<p>2. Which change management approaches have been used in the <u>design</u> of the above reform or initiative?</p> <p>(The 'How' question on design – what did they set out to do?)</p>	2.1 Describe the design or plan for change management in the initiative?	2.1.1 What were the specific objectives of change management within the design of the initiative?	<p>Based on the analysis in the Managing The Future UNEP (A) and Task Team documents (B,D,E), the objectives that relate to change management appear to be:</p> <ul style="list-style-type: none"> - Addressing the prevailing institutional culture of distrust and lack of delegation, which breeds apathy and lack of accountability, thus negatively affecting programme delivery; - Responding to the UNEP staff desire change and improvement and are ready to take the necessary steps to position UNEP to fulfil its mandate - Strategic planning of programmes, finances and human resources. - Enhance administrative processes, in particular, human resources management, including drafting of Medium Term Strategy and identification of UNEP priorities. - Development of gender action plan. <p>Note: Although the term ‘change management’ was used the initiatives were in most cases considered more as ‘strategic approaches and changes’ in the organization. Hence, the title of the team put in place to lead these changes, namely the Strategic Implementation Team.</p>	All Task Team Reports were reviewed by JIU and no specific mention of change management found.
		2.1.2 Did the approach to change management draw from established practices (Kotter, McKinsey, PWC, UNLOCK etc) or not? If so, how?	No particular approach or framework was the foundation for the change management.	
		<p>2.1.3 Was a specific plan prepared outlining the change management process(es)?</p> <p>Who prepared this plan – done internally or by an outside company? If</p>	<p>A UNEP Strategic Implementation Team Strategy was developed and discussed and adopted by the Senior Management Team.</p> <p>Strategy Paper: Human Resource Management</p> <ul style="list-style-type: none"> - Introduce peer review in staff performance assessment / introduce 360 degree evaluation within 12 months - Introduce anonymous online staff questionnaire on staff satisfaction and management performance every 3 months - Induction package for new staff - Identify training needs / institutionalize mentorship programme 	Discrete elements (not clear overall coherent change management plan(s). Most of the action elements under these strategies are ‘hard’ – relating to systems in place and focus on the ‘what’ – not the how - - how will they be

Review Question	Review Sub-Question	Sub-sub Question	Key Findings	Remarks
<i>(Adapted from overall Review Framework)</i>			<i>(After stating findings Indicate source by letter, corresponding to document list below)</i>	
		external, please state who?	<p>Strategy Paper: Financial Management</p> <ul style="list-style-type: none"> - Train UNEP staff at all levels (including senior managers) on results based management - Organize financial/budgetary training for project managers <p>Strategy Paper: Administrative Services</p> <ul style="list-style-type: none"> - Delegate of authority to directors (for travel; to monitor hospitality approvals within approved budgets etc) <p>Strategy Paper: Vision driven results based programming results oriented</p> <ul style="list-style-type: none"> - Development of Medium Term Strategy <ul style="list-style-type: none"> • defined outcomes supported across organisation • highlights integration across divisions 	implemented, how will staff be involved etc. Note that most of those highlighted are training related.
	2.2 How did the triggers of the organizational reform or management initiative influence the change management approach?	2.2.1 What effect, if any, did the drivers or triggers of the reform have on the objectives and plan for change management?	<p>The triggers were the drivers for how the reform process and approach was developed with focus on the specific areas of work of the Strategic Implementation Team, including programming, finance, human resources, IT and gender.</p> <p>Through the reform process the Executive Director and the Senior Management Team serve as champions of change. The Executive Director was personally presenting many of the reform initiatives to staff demonstrating his commitment and leadership role. This was done through townhall meetings, divisional meetings and written communication. He also presented reform initiatives to the Committee of Permanent Representatives as well as to UN Headquarters. The visible, genuine and committed leadership role of the Executive Director supported by the Deputy Executive Director and the Senior Management Team was critical for creating the necessary commitment among staff towards the change process.</p>	
IMPLEMENTATION OF CHANGE MANAGEMENT PROCESS				
3. How have the change management approaches been	3.1 What was the scope – breadth and depth of the change process?	3.1.1 Was it organization-wide, departmental etc.	Organization-wide, including regional offices.	

Review Question	Review Sub-Question	Sub-sub Question	Key Findings	Remarks
<i>(Adapted from overall Review Framework)</i>			<i>(After stating findings Indicate source by letter, corresponding to document list below)</i>	
adopted/ adapted and implemented? (The 'How' question on implementation)	3.2 How was the change management process led?	3.2.1 Who led the change management process? Who was the owner/sponsor of the change? What is their position in relation to management?	The reform was led by the Executive Director with support by the Deputy Executive Director and Senior Management Team. To manage the reform process the Executive Director established the SIT composed of 5-6 professional staff from the P4 to the D1 level. The SIT was led by a Principal Officer. The SIT reported directly to the Executive Director. The SIT had direct access to the Executive Director with weekly meetings on progress. NB. Much of the reform was built into the approach to developing the MTS and POW	
		3.2.2 Were consultants involved in implementation? If so, in what role?	No external consultants were part of the reform initiative except consultants to carry out e.g. 360 degree assessments, training etc. The Task Team responsible for the review was composed of largely UNEP staff with support from consultants Dalberg. It is understood, though, that Dalberg's role ended with their report. The ED put in place the strategic Implementation Team to drive the change process.	
		3.2.3 What was the size of the team? Where was the CM team located?	The SIT was composed of 1 D1, 3/4 P5 and 1 P4 and 1 GS. The SIT was located in the Executive Office at UNEP Headquarters. The SIT was composed of staff that dedicated 100% of their time to the reform agenda.	The SIT included John Scanlon, Patrick Tiefenbacher, Sheila Aggarwal-Khan and Jacob Duer (currently in Geneva) – they would likely be excellent sources of information if need for follow-up
		3.2.4 Is there an institutionalized function for change management in the organization or was the function time-bound for this specific initiative? If yes, please include	Yes, the SIT was established with the sole purpose of carrying out the reform agenda. The mandate of the SIT was two years. The SIT started its work in late 2006/early 2007 (all team members only onboard in early 2007) and concluded its work in early 2009. The initiative was broadly tied to the Secretariat POW/MTS planning schedules	

Review Question	Review Sub-Question	Sub-sub Question	Key Findings	Remarks
<i>(Adapted from overall Review Framework)</i>			<i>(After stating findings Indicate source by letter, corresponding to document list below)</i>	
		<u>information in question 7 as well.</u>		
		3.2.5 What mechanisms were put in place to oversee the change management process? Did it include the head of organization, the governing body, just senior managers, or other? What role was played by each?	The Executive Director was leading and overseeing the reform process with support from the Deputy Executive Director and Senior Management Team. In addition to regular interaction between the SIT and the Executive Director, the SIT also held ongoing bi-lateral consultations with the Deputy Executive Director and Division Directors and briefing regularly the SMT on the progress of work, including seeking input to and endorsement of initiatives and work carried out.	
	3.3 How was the change management process structured?	3.3.1 Did the process have a definitive start and end?	Yes, the process was very structured with a start date (late 2006/early 2007) and end date (early 2009).	
		3.3.2 How long did it last?	2 years as initially planned.	
	3.4 How was it implemented?	3.4.1 Describe the implementation process (refer to the plan in 2.1.3)	<p>Following the work of the Task Teams and the related recommendations the implementation process was as follows:</p> <ol style="list-style-type: none"> 1. Establishment of the SIT and appointment of staff; 2. Development of an overall strategy and workplan for the SIT which subsequently was approved by the Senior Management Team 3. Development of topic specific strategies and plans for the SIT, i.e. programming, resource planning, human resources, IT and gender. 4. Implementation and monitoring of the plans, including with regular consultation and involvement of senior managers and staff in all the elements of the implementation phase. 5. Final presentation of the achievements of the SIT to the Senior Management Team and the Committee of Permanent Representatives and subsequent termination of the work of the SIT. 	

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<i>(Adapted from overall Review Framework)</i>			<i>(After stating findings Indicate source by letter, corresponding to document list below)</i>	
		3.4.2 What communication mechanisms were used?	Townhall meetings, bilateral meetings with divisions and regional offices, email communication etc. Communication from the Executive Director on the progress of the reform was frequent and transparent.	
		3.4.3 How was the change initially framed and presented to staff?	The change was framed as a direct response to the outcome of the staff led Task Teams and their recommendations. The reform plan was personally presented by the Executive Director to the Senior Management Team followed by a presentation to all staff through a townhall meeting. This was followed up with regular email correspondence and updates from the Executive Director to all staff. The Executive Director also met with the staff union on a regular basis as well as held bilateral meetings with divisions and regional offices.	
	3.5 How much reflexive learning took place during the process? Was it evaluated during or after?	3.5.1 What learning and adaptive management processes were put in place during or after the CM process? (please specify when put in place in relation to the process)	Significant reflective learning took place throughout the implementation phase both on substance, communication with staff and communication of plans and progress. Key learning was to have a regular and ongoing line of communication with all staff to ensure transparency and 'buy-in' from staff to the changes. Feedback mechanisms were established to ensure that staff had a continues contribution and input to the different reform initiatives. Small voluntary focus groups were established around some of the initiatives, in particular on human resources and programming, to solicit input from staff in all the reform development phases.	
4. What have been the resource implications of change management?	4.1 How was the CM budgeted?	4.1.1 What was the source of financing-core resources/XB. Implications.	Core (Environment Fund) and XB resources were made available by the Executive Director based on his discretion within the budget. One donor provided a JPO to support the work of the SIT.	
	4.2 What were the major cost elements and actual costs	4.2.1 What were the cost elements – financial, human (non-financial), etc?	Main costs were related to the staffing of the SIT (1xD1, 4xP5, 1xP4 and 1xGS – Nairobi duty station) and travel costs.	

Review Question	Review Sub-Question	Sub-sub Question	Key Findings	Remarks
<i>(Adapted from overall Review Framework)</i>			<i>(After stating findings Indicate source by letter, corresponding to document list below)</i>	
	(where available)?	(Actual cost breakdown if possible to estimate)	Some HR initiatives and IT improvements had further cost implications. A combination of core and XB resources were made available by the Executive Director to support the reform agenda.	
RESULTS OF CHANGE MANAGEMENT PROCESS				
5. What are the results and critical success factors of the change process or approach?	5.1 What were the results of the change process? <i>(Is there evidence of sustainability of these changes? What is the degree to which organization is working differently and people are behaving differently? Degrees of result or proxies around these include cost reduction (staff and non-staff); service levels; reduced risks; behavioural changes; improved collaboration etc.)</i>	5.1.1 What were the <u>short-term</u> outputs? How were they assessed?	<ul style="list-style-type: none"> - 'Quick wins' and 'quick starts' completed, namely (those that may have CM elements): <ul style="list-style-type: none"> o Resolve bottlenecks concerning UNDP cooperation o Employment of the Month Scheme (- Motivation and recognition tool for staff) o Cross Divisional work mechanisms (- SIT providing a means of facilitating UNEP wide initiatives, including secondment of staff between Divisions, cross Divisional teams, pooling of resources, knowledge networks etc.) - HR results: <ul style="list-style-type: none"> o UNEP organizational effectiveness and staff survey (results not presented) o Increase in #staff receiving recognition for outstanding achievements (based on finalization of reward and recognition scheme) - UNEP wide priorities submitted by Divisions - SIT Work plan for 2007 approved by ED - Road map for medium term strategy drafted - HR training strategy drafted - Gender Action Plan rolled out at regional level 	
		5.1.2 What were the <u>intermediate or long</u> outcomes? How were they assessed? Did they bring about the desired transformation? (linked back to objectives in 2.1.1)	<p>Intermediate:</p> <ul style="list-style-type: none"> - UNEP wide priorities agreed by SMT - Engage UNEP-wide on Strategic framework for 2010-2011 – including staff training - UNEP ICT platform operational <p>Long term (more outputs than outcomes):</p> <ul style="list-style-type: none"> - Medium term Strategy drafted incorporating agreed priorities - Strategic Framework for 2010-11 finalized - Costed work plan 2008 more results based - HR strategy drafted and approved by SMT 	

Review Question	Review Sub-Question	Sub-sub Question	Key Findings	Remarks
<i>(Adapted from overall Review Framework)</i>			<i>(After stating findings Indicate source by letter, corresponding to document list below)</i>	
		<p>Examples of specifically change management outcomes (changes in practice and behaviour)</p> <ul style="list-style-type: none"> - Defined improvements in accountability as a consequence of redefined and communicated roles and responsibilities - Staff satisfaction levels - Client satisfaction levels 	<ul style="list-style-type: none"> - ICT strategy drafted and approved by SMT - IMIS+ and DMS operational (by January) - Medium term Strategy approved by GC - Programme of work and Support Budget for 2010-2011 approved by GC - UN Enterprise Resource Planning System underway <p>Some findings from the Evaluation Synthesis Report (G):</p> <ul style="list-style-type: none"> • Current management approach is not providing clear lines of authority and accountability; (G.22) • Whilst UNEP has made significant progress in building the “one UNEP” approach and in coordinating and supporting coherent implementation of the SPs at the regional and national levels, there is still room for improvement in communication and collaboration between divisions and regional offices, and enabling the ROs to be more directly involved in the MTS planning process. (G.22) • The MTS matrix structure has increased cooperation and coordination among Divisions to some extent, but the “One UNEP” culture is still largely absent and the matrix system is still perceived to be too much tied up with Division leadership. The rivalry among Divisions, low trust between OfO and Divisions and the perceived poor management capacities of some high-level ranked staff are seriously affecting the morale of UNEP staff. (G.23) • Staff capacity development has not been regular due to limited resources and appeared to be of less priority to the MTS development and implementation process despite the strong support this had from the Executive Office. A Strategic Implementation Team (SIT) was established to draft a Training and Learning Strategy for UNEP and its administered MEAs, but when the SIT was dismantled in early 2010, no dedicated staff was appointed to carry the task forward and the Strategy remained as a draft (G.23) 	
	5.2 How did the process affect the results?	5.2.1 How did the change management results contributed to the reform results or outcomes and in what way?	<p>Overall results can be summarized as follows</p> <p><u>Operating as One UNEP ie</u></p> <ul style="list-style-type: none"> - delivering on agreed organization-wide priorities - integrated results based programme based on agreed priorities - one website and one identity - connected internally and externally - knowledge management excellence 	

Review Question	Review Sub-Question	Sub-sub Question	Key Findings	Remarks
<i>(Adapted from overall Review Framework)</i>			<i>(After stating findings Indicate source by letter, corresponding to document list below)</i>	
		What is the value-add of the structured process, where used?	<ul style="list-style-type: none"> - human resource excellence <p><u>Delivering on One UN and Bali ie</u></p> <ul style="list-style-type: none"> - fully engaged across divisions in One UN pilot countries + - stronger regional presence and more responsive at the country level - strong influence on undg - respected science base - partner of choice <p>The above results would not have materialized unless the reform had taken place in a structured way and with dedicated resources.</p> <p>A key factor to the success of the reform was the allocation of dedicated human resources, transparency, leadership by the Executive Director and the Senior Management Team, involvement of staff throughout the reform process and buy-in by and regular briefings to Member States through the Committee of Permanent Representatives.</p>	
LESSONS FROM CHANGE MANAGEMENT PROCESS				
6. What lessons can be derived to guide future change management initiatives?	6.1 What are considered critical factors +/-	6.1.1 What do those involved, and those affected considered critical factors in success/ failure of the change management process?	<p><u>Factors (+)</u></p> <ul style="list-style-type: none"> - Executive Director visible leadership and acting as champion of change - Dedicated human resources to reform (SIT) - Buy-in from staff and Member States - Transparency - Time limited reform agenda (2 years) <p><u>Factors (-):</u></p> <ul style="list-style-type: none"> - Difficult to sustain momentum, continued commitment and excitement over time - Alignment of UNEP reform agenda with UN reform agenda, rules etc. 	
	6.2 What positive features identified are	6.2.1 What features seem to be key to a	<ul style="list-style-type: none"> - Visible leadership and commitment from the Executive Director. - Dedicated human resources - Communication and transparency 	

Review Question	Review Sub-Question	Sub-sub Question	Key Findings	Remarks
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	transferable or scalable, which are not and why?	successful CM process?	- Involvement of all staff throughout, including ability to influence and shape the change.	
		6.2.2 How unique are these to the context in which they were implemented?	The above are not unique to the change process that UNEP went through but were critical for its success.	
		6.2.3 What generalizable lessons can be identified?	<ul style="list-style-type: none"> - Change only happens if the organizational leadership drives it and if the staff has trust in the leadership, the objectives set for the change and the implementation mechanism put in place for the change process. - Change is participatory and cannot be forced on staff or the organization. - Without the necessary communication plans and tools to communication the change process will likely not succeed - Allocation of dedicated resources. Change management is not 'an additional' job to existing staff but a function in itself. - Change needs to be time bound with a start and end date. 	
	6.3 What has the organization learnt from this process?	6.3.1 Would the organization run the process the same way again, or do things differently? If so, how?	Lessons learned can be drawn from the above.	

Change Management Functions in the Organization

If information on organizational level change management initiatives is found while reading through documents, please note details/findings below

Review Question	Review Sub-Question	Additional Description	Key Findings
7. To what extent have change management functions been institutionalized?	7.1 Does the Participating Organization (PO) have a Change Management function – formalized or otherwise?	7.1.1 Is there a team – time-bound or fixed – working on CM across multiple initiatives (i.e. beyond a single time-bound change process)?	No
	7.2 What are its objectives?	7.2.1 How was it established? When? What is its purpose? How sustainable is it?	N/A
	7.3 How is it structured, staffed and funded?	7.3.1 How many staff, and at what grades? Who does it report to? How is it funded and to what levels?	N/A

Document Key

Document	Document Title	Document Source
A.	Managing the Future UNEP, September 2006, Report of the Task Team – Improving Managerial Efficiency and Effectiveness and Administrative Processes	UNEP
B.	Task Team Report on Programme Management and Implementation, September 2011, Unpublished	UNEP
C.	Terms of Reference, Task Team on the Medium Term Strategy 2014-2017 and PoW 2014-2015, undated, unpublished.	UNEP
D.	Management Note, 2012, Response to UNEP Task Team Reports, Internal and External Evaluations, unpublished.	UNEP
E.	Report of the UNEP Task Team on Programme Management, February 2015	UNEP
F.	UN Environment Reform Advisory Committee, January 2018, Programme and Project Design and Implementation at UN Environment	UNEP
G.	UNEP Evaluation Office, March 2014, 2012-13 Evaluation Synthesis Report	JIU identified

8. UNEP – Restructuring and regionalization

Overall comments	<ul style="list-style-type: none"> • Clear exposition of the purpose of the reforms, the drivers behind these, and their contents. • Evidence of elements of how some of reforms were implemented, and evaluated (in part), but no evidence of the specific and intentional use of change management approaches and practices. (Refer here to JIU definition paper and guide). • The case is therefore not considered as an exposition of change management, but useful information on reform drivers. • The case is now closed unless further specific evidence on change management is presented
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Review Question	Review Sub-Question	Sub-sub Question	Key Findings	Remarks
<i>(Adapted from overall Review Framework)</i>			<i>(After stating findings Indicate source by letter, corresponding to document list below)</i>	
REFORM/INITIATIVE OVERVIEW				
1. Details of the organizational reform/initiative (The 'What' question – what the initiative and reasoning behind it was?)	1.1 A brief summary of the reform/initiative.	1.1.1 What is its purpose? What are the objectives?	<p>Purpose: Enhancing UNEP's ability to support the environmental dimension of sustainable development as defined under Rio+20</p> <p>Objective: Progressively consolidating HQ functions in Nairobi and strengthening regional presence to assist countries in the implementation of national environmental policies (A.1)</p>	
		1.1.2 When did it start? When did it end?	<p>UNEP issued its first Policy Paper on strengthening its regional presence in January 2009 - Moving Forward with UNEP's Strategic Presence 2010-2013, SMT Policy Paper. Subsequent papers and strategies were developed through a working group to inform UNEP's positioning and response to the UN reform – such as: UNEP's Guidance Note - Delivering as One at the Country Level, 2011; UNDG Guidance Note on Mainstreaming Environmental Sustainability into UNDAF; Integrating Climate Change Considerations into Country Analysis; A suite of Facilitation and Training Manuals for UNDG Country Programming and UNDAFs; Definition of Headquarters functions, Expert Sub Group working paper, July 2013; Comparative Assessment of selected UN entities with respect to the location and function of their offices away from headquarters, Expert Sub Group working paper, August 2013.</p> <p>Following the Rio+20 Summit, the GA resolution 67/213 and the UNEP GC decision 27/2, an internal review of the Regional Strategic Presence was initiated in October 2013. There has been continuous review of its</p>	

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<i>(Adapted from overall Review Framework)</i>			<i>(After stating findings Indicate source by letter, corresponding to document list below)</i>	
			presence in the regions and countries to better respond to and support the priorities and needs of the member states and the regions.	
		1.1.3 What are the key elements/sub-initiatives?	<p>1. Strengthening UNEP's regional strategic presence further, to assist countries in the implementation of their national environmental programmes and foster the integration of environmental considerations in sectorial policies</p> <p>2. Mainstream roles, profiles and functions of UNEP regional offices and their role in implementing the Programme of Work at regional and national levels.</p> <p>3. Work towards global consensus and policy coherence on key issues relating to environmental sustainability, and creatively pursue the specific opportunities and approaches that are available regionally, and to foster effective and relevant partnerships.</p> <p>4. Enhancing the participation of relevant stakeholders, particularly those from developing countries, drawing on best practices and models (A.2)</p>	
		1.1.4 When and by whom was it approved?	Para 88 of outcome document of Rio+20, adopted by GA Resolution 67/213, December 2012 (A.1), UNEP GC Decision 27/2 ¹	
		1.1.5 Was the reform evaluated? What were the achievements, results, and/or outcomes?	<p>The first UNEP policy – Strategic Presence Policy – which contained elements on strengthening regional presence was issued in January 2009. Following a number of decisions and resolutions, a review of the policy was initiated in October 2013. This culminated with the release of a new policy – Strategic Regional Presence in June 2015. In addition to the updated policy, an Operational Guidance Note was issued to not only operationalize its strategic regional presence (SRP) policy, but also strengthen a One UNEP and integrated approach in delivering its programme and services to Member States at different levels.</p> <p>Findings (docs E and F) from Mid-Term Evaluation of the 2010-13 Medium-Term Strategy (MTS):</p>	

¹ Twenty-seventh session of the Governing Council/ Global Ministerial Environment Forum at its first universal session, 18–22 February 2013

Review Question	Review Sub-Question	Sub-sub Question	Key Findings	Remarks
<i>(Adapted from overall Review Framework)</i>			<i>(After stating findings Indicate source by letter, corresponding to document list below)</i>	
			<ul style="list-style-type: none"> • UNEP's impact needs to be felt at national level if UNEP is to deliver key components of its SPs, namely to promote capacity building, to implement pilot projects and to provide long-term country-level support. (E.17) • Current management approach is not providing clear lines of authority and accountability; (E.22) • Whilst UNEP has made significant progress in building the "one UNEP" approach and in coordinating and supporting coherent implementation of the SPs at the regional and national levels, there is still room for improvement in communication and collaboration between divisions and regional offices, and enabling the ROs to be more directly involved in the MTS planning process. (E.22) (as of 2012). By end of 2013 "Good progress made in strengthening the role of the Regional Offices in the design and implementation of the MTS and PoWs.. but still significant challenges with respect to developing and implementing an appropriate role for the ROs in programme implementation • The MTS matrix structure has increased cooperation and coordination among Divisions to some extent, but the "One UNEP" culture is still largely absent and the matrix system is still perceived to be too much tied up with Division leadership. The rivalry among Divisions, low trust between OfO and Divisions and the perceived poor management capacities of some high-level ranked staff are seriously affecting the morale of UNEP staff. (E.23) • Staff capacity development has not been regular due to limited resources and appeared to be of less priority to the MTS development and implementation process despite the strong support this had from the Executive Office. A Strategic Implementation Team (SIT) was established to draft a Training and Learning Strategy for UNEP and its administered MEAs, but when the SIT was dismantled in early 2010, no dedicated staff was appointed to carry the task forward and the Strategy remained as a draft (E.23) 	
	1.2 What were the underlying factors or drivers behind this reform/initiative?	1.2.1 What were the drivers? The causes of the initiative, generally an overarching, longer-term shift affecting	1) UN delivering as one – increased UN focus on the country level, coordination and the integration of environmental sustainability into the UNDAFs	

Review Question	Review Sub-Question	Sub-sub Question	Key Findings	Remarks
(Adapted from overall Review Framework)			(After stating findings Indicate source by letter, corresponding to document list below)	
	Where distinct or additional to broader drivers of change, what specific events or triggers signalled the start? Each of these will affect the approach, speed, scope, resources and adoption of change management. They can be both expected or unexpected.	how the organization operates.	2) Increased focus on building country capacities – to assist them with national environmental policies (as outlined in GA resolution 67/213) and to effectively engage in the post-2015 and RIO+20 processes	
		1.2.2 Was there a specific event that acted as a trigger to get it started? It may be internal or external. These might include funding depletion, reputational (fraud, mismanagement) or other.	<p>The initial trigger, in 2007, was the Aid and Development Effectiveness and Delivering as One efforts calling on UNEP (as a Non-Resident Agency) to support and engage in the development and implementation of the UNDAFs, coordinate with the UN Country Teams and the Delivering-as-One UN at country level.</p> <p>Subsequent triggers came from Para 88 of outcome document of Rio+20, adopted by GA Resolution 67/213, December 2012 (A.1) and the UNEP GC Decision 27/2. Paragraph 88 articulated the outcomes of Rio +20 calling for a gradual consolidation of Headquarters functions in Nairobi and simultaneous strengthening of UNEP’s regional presence. This was also reiterated in Governing Council Decision 27/13 with a request to report on the progress on the implementation of this decision at the UN Environment Assembly in June 2014 and to report on the implementation of this decision by 2016.</p> <p>Maybe the QCPR and the DaO Tirana decisions can also be triggers</p>	
PLAN OF CHANGE MANAGEMENT PROCESS				
2. Which change management approaches have been used in the <u>design</u> of the above reform or initiative? (The 'How' question on design – what did they set out to do?)	2.1 Describe the design or plan for change management in the initiative?	2.1.1 What were the specific objectives of change management within the design of the initiative?	<p>The strategy included strengthening of HR and capacities both within UNEP and in the UNDG.</p> <p>The June 2015 policy Strategic Regional Presence as well as the associated operational guidance note are implemented together with the Delegation of Authority Policy and Framework (DAPF), the revised Accountability Framework and the revised Programme Manual. They were aimed at strengthening:</p> <ul style="list-style-type: none">(i). a One UNEP philosophy and corporate identity among staff at headquarters (HQs) and in regional offices (ROs).(ii). promoting UNEP-wide positions and solutions the collective accountability of the Regional Offices, Divisions and Offices.(iii). strengthening the integration of UNEP normative work on-the-ground – at regional, subregional and national levels;	

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			<p>(iv). promoting synergies and coherence on UNEP work on the ground and closer coordination with other stakeholders at the regional, subregional and national levels.</p> <p>(v). Establish or strengthen partnerships to mobilise and leverage resources towards the environmental priorities set forth by UNEP's governing body.</p>	
		2.1.2 Did the approach to change management draw from established practices (Kotter, McKinsey, PWC, UNLOCK etc) or not? If so, how?	No information available on this from the documents provided	
		<p>2.1.3 Was a specific plan prepared outlining the change management process(es)?</p> <p>Who prepared this plan – done internally or by an outside company? If external, please state who?</p>	<p>No direct evidence of specific 'change management' plans.</p> <p>There are plans outlining 'implementation' of the UN Aid and Development Effectiveness in relation to the Bali Strategic Plan, the Tirana outcomes, and the strengthening of the Regional Offices and UNEP Delivering as One. The development of both the 2009 and 2015 UNEP policy on Strategic Regional Presence as well as the associated operational guidance note was an internal process led by senior management. It involved wide consultation of staff from Regional offices, Divisions and other Offices in headquarters (through virtual and physical meetings).</p> <p>What was the approach to engage with staff and stakeholders? Was a change management team set up? Was there a specific process plan for the change, training and engagement? This links back to the specific change objectives. Yes, a working group (a few) were set up, at different levels – both operationally and senior levels.</p>	
	2.2 How did the triggers of the organizational reform or management initiative influence the change management approach?	2.2.1 What effect, if any, did the drivers or triggers of the reform have on the objectives and plan for change management?	Through the designation of Subprogramme Coordinators at the regional level, a strengthened internal coordination in the design and implementation of projects was accomplished. A One UNEP spirit emerged. These also allowed for a more coherent delivery of UNEP's Programme of work and synergies among projects at the regional, subregional and national level	

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IMPLEMENTATION OF CHANGE MANAGEMENT PROCESS				
3. How have the change management approaches been adopted/ adapted and implemented? (The 'How' question on implementation)	3.1 What was the scope – breadth and depth of the change process?	3.1.1 Was it organization-wide, department etc.	Organization-wide	
	3.2 How was the change management process led?	3.2.1 Who led the change management process? Who was the owner/sponsor of the change? What is their position in relation to management?	The Executive Director and Deputy Executive Director	
		3.2.2 Were consultants involved in implementation? If so, in what role?	We had some consultants help with the strategic planning, and also change was based on the Dalberg Report (2007) and the Formative Evaluation (UNEP Evaluation office 2015), etc.	
		3.2.3 What was the size of the team? Where was the CM team located?	The former Division of Regional Cooperation (DRC), Inter-Agency and Country Level Coordination Unit (ICCU), then the Regional Support Office was assigned with coordination and drafting of the Policy on Strengthening Strategic Regional Presence as well as the Operational Guidance Note.	
		3.2.4 Is there an institutionalized function for change management in the organization or was the function time-bound for this specific initiative? <u>If yes, please include information in question 7 as well.</u>	Not evident at this stage.	
		3.2.5 What mechanisms were put in place to oversee the change management process? Did it include the head of organization, the governing body, just senior managers, or other? What role was played by each?	The Executive Director and Deputy Executive Director oversaw the changes through the Senior Management Team and by requesting updates from the Director of the former Division for Regional Cooperation and Regional Support Office. In addition, Member States monitored progress by requesting update reports from the UNEP Secretariat.	

Review Question	Review Sub-Question	Sub-sub Question	Key Findings	Remarks
<i>(Adapted from overall Review Framework)</i>			<i>(After stating findings Indicate source by letter, corresponding to document list below)</i>	
	3.3 How was the change management process structured?	3.3.1 Did the process have a definitive start and end?	<p>Strengthening regional presence is a continuous process.</p> <p>In October 2017, the current Executive Director, Mr. Erik Solheim, established a Country presence Committee Tasked to provide strategic recommendations on how to strengthen country and sub-regional country presence within the context of the reform of the United Nations Development System. The work of the Committee has been informed by: a) the on-going Secretary-General's reform process; b) UN environment's delegation of authority and accountability frameworks; c) the mapping of existing country and sub-regional presence, d) lessons learned, and e) innovative ideas and approaches. The Country Presence report is still in draft. The adopted General Assembly Resolution on the repositioning of the UN development system calls on the Secretary-General to develop a set of criteria of determining UN agencies presence in country; this will not be available until later in the year (as part of an implementation plan for this Resolution). Once the details of these criteria are known, the Committee will need to include it in the report and adjust recommendations as needed. The Resolution also calls for the Secretary-General to prepare a detailed funding compact which will guide UN environment's fund-raising efforts and this will also need to be integrated into the final report.</p> <p>Further to the report mentioned above, in August 2018, the new Deputy Executive Director requested all regional offices to propose a list of priority sub-regional/ country presence in each region based on a few criteria i.e. rationale, proposed office structure and host location, funding option, etc. A list of priority sub-regions/countries is available to be further tabled in the next Senior Management Meeting in November 2018 for discussion.</p> <p>All documents mentioned have still not been shared.</p>	
		3.3.2 How long did it last?	Ongoing	
	3.4 How was it implemented?	3.4.1 Describe the implementation process (refer to the plan in 2.1.3)	No information available on this from the documents provided	There is no reference in any of the documentation to

Review Question	Review Sub-Question	Sub-sub Question	Key Findings	Remarks
<i>(Adapted from overall Review Framework)</i>			<i>(After stating findings Indicate source by letter, corresponding to document list below)</i>	
		3.4.2 What communication mechanisms were used?	No information available on this from the documents provided	specific change management processes. T
		3.4.3 How was the change initially framed and presented to staff?	No information available on this from the documents provided	
	3.5 How much reflexive learning took place during the process? Was it evaluated during or after?	3.5.1 What learning and adaptive management processes were put in place during or after the CM process? (please specify when put in place in relation to the process)	No information available on this from the documents provided	
4. What have been the resource implications of change management?	4.1 How was the CM budgeted?	4.1.1 What was the source of financing- core resources/XB. Implications.	Delivering-as-One Officers were supported by XB (Norway), then through funding (implementation of the UNDAF project) with funds from Norway and Sweden. Environment Fund money was used to support the strategic presence work. In addition, the creation of Regular Budget posts for regional development coordinators, regional sub-programme coordinators and sub-programme coordinators – decisions at the ACABQ for Regular Budget post creation were all tied to this reform process – One UNEP and One UN and strengthening regional offices and presence.	
	4.2 What were the major cost elements and actual costs (where available)?	4.2.1 What were the cost elements – financial, human (non-financial), etc? (Actual cost breakdown if possible to estimate)	No information [On the above there was a paper on this submitted to the ACABQ, but we could not get it up to now.]	
RESULTS OF CHANGE MANAGEMENT PROCESS				
5. What are the results and critical success factors of the change process or approach?	5.1 What were the results of the change process?	5.1.1 What were the <u>short-term</u> outputs? How were they assessed?	<ul style="list-style-type: none"> • More coherence in the delivery • Synergies among projects • Better use of the resources • Strengthen policy dialogue with Member States and other stakeholders, including other UN System agencies and programmes 	

Review Question	Review Sub-Question	Sub-sub Question	Key Findings	Remarks
<i>(Adapted from overall Review Framework)</i>			<i>(After stating findings Indicate source by letter, corresponding to document list below)</i>	
	<i>(Is there evidence of sustainability of these changes? What is the degree to which organization is working differently and people are behaving differently? Degrees of result or proxies around these include cost reduction (staff and non-staff); service levels; reduced risks; behavioural changes; improved collaboration etc.)</i>		<ul style="list-style-type: none"> • Leverage of resources at the local level towards common objectives • Broaden the network of partners 	
		5.1.2 What were the <u>intermediate or long</u> outcomes? How were they assessed? Did they bring about the desired transformation? (linked back to objectives in 2.1.1)	No information available on this from the documents provided	
	5.2 How did the process affect the results?	5.2.1 How did the change management results contributed to the reform results or outcomes and in what way? What is the value-add of the structured process, where used?	No information available on this from the documents provided	
LESSONS FROM CHANGE MANAGEMENT PROCESS				
6. What lessons can be derived to guide future change management initiatives?	6.1 What are considered critical factors +/-	6.1.1 What do those involved, and those affected considered critical factors in success/ failure of the change management process?	Ensure the involvement of staff in the discussions In case of any training requirement for the implementation of the change management initiatives, budget the resources needed	

Review Question	Review Sub-Question	Sub-sub Question	Key Findings	Remarks
<i>(Adapted from overall Review Framework)</i>			<i>(After stating findings Indicate source by letter, corresponding to document list below)</i>	
		Are these distinguishable from the reforms behind the change etc.		
	6.2 What positive features identified are transferable or scalable, which are not and why?	6.2.1 What features seem to be key to a successful CM process?	No information available on this from the documents provided	
		6.2.2 How unique are these to the context in which they were implemented?	No information available on this from the documents provided	
		6.2.3 What generalizable lessons can be identified?	No information available on this from the documents provided	
	6.3 What has the organization learnt from this process?	6.3.1 Would the organization run the process the same way again, or do things differently? If so, how?	No information available on this from the documents provided	

Document Key

Document	Document Title	Document Source
A.	UNEP Memo from Executive Director to All Staff, October 2013, A New Structure and Configuration for UNEP's Regional Cooperation Functions and Services, unpublished	UNEP
B.	UNEP Board Document, April 2014, Report of the Executive Director, Implementation of Governing Council Decision 27/2, Consolidation of HQ functions. UNEP/EA.1/2/Add.5,	UNEP
C.	UNEP Policy Paper, June 2015, Strengthened UNEP Strategic Regional Presence: Contributing to the Future We Want	UNEP
D.	UNEP Executive Director Memo, May 2016, UNEP Strategic Regional Presence: Operational Guidance Note (cover memo and guidance note)	UNEP
E.	UNEP Evaluation Office, March 2014, 2012-13 Evaluation Synthesis Report	JIU identified
F.	UNEP Evaluation Office, February 2013, Mid-Term Evaluation of UNEP's Medium-Term Strategy 2010-13	JIU identified

9. UNEP - Internal reforms

Overall comments	<ul style="list-style-type: none"> A series of internal reforms, and five reform reports were prepared on staff recruitment, procurement, travel, consultants and programme/project design and implementation. A draft plan (outlined in a TOR) to have fairly extensive change management, in particular focused on consultations across the staff, staff competency mapping and communications were outlined. This has subsequently been halted further to the arrival of the Deputy Executive Director and thereafter to the resignation of the Executive Director. However, under the leadership of the Deputy Executive Director, now acting Executive Director, a Management Plan of Action is being developed, which will include change management initiatives. This case will be considered in terms of how UNEP is starting to think about change management as part of its organization evolution.
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Review Question	Review Sub-Question	Sub-sub Question	Key Findings	Remarks
<i>(Adapted from overall Review Framework)</i>			<i>(After stating findings Indicate source by letter, corresponding to document list below)</i>	
REFORM/INITIATIVE OVERVIEW				
1. Details of the organizational reform/initiative (The 'What' question – what the initiative and reasoning behind it was?)	1.1 A brief summary of the reform/initiative.	1.1.1 What is its purpose? What are the objectives?	Purpose: Enhancing the focus on UNEP on 'people and planet' rather than process Objective: i) decentralize power within UNEP – strengthening regional, sub-regional and country offices; ii) reduce hierarchy within the organization – cut layers of bureaucracy (A1)	
		1.1.2 When did it start? When did it end?	September 2017 (A1) email from then ED, Erik Solheim. Ongoing, though acting Executive Director now, so unclear exactly how it will go ahead.	
		1.1.3 What are the key elements/sub-initiatives?	Improving efficiencies and effectiveness in the processes of: i) staff recruitment ii) procurement iii) consultants/consultancies iv) travel v) programme and project design and implementation	
		1.1.4 When and by whom was it approved?	Executive Director, 2017	
		1.1.5 Was the reform evaluated? What were the achievements, results, and/or outcomes?	Not evaluated, just started.	

Review Question	Review Sub-Question	Sub-sub Question	Key Findings	Remarks
<i>(Adapted from overall Review Framework)</i>			<i>(After stating findings Indicate source by letter, corresponding to document list below)</i>	
	<p>1.2 What were the underlying factors or drivers behind this reform/initiative?</p> <p>Where distinct or additional to broader drivers of change, what specific events or triggers signalled the start? Each of these will affect the approach, speed, scope, resources and adoption of change management. They can be both expected or unexpected.</p>	<p>1.2.1 What were the drivers? The causes of the initiative, generally an overarching, longer-term shift affecting how the organization operates.</p>	<ol style="list-style-type: none"> 1. While UN Environment is the lead organization regarding the environmental aspects of the SDGs, custodian of 36 SDG targets, adopting the integrated approach, this global mandate is not enough to meet what member states expect of us. Countries require assistance in the processes for getting them ready for SDG implementation as well as for data and information for baselines and tracking implementation of the goals and targets. this still requires to be translated into UN Environment's Programme of Work. 2. The need to start the preparations for the next Medium Term Strategy (MTS) and express requests from some member States for more clarity on Programme of Work implementation. 3. The need for an effective private sector strategy that contributes to achieve tangible and fast improvements with respect to private sector operations that negatively impact the environment 4. The need to optimise the use of talented and experienced staff, including via a new organisational structure that allows effective staff mobility and contributes to enhancing staff career option, management of staff talents, while at the same time considering staff wellbeing and boosting morale. 5. More structured system for a cross-divisional-offices-regions-subregions-country team work that uses the organizational and staff knowledge at the right time in the right place for the right purpose. 6. Enhance staff moral and deal with grievances, (re)establish trust and sense of purpose. 7. Build a culture of innovation, creativity and knowledge management. 8. Reduce the gap between senior management and staff in terms of perception, importance and realisation of the set goals and targets to minimise the notion of them and us. 9. Introduce a more structured system for appreciation and recognition for staff that consistently demonstrate more than satisfactory contribution to agenda, results and outputs of the organisation. 10. Transitioning regional offices from ones whose primary role is representational, to one that integrates representation, programme development and implementation, and resource mobilization. 11. Re-positioning Un Environment to respond to and implement the UN Secretary General reforms, particularly related to regionalization, 	

Review Question	Review Sub-Question	Sub-sub Question	Key Findings	Remarks
<i>(Adapted from overall Review Framework)</i>			<i>(After stating findings Indicate source by letter, corresponding to document list below)</i>	
			delivering through UN Country Teams including support to UN development Assistance Framework (UNDAF) and support to the “neutral” UN Resident Coordination system, implementing UN Environment mandate at national and regional levels.	
		1.2.2 Was there a specific event that acted as a trigger to get it started? It may be internal or external. These might include funding depletion, reputational (fraud, mismanagement) or other.	Arrival of new Executive Director in June 2016. Establishment of a Reform Advisory Committee in September 2017.	
PLAN OF CHANGE MANAGEMENT PROCESS				
2. Which change management approaches have been used in the <u>design</u> of the above reform or initiative? (The 'How' question on design – what did they set out to do?)	2.1 Describe the design or plan for change management in the initiative?	2.1.1 What were the specific objectives of change management within the design of the initiative?	Implementing a structured change management process, it is anticipated that by 2019, UN Environment will be recognized by the international community as seriously moving towards becoming an effective and efficient UN programme demonstrating impact, tackling priority environmental issues, engaging member states and stakeholders, effectively mobilizing the private and the finance sectors, and highly rated by the public as the most and best fit for the purpose programme lead by effective, highly motivated and talented staff employing the state-of-the-art innovative operations. (Source: B, page 1)	
		2.1.2 Did the approach to change management draw from established practices (Kotter, McKinsey, PWC, UNLOCK etc) or not? If so, how?	No evidence of this	
		2.1.3 Was a specific plan prepared outlining the change management process(es)? Who prepared this plan – done internally or by an	A draft change management TOR was developed (May, 2018) outlining the following areas (Doc B.pp3-5): 1) Reviewing organizational structures 2) Conducting staff competency mapping 3) Conducting wide consultations with staff at all levels – groups and individuals 4) Results-based planning and budgeting	

Review Question	Review Sub-Question	Sub-sub Question	Key Findings	Remarks
<i>(Adapted from overall Review Framework)</i>			<i>(After stating findings Indicate source by letter, corresponding to document list below)</i>	
		outside company? If external, please state who?	<p>5) Communications</p> <p>A reasonable level of detail of what should be covered in each of these areas is outlined in the TOR. It can't be considered a full 'plan' as such, but the starting point (perhaps it falls more in the realm of 'readiness assessment')</p> <p>Of these, the focus of 2), 3) and 5) are explicitly focused on CM</p> <p>For example, 5) Comms – includes:</p> <ul style="list-style-type: none"> • Develop an effective Change Management Communication strategy and plan, internally and externally, including identifying appropriate mechanisms to promote good communications for all divisions, offices and staff involved in the Change Management process. • Review the results of the communications survey that was conducted in 2016 and extract lessons and recommend actions to enhance strengths and tackle weaknesses. • Revise communication strategy and strengthen provisions for programme managers with a clean mandate to communicate their work and maximize on potential communication channels for UN Environment. <p>Pre reform planning – In May 2017, as a first step to initiate a reform process, the Executive Director convened an informal lunch meeting with its Senior Management Team to brainstorm on how UN Environment could be at the forefront in supporting the Secretary-General reforms (C.1).</p> <p>However, the caveat is that, the TORS (above) did not get traction and the change management team <u>was not</u> put together as planned. However, under the leadership of the Deputy Executive Director, now acting ED, a Management Plan of Action is being developed, which will include change management initiatives.</p>	
	2.2 How did the triggers of the organizational reform	2.2.1 What effect, if any, did the drivers or triggers of the reform have on the	The former Executive Director' primary objective for management reforms was to reduce bureaucracy and encourage staff to focus on delivering UNEP's work as fast as possible and in an impactful manner. In particular,	

Review Question	Review Sub-Question	Sub-sub Question	Key Findings	Remarks
<i>(Adapted from overall Review Framework)</i>			<i>(After stating findings Indicate source by letter, corresponding to document list below)</i>	
	or management initiative influence the change management approach?	objectives and plan for change management?	he prioritized reforms related to travel and HR processes and practices. He wanted all staff across the organization to be engaged in the reform process with ideas. With those objectives in mind the Reform Advisory Committee focused on the 5 workstreams mentioned above. In addition, the Committee engaged staff in many ways such as virtual and face-to-face meetings and through gathering ideas submitted by staff through intranet and other means.	
IMPLEMENTATION OF CHANGE MANAGEMENT PROCESS				
3. How have the change management approaches been adopted/ adapted and implemented? (The 'How' question on implementation)	3.1 What was the scope – breadth and depth of the change process?	3.1.1 Was it organization-wide, department etc.	Intended Organization-wide	
	3.2 How was the change management process led?	3.2.1 Who led the change management process? Who was the owner/sponsor of the change? What is their position in relation to management?	The Executive Director and Deputy Executive Director / with the departure of the ED, the Acting ED (DED) will lead any future reforms There has yet to be any implementation, so the analysis stops here.	
		3.2.2 Were consultants involved in implementation? If so, in what role?		
		3.2.3 What was the size of the team? Where was the CM team located?		
		3.2.4 Is there an institutionalized function for change management in the organization or was the function time-bound for this specific initiative? <u>If yes, please include information in question 7 as well.</u>		
		3.2.5 What mechanisms were put in place to oversee the change management process? Did it include the		

Review Question	Review Sub-Question	Sub-sub Question	Key Findings	Remarks
<i>(Adapted from overall Review Framework)</i>			<i>(After stating findings Indicate source by letter, corresponding to document list below)</i>	
		head of organization, the governing body, just senior managers, or other? What role was played by each?		
	3.3 How was the change management process structured?	3.3.1 Did the process have a definitive start and end?		
		3.3.2 How long did it last?		
	3.4 How was it implemented?	3.4.1 Describe the implementation process (refer to the plan in 2.1.3)		
		3.4.2 What communication mechanisms were used?		
		3.4.3 How was the change initially framed and presented to staff?		
	3.5 How much reflexive learning took place during the process? Was it evaluated during or after?	3.5.1 What learning and adaptive management processes were put in place during or after the CM process? (please specify when put in place in relation to the process)		
4. What have been the resource implications of change management?	4.1 How was the CM budgeted?	4.1.1 What was the source of financing- core resources/XB. Implications.		
	4.2 What were the major cost elements and actual costs (where available)?	4.2.1 What were the cost elements – financial, human (non-financial), etc? (Actual cost breakdown if possible to estimate)		
RESULTS OF CHANGE MANAGEMENT PROCESS				
5. What are the results and critical success factors of	5.1 What were the results of the change process?	5.1.1 What were the <u>short-term</u> outputs? How were they assessed?		

Review Question	Review Sub-Question	Sub-sub Question	Key Findings	Remarks
<i>(Adapted from overall Review Framework)</i>			<i>(After stating findings Indicate source by letter, corresponding to document list below)</i>	
<i>the change process or approach?</i>		5.1.2 What were the <u>intermediate or long</u> outcomes? How were they assessed? Did they bring about the desired transformation?		
	5.2 How did the process affect the results?	5.2.1 How did the change management results contributed to the reform results or outcomes and in what way? What is the value-add of the structured process, where used?		
LESSONS FROM CHANGE MANAGEMENT PROCESS				
6. What lessons can be derived to guide future change management initiatives?	6.1 What are considered critical factors +/-	6.1.1 What do those involved, and those affected considered critical factors in success/ failure of the change management process? Are these distinguishable from the reforms behind the change etc.		
		6.2.1 What features seem to be key to a successful CM process?		
	6.2 What positive features identified are transferable or scalable, which are not and why?	6.2.2 How unique are these to the context in which they were implemented?		
		6.2.3 What generalizable lessons can be identified?		
	6.3 What has the organization learnt from this process?	6.3.1 Would the organization run the process the same way again, or do		

Review Question	Review Sub-Question	Sub-sub Question	Key Findings	Remarks
<i>(Adapted from overall Review Framework)</i>			<i>(After stating findings Indicate source by letter, corresponding to document list below)</i>	
		things differently? If so, how?		

Change Management Functions in the Organization

- The Chiefs and Deputies Group – led by the executive office agreed in May 2018 that a dedicated Change Management Group is required (C.3)

Document Key

Document	Document Title	Document Source
A.	Email from Executive Director UNEP, Reform at UN Environment: We must be the change we want to see in the world, September 05, 2017	UNEP
B.	UNEP Change Management Team TOR, 15 May 2018, Draft (unpublished)	UNEP
C.	UN Environment Reforms within the Context of UN Reforms 2018	UNEP

10. UNFPA – Regionalization

Overall comments	<ul style="list-style-type: none"> The case summary was completed by JIU. Additional information was added based on an interview and further documentation. The documents provide a good overview of the reform. From the information provided, there does not appear to have been a comprehensive change management process, however, facets of change activities related to communications and human resources were part of the process. The case is considered complete, but we may follow-up in January/ February 2019 on any remaining issues
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Review Question	Review Sub-Question	Sub-sub Question	Key Findings	Remarks
<i>(Adapted from overall Review Framework)</i>			<i>(After stating findings Indicate source by letter, corresponding to document list below)</i>	<i>(Include list of documents that may be applicable)</i>
REFORM/INITIATIVE OVERVIEW				
1. Details of the organizational reform/initiative (The 'What' question – what the initiative and reasoning behind it was?)	1.1 A brief summary of the reform/initiative.	1.1.1 What is its purpose? What are the objectives?	<p>A redesign of the UNFPA organisational structure - Done in order to operationalise its 2008-11 Strategic Plan (A, 1)</p> <p>Aim was to moving regional divisions to be closer to the clients (G, 1)</p> <p>Entails a significant shift of resources to the field to strengthen their capacity and COs (A, 1)</p> <p>Was the dismantling of country support teams + integrating of functions to ROs to better adapt to each country needs (G, 1)</p>	<p>Additional, longer-lasting factors:</p> <ul style="list-style-type: none"> - Integrating programmatic and technical support - Ensuring alignment with other agencies <p>Worth noting that in documentation it's referred to as 'UNFPA Reorganization'</p>
		1.1.2 When did it start? When did it end?	Was given go ahead by EB in September 2007 → to run in accordance with 2008-11 strategic plan (C, 1). Ended in 2011	
		1.1.3 What are the key elements/sub-initiatives?	<p>In order to operationalise its strategic plan some key functions would need to be strengthened:</p> <ul style="list-style-type: none"> ➤ National capacity development – focusing on systems and institutional development for governments & civil society organisations; ➤ Prompt and effective support – request from COs and UN country teams to provide technical, programmatic support; ➤ Positioning International Conference on Population and Development (ICPD) – placing it at all levels from global to national via advocacy & policy dialogue 	

			<ul style="list-style-type: none"> ➤ Developing multi-sectoral and strategic partnerships – strengthen position of ICPD agenda at various agency-levels and other non-UN organisations ➤ UN systems collaboration – provide coordinated, coherent and efficient support to UN country teams or reform issues such as UN Development Assistance Frameworks <p>(All from C, 3)</p> <p>Implementation of the Strategic Plan demanded that the functions hereby listed would be more effectively performed. The regionalized organizational structure was meant to ensure that those functions could be better supported</p>	
		1.1.4 When and by whom was it approved?	<p>Was approved by the EB in Sept 2007 → in conjunction with the 2008-11 Strategic Plan (A, 1)</p> <p>Preparatory activities (i.e. organizational design, proposed staff movement, HR strategy) had already been launched. The official implementation however started right after the Executive Board's approval</p>	
		1.1.5 Was the reform evaluated? What were the achievements, results, and/or outcomes?	No evaluation was conducted. A review of the regional offices architecture <u>will be launched</u> in October 2018 as part of the Comprehensive Change Process.	Follow-up on this in October / November
	1.2 What were the underlying factors or drivers behind this reform/initiative? Where distinct or additional to broader drivers of change, what specific events or triggers signalled the start? Each of these will affect the approach, speed, scope, resources and adoption of change management. They can be both	1.2.1 What were the drivers? The causes of the initiative, generally an overarching, longer-term shift affecting how the organization operates.	<p>Conducted in response to on-going UN reforms – e.g. those contained in the Generally Assembly resolution 59/250 (A, 1).</p> <p>In order to better operationalise the 2008-11 strategic plan, more specifically focused organisational restructuring was necessary:</p> <ul style="list-style-type: none"> - associated with COs, <p>splitting of DASECA to better equipped to achieve the regional objectives generally.</p> <p>How did UNFA interpret 59/250 to mean that regionalization was required? Other UN Agencies already had Regional Offices. In order to align – as requested by the QCPR – UNFPA also decided to establish regional offices and co-located them, as much as possible, with those of other UN agencies.</p>	
		1.2.2 Was there a specific event that acted as a trigger to get it started? It may be	<p>NO specific trigger - only the drivers above:</p> <ul style="list-style-type: none"> - UN reform 	

	expected or unexpected.	internal or external. These might include funding depletion, reputational (fraud, mismanagement) or other.	<ul style="list-style-type: none"> - Need to provide integrated technical and operational support to Country Offices - Strengthening of capacity in the field 	
PLAN OF CHANGE MANAGEMENT PROCESS				
<p>2. Which change management approaches have been used in the <u>design</u> of the above reform or initiative?</p> <p>(The 'How' question on design – what did they set out to do?)</p>	2.1 Describe the design or plan for change management in the initiative?	2.1.1 What were the specific objectives of change management within the design of the initiative?	<ul style="list-style-type: none"> - Ensure that staff was fully informed about the process and that could contribute to the process. - Reduce anxiety and change resistance. - Equip staff with the skills needed to either find a different job elsewhere or to be redeployed to a new position - Create buy-in and ensure that changes could be implanted on time and task 	
		2.1.2 Did the approach to change management draw from established practices (Kotter, McKinsey, PWC, UNLOCK etc) or not? If so, how?	<p>Staff working on the project came from a management consulting firm and applied their change management approach, customizing it to the needs of UNFPA.</p> <p><i>There is mention of Master Plan being based on internationally recognised Prince 2 Project Management methodology (noting this is more about the project rather than change management side):</i></p> <ul style="list-style-type: none"> - <i>successful project completion (quality and time);</i> - <i>attention to the human dimension of change;</i> - <i>maintaining business continuity;</i> - <i>keeping reorganization costs under control;</i> - <i>taking into account lessons learnt;</i> - <i>constant communication with both internal and external stakeholders</i> <p><i>(All from A, 2)</i></p>	Which firm? Were they consultants or staff – confirm.
		<p>2.1.3 Was a specific plan prepared outlining the change management process(es)?</p> <p>Who prepared this plan – done internally or by an outside company? If external, please state who?</p> <p>Examples of elements of plan:</p>	<p>The development and application of an overall project Master Plan with activities, activities 'owners', timelines and indicators (A, 1)</p> <p>It would identify activities to be performed, key milestones, outputs interlinkages and timelines. These activities would be clustered into 'Work Packages' (A, 2).</p> <p>The Work Packages resemble set information's associated with different activities. Some of the work packages (HR-related and communications related) were effectively 'change management' work packages.</p>	

		<ul style="list-style-type: none"> - change readiness assessment - definition of type and scope of change - Approach to engaging with staff and stakeholders - Institutional framework (governance, management, change management team, etc) - Defined role of leadership - Process plan (training, engagement etc) - Reflexive learning plan (monitoring and internal evaluation) 	<p>These work packages held information defining, in measurable terms, what must be done for final product to be acceptable to Steering Committee. Each has a 'formal agreement document' between Regionalisation Project Manager (RPM) & Team Leaders of the Work Packages. Work package charters were the written agreements</p> <p>Some packages may be verbal in instruction – but this is for ones where there is direct input of the RPM. Other with indirect input require written instructions (C, 10). Work package leads reported back on the implementation status at each Steering Committee meeting.</p> <p>In the area, communications, a specific detailed written plans have been prepared.</p> <p>Elements covered under communications plan:</p> <ul style="list-style-type: none"> -objectives (risk-mitigation function, inadequate comm leads to 'lack of commitment; unchanging behaviours; loss of stakeholder support; unrealistic expectation'. This can be addressed if comms plan integrated into 'divisional comms plans' -principles -key messages -key audiences -types of messages - mechanisms for communication -key events and timetable <p>Certain pre-requisites were laid out in order to optimise managing the change:</p> <ul style="list-style-type: none"> - 'continued strong top-level leadership' → crucial to maintain strong leadership and ensure the change process remains a priority for management - 'staff commitment towards organisation vision and goals' → 'vital for staff members willing to embrace change' - 'Executive Boards continuous support' → support MS is vital with ongoing consultations through development of the Strategic Plan <p>(All from A, 1)</p>	<p>Key document: Reorganization communication plan, undated (doc H)</p>
	2.2 How did the triggers of the organizational reform	2.2.1 What effect, if any, did the drivers or triggers of the reform have on the	The drivers of the reorganization and regionalisation related both to the need to strengthen field presence; to move 'regional divisions closer to the clients' (see 1.1.1). This also implied retrenchment of	It's unclear from the documentation how much efficiency gains were an

	or management initiative influence the change management approach?	objectives and plan for change management?	<p>international positions at HQ and hiring of national staff in regions and countries (lower cost) It's unclear from the documentation how much cost downsizing took place, and how much this was also an imperative behind the reform (for efficiency gains). Clearly, the nature of the reorganization, being focused in large part on reprofiling and reorganization meant that good communications with staff was critical to success. This links closely with the objectives of the change management process itself- with the aims being in part to reduce anxiety and change resistance and build buy in.</p> <p>“Regionalization is a tangible sign of UNFPA commitment to become more results-oriented and field-centred, as its staffing implications indicate. Regionalization would entail a net reduction of 86 posts in headquarters (28 posts would be abolished; 70 would be relocated to the regions; and 12 new posts would be created) and an increase of 131 posts in the regions (70 posts would be moved from headquarters and 61 new posts would be created). Increase in the number of posts also reflects the decision to significantly increase the number of national officers (+ 40 posts), both to increase use of and develop local capacity and to keep costs under control. The increase also reflects the UNFPA decision to re-balance its organizational pyramid and reduce its top heaviness (-6 L7 posts) and build solid career development paths (+14 P4/L4 posts; + 4 P3/L3 posts). “ (source, doc B, p.15) (national posts being less costly than international)</p> <p>(JIU analysis)</p>	imperative behind the reform
IMPLEMENTATION OF CHANGE MANAGEMENT PROCESS				
3. How have the change management approaches been adopted/ adapted and implemented?	3.1 What was the scope – breadth and depth of the change process?	3.1.1 Was it system-wide, organization, department etc.	Was an organisation-wide change, but based and in tandem with reforms system-wide (A,1)	
	3.2 How was the change management process led?	3.2.1 Who led the change management process? Who was the owner/sponsor of the change? What is their position in relation to management?	<p>The change process was shared between varying committees and bodies.:</p> <ul style="list-style-type: none"> - Executive Committee overseeing the overall direction of the strategic vision - Steering Committee which was composed of various representatives. Was a forum for information sharing, avoid overlaps discussions and make decisions 	

(The 'How' question on implementation)			<p>- Regionalisation Team was composed of Project Coordinator, Project Specialist, Analyst and Assistant. It was the secretariat ensuring progress and coordination</p> <p>These committees and teams oversaw both the PM and the CM. (All from A, 3 and D)</p> <p>Of these mentioned, the Regionalisation Team ensured the integration of CM aspects in the Master Plan</p>	
	3.2.2 Were consultants involved in implementation? If so, in what role?		<p>Was led internally, with a diverse set of task forces, teams or committees (C, 7)</p> <p>The various senior team members – eg Project Manager possessed multiple responsibilities such as the financial management or monitoring of cost budgets (C,7)</p> <p>Some consultancy services were used on <i>ad hoc</i> basis (A, 4)</p> <p>The Regionalization team was the CM team, responsible for overall project coordination and change management coordination.</p>	
	3.2.3 What was the size of the team? Where was the CM team located?		<p>For the Reorganisation there were various teams:</p> <ul style="list-style-type: none"> ➤ Executive Director/Committee ➤ Steering Committee ➤ Regionalisation Team ➤ Budget Monitoring Committee ➤ Communication Working Group <p>There were also various task forces or divisions:</p> <p>HR Task Force – this was created to address HR issues relating to the CM process and that choices are made with staff interests in mind.</p> <ul style="list-style-type: none"> ➤ There is mention of this task force being engaged with specific CM processes like the training of staff to be aware and prepared for it (E) <p>The HR TF was specifically responsible to implement some specific change management activities with specific reference to capacity building.</p> <p>Geographical Divisions & Technical Support Division – these would undergo change by merging with Country Service Teams to provide better technical & programmatic support to COs.</p>	

			<p>➤ There is mention of contribution to development of the organisational structure → is this relatable to the CM process? (No response – so presume not)</p> <p>IERD - coordinated consultations with member states and with resource mobilisation efforts.</p> <p>➤ Any relevance to the CM process? No – although the Media and Communications Branch, which was also part of IERD, had a very important role in the CM process, supporting the Regionalization Team with all communications activities</p> <p>External consultants (hired on an ad hoc basis) – would hired to provide contributions on specific activities. But not on CM. (All from doc E)</p>	
		3.2.4 Is there an institutionalized function for change management in the organization or was the function time-bound for this specific initiative? <u>If yes, please include information in question 7 as well.</u>	<i>Yes – see section 7 in the case summary for the comprehensive change process.</i>	
		3.2.5 What mechanisms were put in place to oversee the change management process? Did it include the head of organization, the governing body, just senior managers, or other? What role was played by each?	<p>The Executive Director and Committee set the direction for change, taking final decisions on major steps and not addressed by Steering Committee (A,3) Only the Executive Committee and the Steering Committee were involved.</p> <p>The Master Plan encompassed the various Work Packages, which in effect took the specific activities and split them into their respective processes – these packages were oversee by ‘Work Package Leaders’ who would be in charge of their respective activities/outputs but all relating to the wider Master Plan (C, 10)</p>	
	3.3 How was the change management process structured?	3.3.1 Did the process have a definitive start and end?	<p>The Communications Plan (Nov 2007 to Dec 2009)</p> <p>The HR workplan (Sept 2007 to Jan 2008)</p>	
		3.3.2 How long did it last?	The overall reform ran from Sept 2007 to 2011. One would assume that the CM ran for all of this, so the specific comms and HR elements (above) which represent the core of the CM processes ran Sept 2007 to Dec 2009 in aggregate.	

	3.4 How was it implemented?	3.4.1 Describe the implementation process (refer to the plan in 2.1.3)	<p>Upon approval by EB the implementation plan was:</p> <ul style="list-style-type: none"> - Q1 of 2008 would be Panama and Bangkok ROs - Q2 would be Pretoria and Suva sub-regional offices - Q3 would be Addis Abba RO and Dakar sub-regional office - Q4 would be Beirut RO and Kingston sub-regional office <p>The CM process was the same for each office. It entailed:</p> <ul style="list-style-type: none"> - Regular Communications to staff - Training/capacity building activities to ensure staff was equipped to be re-deployed or find a new job. 	
		3.4.2 What communication mechanisms were used?	<p>Regionalisation Team oversaw the coordination of communication with a Reorganisation Communications Working Group to assist with that (A, 5)</p> <p>They developed a Reorganisation Communication Plan which includes:</p> <ul style="list-style-type: none"> - Background and overview; - Communications principles; - Key messages; o Identification of audiences; - Key communicators; - Type of information; - Platforms (emails, circulars, e-updates, intranet, newsletter, staff meetings, brown bag lunches, events, note verbales, letters, briefing notes, etc.) - Coordination Arrangements; - Key events communication events. <p>(A, 5)</p>	
		3.4.3 How was the change initially framed and presented to staff?	<p>A set of guiding principles and processes to address the important staffing and human resource implications of regionalization. This will include job matching and job fair processes, re-skilling and agreed separation packages, among others (B, 11)</p> <p>Unclear how it was communicated and framed. The risk matrix outlines the steps taken to address the risk of organizational culture not ready for change and behaviours not supporting it (ex-ante risk management) by:</p> <ul style="list-style-type: none"> - Encouragement of fora for discussion among Senior Management on regionalization and change issues Continuous - Presence of Regionalization on EC Agenda Continuous 	

			<ul style="list-style-type: none"> - ED's availability to address issue on a one-on-one and collective basis with EC members Continuous - ED to play a proactive role in stimulating discussion/debates Continuous - Organization of regular divisional staff meetings, with OED to ensure that change issues are addressed Continuous - Provision of training on Leading and Managing Change to Senior and Middle-Management 2nd half 2006 - Organization of a "Change Awareness" session for staff Fall 2006 - Organization of tea/lunch with the ED to encourage staff to voice concerns and ask questions to ED Continuous - Organization of frequent Staff Meetings Continuous - Regular messaging from ED to all staff on change initiatives Continuous <p>(Source, doc E, p.3)</p>	
	3.5 How much reflexive learning took place during the process? Was it evaluated during or after?	3.5.1 What learning and adaptive management processes were put in place during or after the CM process? (please specify when put in place in relation to the process)	<p>From the DOS audit, it became apparent the need to establish an integrated control framework to ensure delivery of UNFPAs programme (F, 2)</p> <p>Other than this DOS there were no other formal or informal reflections made during the evaluation process</p>	
4. What have been the resource implications of change management?	4.1 How was the CM budgeted?	4.1.1 What was the source of financing- core resources/XB. Implications.	<p>No answer.</p> <p>Resource Mobilization Work Package (doc I) notes that US\$ 7.4 million required to "complement available resources to fund the reorganization on time-costs".</p> <p>If the data below (4.2.1) is correct then this represents 27% increase in costs, and XB share (though unclear if all 27.6 raised, and whether core or non core).</p> <p>Suffice to say that there were core and non-core components to the budget.</p>	There were certainly more documents developed by the Finance Branch but it might be difficult to retrieve them at this time. If they are absolutely needed, UNFPA will look for them.

	4.2 What were the major cost elements and actual costs (where available)?	4.2.1 What were the cost elements – financial, human (non-financial), etc? (Actual cost breakdown if possible to estimate)	<p>Recurrent regionalisation (in Oct 2006) was estimated at \$3.2million which consisted of:</p> <ul style="list-style-type: none"> - salary/payroll around \$1.6 mill - ROs around \$2.9 mill including premises renting (\$0.6 mill), information connectivity (\$1.9 mill) and expenses to comply with UN security standards (\$0.3 mill) - Other HR costs around \$0.2 mill <p>One-time costs were estimated at \$27.6 mill:</p> <ul style="list-style-type: none"> - Set up ROs and sub ROs around \$13.2 mill (\$6.6 mill for premise rental or procurement of equipment; \$4.5 mill for IT connectivity; \$2 mill for meeting UN security standards) - HR related around \$14.4 mill (relocation, staff termination and other non-staff costs) <p>(All from B, 19/20)</p>	<p>Possible to separate out costs for CM processes?</p> <p>No specific costs were specifically calculated for the CM processes</p>
RESULTS OF CHANGE MANAGEMENT PROCESS				
5. What are the results and critical success factors of the change process or approach?	5.1 What were the results of the change process? <i>(Is there evidence of sustainability of these changes? What is the degree to which organization is working differently and people are behaving differently? Degrees of result or proxies around these include cost reduction (staff and non-staff); service levels; reduced risks; behavioural changes; improved collaboration etc.)</i>	<p>5.1.1 What were the <u>short-term</u> outputs? How were they assessed?</p> <p>Examples of outputs (effective implementation of CM processes)</p> <ul style="list-style-type: none"> - Implementation of standards and practices - Staff being able to apply new work practices - Reduced time spent on processes (efficiency measure) 	<p>An audit conducted by the Division for Oversight Services (DOS) found that risk management & governance arrangements supporting CO Programme Delivery were ‘unsatisfactory’ (F, 2)</p> <p>No evaluation was conducted NO review was conducted</p> <p>The mid-term review of the UNFPA Strategic Plan 2008-13 (Doc K) notes “the UNFPA reorganization has only recently been physically completed and the mechanisms to institutionalize the changes are still being rolled out”. It was noted that an evaluation of the reorganization was planned for 2012, and therefore it was not covered in the mid-term review.</p>	<p>It was noted that an evaluation of the reorganization was planned for 2012, and therefore it was not covered in the mid-term review. Why not done?</p> <p>Can point to specific outputs in terms of comms and HR?</p> <p>Interviews required</p>
		<p>5.1.2 What were the <u>intermediate or long</u> outcomes? How were they assessed? Did they bring about the desired transformation? (linked back to objectives in 2.1.1)</p>	<p>The process has brought the organization closer to the field ensuring stronger collaboration in the Regions.</p> <p>No specific review of the medium-long term outcomes was conducted</p>	<p>Interviews required to look more carefully at this.</p>
	5.2 How did the process affect the results?	5.2.1 How did the change management results contributed to the reform	The change management process ensured that the reorganization could be implemented more smoothly and by limiting as much as possible impact on staff.	Require evidence of this. Board of Auditor Reports, others?

		<p>results or outcomes and in what way?</p> <p>What is the value-add of the structured process, where used?</p>		
LESSONS FROM CHANGE MANAGEMENT PROCESS				
6. What lessons can be derived to guide future change management initiatives?	6.1 What are considered critical factors +/-	6.1.1 What do those involved, and those affected considered critical factors in success/ failure of the change management process?	<p>In the DOS audit, there was the emphasis of a lack of clarity in delegation of authority + distribution of responsibilities post-restructuring (F, 2)</p> <p>There was the issue of reporting on activities rather than results. There was an absence and inconsistency of uniformity in understanding between outputs, indicators, targets or activities (F, 3)</p> <p>A lack of transparency and clearly—defined criteria hindered the HR management which would inhibit fully successful change (F, 5)</p> <p>Evaluation of the architecture supporting the operationalisation of the UNFPA Strategic Plan 2014-17 (Doc L) notes that to operationalize the reform, inter alia, required to ‘foster an organizational culture that breaks down silos, rewards innovation and results, and appropriately addresses poor performance’ (Doc L, p.6). This might suggest that a lot of CM was still required after the regionalization initiative was complete.</p>	<p>Interviews required to look more carefully at this.</p> <p>Michael Reynolds was co-team leader of evaluation of Strat Plan, 2014-17. Is it still at UNDP?</p>
		Are these distinguishable from the reforms behind the change etc.		
	6.2 What positive features identified are transferable or scalable, which are not and why?	6.2.1 What features seem to be key to a successful CM process?	<ul style="list-style-type: none"> - Strong engagement and leadership from the top of the organization was key. - A sound communication plan with targeted activities for each relevant stakeholder, ensuring that communications could be provided transparently and in timely fashion. - A clear HR strategy in place to be timely communicated to staff - Dedicated capacity building for different categories of staff, to ensure that they could be best prepared to take on a new role, or look into the job market. 	Interviews required to look more carefully at this.
		6.2.2 How unique are these to the context in which they were implemented?	No information provided	Interviews required to look more carefully at this.

		6.2.3 What generalizable lessons can be identified?	Better assessment techniques such as between HQs divisions and between levels (HQs/ROs/COs_ is essential to enable optimal architecture of policies/procedures/tools (F, 2) Possessing a strategy at all levels and the need to formulate that strategy with the prevailing strategic plan with specific steps to be taken (F, 6)	Interviews required to look more carefully at this.
	6.3 What has the organization learnt from this process?	6.3.1 Would the organization run the process the same way again, or do things differently? If so, how?	The positive features listed under 6.2 will certainly be replicated in the current Change Process	Interviews required to look more carefully at this.

Document Key

Document	Document Title	Document Source
A.	UNFPA_1. Regionalization Case Study (1)	UNFPA provided
B.	UNFPA_2. Regionalization_ExBo Informal paper for distribution, draft, undated	UNFPA provided
C.	UNFPA_3. Regionalization project master plan	UNFPA provided
D.	UNFPA_4. Regionalization_Roles and Responsibilities	UNFPA provided
E.	UNFPA_5. Regionalization Risks_Mitigation_Plan	UNFPA provided
F.	2011 - UNFPA GOVernance audit - Final Report_Sept 14 2011	JIU sourced
G.	M1-UNFPA-18JUN2018	JIU formed
H.	UNFPA Reorganization Communication Plan, undated	UNFPA provided
I.	UNFPA Reorganization, Work Package Charter: WP 4 – Resource Mobilization, 14/02/08	UNFPA provided
J.	UNFPA Reorganization, Work Package Charter: WP 8 – Human resources planning and support, xx/01/08	UNFPA provided
K.	DP/FPA/2011/11, Mid-term review of the UNFPA Strategic Plan 2008-13, Report of the Executive Director, 26 July 2011	JIU sourced
L	Evaluation of the architecture supporting the operationalisation of the UNFPA Strategic Plan 2014-17, UNFPA, April 2017	UNFPA provided

11. UNFPA – Comprehensive Change Process

Overall comments to UNFPA	<ul style="list-style-type: none"> • The case summary was completed by JIU. Additional information was added based on an interview and further documentation. • The documents provide a good overview of on the initial stages of the CCP reform itself. • From the information provided, there is evidence of the intent to have a fairly comprehensive change approach with the master plan noted that CM implementation would include - (1) change rationale, (2) assumptions for managing and implementing change, (3) implementation plan, (4) change enablers and (5) communications. • However, as of writing, these elements don't appear to have been fully fleshed out in terms of specific strategies or plans. • The case is considered complete, but we may follow-up in January/ February 2019 on any remaining issues
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Review Question	Review Sub-Question	Sub-sub Question	Key Findings	Remarks
<i>(Adapted from overall Review Framework)</i>			<i>(After stating findings Indicate source by letter, corresponding to document list below)</i>	<i>(Include list of documents that may be applicable)</i>
REFORM/INITIATIVE OVERVIEW				
1. Details of the organizational reform/initiative (The 'What' question – what the initiative and reasoning behind it was?)	1.1 A brief summary of the reform/initiative.	1.1.1 What is its purpose? What are the objectives?	<p>To implement its Strategic Plan (SP) 2018-2021 and respond to Sustainable Development Agenda UNFPA set up the Comprehensive Change Process comprising a range of complementary & mutually reinforcing initiatives/work streams (A, 1)</p> <p>Grounded in and directly responding to the Evaluation of the UNFPA 2014-17 strategic plan it was to 'develop and implement a comprehensive change management process to enable the organization at all levels to implement the upcoming and subsequent strategic plans to deliver on the 2030 Agenda for Sustainable Development and the Sustainable Development Goals' (G, 5)</p> <p>It is about responding to the evaluation of the previous operationalisation of the 2014-17 strategic plan (H, 1)</p> <ul style="list-style-type: none"> ➤ Be equipped to improve programming for results ➤ To optimise management of resources ➤ Equipped to increase contribution to UN system-wide results, coordination and coherence ➤ Equipped to enhance communication, resource mobilisation and partnerships ➤ Purpose to embrace a culture of innovation <p>All from G, 6)</p>	

Review Question	Review Sub-Question	Sub-sub Question	Key Findings	Remarks
<i>(Adapted from overall Review Framework)</i>			<i>(After stating findings Indicate source by letter, corresponding to document list below)</i>	<i>(Include list of documents that may be applicable)</i>
			It coincides with the 4 year mark of the Strategic Plan, but considering that the Strategic Plan is the first of three consecutive plans to culminate with the Agenda 2030 it is fair to state that the change process may continue in different forms to continue equipping UNFPA to deliver its mission.	
		1.1.2 When did it start? When did it end?	Begun being rolled out in Jan 2018 (A,1) End: Initially 2019, but with the UN Reform, may be extended	
		1.1.3 What are the key elements/sub-initiatives?	<p>The Master Plan defines high-level critical tasks to be performed to ensure successful implementation of UNFPA's new organizational structure and identifies key milestones that must be reached throughout the process.</p> <p>It provides both the rationale and the operational elements needed, for a smooth and successful implementation of organizational changes. It comprises both changes already presented to the Executive Board and upcoming changes to continue equipping UNFPA to be optimally equipped to implement the new Strategic Plan, 2018-2021 support countries and partners in implementing the Agenda 2030.</p> <p>The focuses of the initiative include:</p> <ol style="list-style-type: none"> 1. Implantation of recommendations from CRR – aiming to deal with inefficiencies or ineffectiveness in HQ 2. Strategic Plan roll-out – rolling out the next SP to deliver for results and establish culture of change. 3. ROs and COs realignments – ensure all offices at all levels are more in the know and better implement the SP 4. ICT Transformation – better integrate knowledge discovery and availability in Programme Planning process by providing previous examples and initiatives to help with better designing in the future. Will help to avoid redundancies, generate more knowledge via standardisation, links between inputs, outputs and outcomes with equally comprehensive analysis techniques 5. Structuring financial dialogue – transitioning from funding to financing UNFPA work. Increase dialogue with member 	

Review Question	Review Sub-Question	Sub-sub Question	Key Findings	Remarks
<i>(Adapted from overall Review Framework)</i>			<i>(After stating findings Indicate source by letter, corresponding to document list below)</i>	<i>(Include list of documents that may be applicable)</i>
			<p>states and launching UNFPA Financing Compact. Addresses the fragmentation of resources and reporting on results</p> <p>6. UN Development Systems Reform – active engagement in design and implementation of UN Reform. The Change Management Secretariat will work closer with UN Reform Team.</p> <p>(All from A, 1)</p> <p>UNFPA has identified under the new Strategic Plan four outputs to track the required changes in organizational effectiveness and efficiency:</p> <ul style="list-style-type: none"> a) Improved programming for results; b) Optimized management of resources; c) Increased contribution to United Nations system-wide results, coordination and coherence; d) Enhanced communication, resource mobilization and partnerships for impact. <p>They are complementary as highlighted by the Strategic Plan. The change process is an institutional mechanism to make sure UNFPA is fit for purpose. Each one of the change processes is linked to one or more strategic plan outputs. As part of the Master Plan such correlation between the actual OEEs and the Change projects/workstreams is being defined in terms of impact indicators already defined for the Strategic Plan (rather than building new ones). The process indicators are being defined by project/workstream that will influence the impact foreseen. (source: response from UNFPA, Elizeu Chaves- EC)</p> <p>The change projects are being implemented by different change owners, but there is a high level governance system in place, as well as at the working level to build complementarities.</p>	
		1.1.4 When and by whom was it approved?	After a review, approval was given in 2017 by the UNFPA Executive Committee (A, 1/2)	

Review Question	Review Sub-Question	Sub-sub Question	Key Findings	Remarks
<i>(Adapted from overall Review Framework)</i>			<i>(After stating findings Indicate source by letter, corresponding to document list below)</i>	<i>(Include list of documents that may be applicable)</i>
		1.1.5 Was the reform evaluated? What were the achievements, results, and/or outcomes?	<p>It will be evaluated as part of UNFPA's operational capacity to deliver the Strategic Plan, but discussions with the evaluation office are also taking place in terms of a separate evaluation.</p> <p>In addition to significant sectoral improvements detailed in the benefits analysis, the collective impact of CRR measures in operational terms can be summarized as follows:</p> <ul style="list-style-type: none"> • reduction in the number of positions in HQ; • merger of branches to better respond to regional and especially country office needs; • redeployment of a significant number of HQ NY based positions to the field (source: response from UNFPA) 	
	<p>1.2 What were the underlying factors or drivers behind this reform/initiative?</p> <p>Where distinct or additional to broader drivers of change, what specific events or triggers signalled the start? Each of these will affect the approach, speed, scope, resources and adoption of change management. They can be both expected or unexpected.</p>	<p>1.2.1 What were the drivers? The causes of the initiative, generally an overarching, longer-term shift affecting how the organization operates.</p>	<p>The main driver of the reform was the 10% of the organization's budget being cut and a need to work within the new existing budget (L.5)</p> <p>It was in response to the Sustainable Development Agenda and UN Reforms (A, 1)</p> <p>In connection to this this was in response to external factors of potential implication of UNDS in CPD design & implementation; and expectations of Global South</p> <p>In line with the transformative 2030 Agenda to prepare the organisation at all levels to implement the upcoming and subsequent plans relating to 2030 Agenda for Sustainable Development & the SDGs (B, 4 and G, slide 5)</p> <p>The desire to develop a change in mind-sets, to embed a culture of innovation and results (H, 1/2)</p> <p>The 2014-17 UNFPA Evaluation found other internal drivers:</p> <ul style="list-style-type: none"> - A better alignment of country needs to the UNFPA business model (F, 9/10) - A lacking of clarity in previous Strategic Plans and between HQ or ROs/COs (F, 10) 	

Review Question	Review Sub-Question	Sub-sub Question	Key Findings	Remarks
(Adapted from overall Review Framework)			(After stating findings Indicate source by letter, corresponding to document list below)	(Include list of documents that may be applicable)
			<ul style="list-style-type: none">- Better alignment of HR capacity in COs to overall strategic plan- Improving resource mobilisation to support humanitarian crises (F, 10)- Better monitoring of how close implementation is to outline intentions (F, 10)- “lack of corporate preparedness and the absence of a comprehensive change management process” Evaluation, Page I. The evaluation underlined the need for a change management process to “actively prepare the organization at all levels to implement the upcoming and subsequent strategic plans to deliver on the 2030 agenda” (J, 2)	
		1.2.2 Was there a specific event that acted as a trigger to get it started? It may be internal or external. These might include funding depletion, reputational (fraud, mismanagement) or other.	<p>Specific trigger was for this to be in line with the 3-Strategic Plan Cycle, the process would be backed up by QCPR (G, 7)</p> <p>The difference now for UNFPA is the myriad of factors – internal and external, triggering massive changes and the adoption of a comprehensive and systematic mechanism.</p> <p>The new Strategic Plan that reinforced the bull’s eye at the country level;</p> <p>The need to make the work even closer to beneficiaries;</p> <p>The importance of aligning expenditure to funding source in order to increase operational efficiency and effectiveness aligning;</p> <p>Adapt UNFPA to address QCPR provisions (i.e. strengthen knowledge management strategies and policies, support to South-South Cooperation)</p> <p>Of course, the UN Reform is a key driver for change, mainly, but not only the United Nations Development Sustainable (UNDS)</p>	.
PLAN OF CHANGE MANAGEMENT PROCESS				
2. Which change management approaches have been used in the <u>design</u> of the above	2.1 Describe the design or plan for change management in the initiative?	2.1.1 What were the specific objectives of change management within the design of the initiative?	<p>The development and eventual deployment of a Master Plan → aimed at ensuring effective, coordinated and structured implementation (A, 3)</p> <p>“support the mindset and capacities of UNFPA staff, which are necessary to bring about the changes expected in the 2018-21 strategic</p>	

Review Question	Review Sub-Question	Sub-sub Question	Key Findings	Remarks
<i>(Adapted from overall Review Framework)</i>			<i>(After stating findings Indicate source by letter, corresponding to document list below)</i>	<i>(Include list of documents that may be applicable)</i>
reform or initiative? (The 'How' question on design – what did they set out to do?)			<p>plan and which will be carried forward in subsequent strategic plans leading to the 2030 deadline” (Management Response to the Evaluation, cited in DOC I, p.3)</p> <p><i>More specific information is listed below in the outlined 'phases'.</i></p> <p>The Comprehensive Resources Review (CRR) aims to ensure UNFPA's resources, human and financial, are optimally deployed in support of the Strategic Plan (G, 13)</p> <p>Will be an integral part of overall CM driven by Strategic Plan 2018-21 → a continuous process, constantly dynamic.</p> <p>They align to ongoing and current UN reforms, in order to streamline and strengthen for improved effectiveness and efficiency (G, 13)</p> <p>The decisions of the CRR strengthen UNFPA global capacity to implement the 2018-2021 Strategic Plan, focusing on countries' needs by:</p> <ul style="list-style-type: none"> ▪ Optimizing, across the organization, human resources, administrative and support services and funding necessary for the delivery of UNFPA Strategic Plan in the field; ▪ Reconfiguring HQ business units to improve efficiencies, cohesiveness and synergies to jointly respond to countries' needs; ▪ Reinforcing a country focus across business units in HQ NY and Regional Offices; ▪ Positioning and readying the Organization for the outcomes of the Secretary General's reform. 	
		2.1.2 Did the approach to change management draw from established practices (Kotter, McKinsey, PWC, UNLOCK etc) or not? If so, how?	<p>The development and eventual deployment of a Master Plan → aimed at ensuring effective, coordinated and structured implementation (A, 3)</p> <p>The Master Plan reflects the theory, especially Kotter's framework in a way that it is adapted to the case of UNFPA. The 8 steps were encompassed, but streamlined for easing the process including both</p>	

Review Question	Review Sub-Question	Sub-sub Question	Key Findings	Remarks
<i>(Adapted from overall Review Framework)</i>			<i>(After stating findings Indicate source by letter, corresponding to document list below)</i>	<i>(Include list of documents that may be applicable)</i>
			ongoing processes when the decision to establish a comprehensive plan was adopted and potential future changes. (source: Written response UNFPA)	
			Reference to Kotter's 'Why transformation efforts fail?' and several other readings (B, 20)	
		2.1.3 Was a specific plan prepared outlining the change management process(es)?	Yes – Comprehensive Change Process Implementation Plan July 2018, doc I.	The implementation plan provides a good skeleton of the elements necessary to implement change management. However, the details are not there. These are to be located in separate strategies and plans – on business case and narrative; comms; cap dev – all should now be in place – ask about these as don't have them
		Who prepared this plan – done internally or by an outside company? If external, please state who?	<p>The plan lays out the following elements:</p> <ul style="list-style-type: none"> - Governance framework – DED-M to lead the change management process; steering committee composed of divisional directors, chief of staff and with heads of evaluation, audit and investigation and ethics office as observers; change management secretariat to oversee the implementation of the change initiatives and build coherence across them; work stream leads – senior managers responsible for operationalizing each stream - Stakeholder engagement – roles of various parties in the process – exec com; staff; member states; partners spelt out (briefly) - Scope of coverage – nine of the 11 decisions from the 2017 comprehensive resource review; ongoing change initiatives separate from the CRR (strategic plan roll-out; regional and CO realignment; ICT transformation; structured financing dialogue; UNSDG reform follow-up; and any new change initiatives. - Elements of implementation – reference to monitoring and indicators (not included) - Outline of communications elements – the objectives of this and the target audience – no actual plan though - Capacity building – plan to be developed - Risk management framework (reference doc J). Risk includes looking carefully at staff resistance to change. Mitigation strategy includes identification of strong narrative and business case for the process – due Mid-August (has it been prepared?); strong communications strategy and plan – due mid-Sept (again has it been prepared?); implementation of this strategy; and development of cap dev plan – mid-Sept (again has this been prepared?) – and its implementation. 	

Review Question	Review Sub-Question	Sub-sub Question	Key Findings	Remarks
<i>(Adapted from overall Review Framework)</i>			<i>(After stating findings Indicate source by letter, corresponding to document list below)</i>	<i>(Include list of documents that may be applicable)</i>
			<p>In the Master Plan it was noted that the CM implementation would include - (1) change rationale, (2) assumptions for managing and implementing change, (3) implementation plan, (4) change enablers and (5) communications strategy. It has these in a broad sense, but not detailed.</p> <p>The plan also addresses pre-requisites for successful implementation, roles and responsibilities of those needed to drive implementation and an updated communications strategy to ensure that all parts of the organization, staff members and stakeholders are engaged in a coordinated fashion.</p> <p>It is worth mentioning that the implementation is divided in two components: a detailed work plan for implementing decision of the Executive Director, especially those taken in the context of the Comprehensive Resources Review (CRR) and; an outline plan with key changes needed to equip UNFPA for delivering its mandate. In addition to the implementation section, the document also contains under change enablers milestones of corporate initiatives that will continue to serve as change enablers.</p> <p>There is the rationale for combining technical and programmatic work and services at both ROs and COs to better address needs Done so to make work people-centred, or consider more gender parity and communications between different levels of staff (B, 3)</p> <p>Activities to be conducted in Master Plan will be classified under 'Work Streams' (A, 2)</p> <p>Use of Work Stream Leads (senior managers) who contribute and lead change processes in macro forms such as IT Board, SP working groups etc (B, 12)</p> <p>The process will include the following phases:</p>	

Review Question	Review Sub-Question	Sub-sub Question	Key Findings	Remarks
<i>(Adapted from overall Review Framework)</i>			<i>(After stating findings Indicate source by letter, corresponding to document list below)</i>	<i>(Include list of documents that may be applicable)</i>
			<p>Phase 1 – Planning and designing</p> <p>a. Establish a sense of urgency for change associated with the new Strategic Plan.</p> <p>b. Consider the intangible aspects associated with change management: culture, leadership and motivation. Research comparative case studies especially in similar structures and environments.</p> <p>c. Create an innovative operational governance framework for change.</p> <p>d. Discuss the importance of change, informing about ongoing work streams with different parts of the organization and key stakeholders³⁰.</p> <p>e. Articulate an operational vision of change, derived from the Strategic Plan: consolidate a picture of the future UNFPA that clarifies desired institutional direction.</p> <p>Phase 2 – Consolidating a common narrative for change</p> <p>a. Use a compelling, unifying set of messages to communicate where change management is taking UNFPA as an organization: improving institutional capacity and generating long-term benefits.</p> <p>b. Develop a narrative of how ongoing change work streams will fit into the bigger picture of change.</p> <p>c. Define intersection points for work streams leading to institutional milestones.</p> <p>d. Mitigate risks and address obstacles to the change vision (i.e. lack of unified understanding of the process, too many visions, internal resistance) and consider possible solutions.</p> <p>Phase 3 – Implement changes based on a “living system logic”</p> <p>a. Design and execute an operational plan drawing from existing work streams.</p> <p>b. Encourage managerial creativity, dynamic behaviour, adaptation of new business processes and communicate about new approaches.</p>	<p>Slightly unclear if this is hypothetical or part of a specific costed plan.</p> <p>Still unclear whether there is more than ‘intention’ to these phases – as no documentation that spells these out (that we’ve seen)</p>

Review Question	Review Sub-Question	Sub-sub Question	Key Findings	Remarks
<i>(Adapted from overall Review Framework)</i>			<i>(After stating findings Indicate source by letter, corresponding to document list below)</i>	<i>(Include list of documents that may be applicable)</i>
			<p>c. Systematically plan and create quick wins with clear contributions to the operational vision of the future UNFPA, building momentum for change.</p> <p>d. Reward agents of change (i.e. properly reflect in the PAD, provide internal awards for staff engaged in changes).</p> <p>Phase 4 – Affirming change as a continuum</p> <p>a. Institutionalize changes anchored in the SP, the 2030 Agenda and the UN Reform.</p> <p>b. Ensure managers personify the new approach, vision and culture.</p> <p>c. Foster a corporate culture of institutional innovation so that behaviours are rooted in the new UNFPA reality.</p> <p>d. Ensure long term ownership and accountability for further changes.</p> <p>e. Evaluation of the change process and potential impact in equipping UNFPA to deliver the new and subsequent Strategic Plans.</p> <p>(All from B ,9-10)</p> <p>Elements include: An integrated and formal exercise launched and implemented to guarantee that the elements of a new high-performing culture are clearly spelled out, and that appropriate steps are taken to translate this vision into action. This would entail:</p> <ul style="list-style-type: none"> ○ Diagnostic of UNFPA’s current culture; ○ Transformational leadership at all levels; ○ Prioritization of key attributes that the organizational culture should comprise (i.e. more emphasis on institutional needs and priorities; ○ Definition of a new set of core values and competencies in line with the culture to be adopted; ○ Identification of processes (i.e., recruitment, performance assessment, etc.), systems and tools can be used to foster and cement the new culture; ○ Business transformation to align People, Process and Technology initiatives of an organization more closely with its <i>business</i> strategy and vision: as a key methodology to achieve the transformational impact of the current Strategic 	

Review Question	Review Sub-Question	Sub-sub Question	Key Findings	Remarks
<i>(Adapted from overall Review Framework)</i>			<i>(After stating findings Indicate source by letter, corresponding to document list below)</i>	<i>(Include list of documents that may be applicable)</i>
			Plan providing a set of competencies and tools aimed at understanding the operating model of UNFPA and its processes to re-model the operations approach so to be aligned with the intent, mandate and external factors affecting the organization	
	2.2 How did the triggers of the organizational reform or management initiative influence the change management approach?	2.2.1 What effect, if any, did the drivers or triggers of the reform have on the objectives and plan for change management?	<p>UN Reform is one of the factors/triggers of the change process.</p> <p>The UN Secretary General's reforms, including the United Nations Development System (UNDS) reform, along with the recently launched UN system leadership framework stress that "old ways of doing business or holding status quo expectations cannot serve the ever-changing UN context." The reform streams have stressed that the United Nations' mission is "to achieve positive change – to bring greater peace and security, human rights, economic and social progress and development, and a healthier environment". Collectively, the Agenda 2030 and the related United Nations reform pose an unprecedented strong call for change to the UN entities.</p> <p>UNFPA has therefore engaged in Comprehensive Change Management Process to ensure coordination of different and mutually reinforcing initiatives to make UNFPA "fit for purpose" in delivering on its Strategic Plan 2018-2021, and subsequent Plans, and, in turn on the Agenda 2030.</p> <p>Additional change initiatives will be launched to complement those already identified and equip UNFPA to deliver on the Strategic Plan, Agenda 2030 and the UNDG Reform.</p> <p>UNFPA continues to remain a strong advocate, support and champion of the United Nations Reform, and, more specifically, of the United Nations Development System. With adoption of General Assembly Resolution A/RES/72/279 on the repositioning of the United Nations development system, UNFPA will further engage and ensure to implement implications from the resolution adoption and continue to implement and champion UN Reform.</p> <p>The Change Management Secretariat with stakeholders will develop a capacity building plan to ensure that the Change Processes can</p>	Any information regarding this question would be helpful.

Review Question	Review Sub-Question	Sub-sub Question	Key Findings	Remarks
<i>(Adapted from overall Review Framework)</i>			<i>(After stating findings Indicate source by letter, corresponding to document list below)</i>	<i>(Include list of documents that may be applicable)</i>
			effectively be managed, implemented and cemented by different parts of the organization. The plan will contribute, as highlighted, for UNFPA to deliver the Strategic Plan, 2018-2021 and to respond to new requirements emerged by the UN Reform. (From UNFPA written feedback)	
	2.3 What experiences or lessons were drawn from prior practice or others practice that informed this change management plan? <i>(New question ONLY FOR DEEP DIVE CASES, introduced on 20th September 2019)</i>	2.3.1 Did the plan draw from either prior experiences of change management within the organization? If so, please describe how	No information currently (though might be possible to trace from Regionalization doc)	New questions for deep dives – to be followed-up with Elizeu
		2.3.2 Did the plan draw from other similar change management initiatives going on in other UN organizations (e.g. ERPs, HR reforms etc)? If so, please describe how	No information currently (though may be possible to trace)	New questions for deep dives – to be followed-up with Elizeu
IMPLEMENTATION OF CHANGE MANAGEMENT PROCESS				
3. How have the change management approaches been adopted/ adapted and implemented? (The 'How' question on implementation)	3.1 What was the scope – breadth and depth of the change process?	3.1.1 Was it system-wide, organization, department etc.	This initiative will be organisation-wide, developing a UNFPA culture of change and operational vision for change (B, 7)	
	3.2 How was the change management process led?	3.2.1 Who led the change management process? Who was the owner/sponsor of the change? What is their position in relation to management?	The CM process would be led by the Deputy Executive Director for Management. The Steering Committee will champion and oversees the process → it will be the coordinator and monitor the process. (B, 12) Establishing a CM mechanism under DED Management leadership to create and cover the whole organisation's change (G, 5)	
		3.2.2 Were consultants involved in implementation? If so, in what role?	Was coordinated by the CM Secretariat, ensuring the systemic and informed engagement to support strategic direction of senior management to obtain organisational efficiency & effectiveness (E, 1)	

Review Question	Review Sub-Question	Sub-sub Question	Key Findings	Remarks
<i>(Adapted from overall Review Framework)</i>			<i>(After stating findings Indicate source by letter, corresponding to document list below)</i>	<i>(Include list of documents that may be applicable)</i>
			<p>The Steering Committee is main internal forum who foster, manage and communicate the change processes to staff or stakeholders (B, 12)</p> <p>A series of change dialogues with staff including HQ, but also Regional and Country Offices.</p>	
		3.2.3 What was the size of the team? Where was the CM team located?	<p>In June 2018 a team of dedicated staff for change Management was constituted Four SM (including the Executive Coordinator). It is called <i>The Change Management Secretariat</i></p> <p>It is its own independent entity but reports to the Steering Committee (H, 2)</p>	
		3.2.4 Is there an institutionalized function for change management in the organization or was the function time-bound for this specific initiative? <u>If yes, please include information in question 7 as well.</u>	<p>The development of the Master Plan – to act as a basis for change rationale, a CM plan, assumptions for managing and implementing change as well as others (A, 3)</p> <p>The CM Secretariat would work specifically at helping staff embrace change, consolidating and mainstreaming so they become part of the UNFPAs <i>modus operandi</i> (A,4) See Section 7 for more details</p> <p>Currently is time bound for this initiative, but there is desire to institutionalise the CM Secretariat (E, 1)</p>	
		3.2.5 What mechanisms were put in place to oversee the change management process? Did it include the head of organization, the governing body, just senior managers, or other? What role was played by each?	<p>To provide oversight/project management a governance framework was formed by the ED and EC which would be led by the DED. The DED would:</p> <ul style="list-style-type: none"> - Oversee work of CM Secretariat - Chair the CM Steering Committee <p>(All from B, 12)</p> <p>The Executive Board has followed closely the change management process. Between January to August 2018 five consultations were hold with the Executive Board focusing on Change Management. (UNFPA response)</p>	

Review Question	Review Sub-Question	Sub-sub Question	Key Findings	Remarks
<i>(Adapted from overall Review Framework)</i>			<i>(After stating findings Indicate source by letter, corresponding to document list below)</i>	<i>(Include list of documents that may be applicable)</i>
	3.3 How was the change management process structured?	3.3.1 Did the process have a definitive start and end?	Jan 2018 – ongoing. Change projects and work streams are part of the process	
		3.3.2 How long did it last?	The process is still ongoing at this stage	
	3.4 How was it implemented?	3.4.1 Describe the implementation process (refer to the plan in 2.1.3)	The Implementation Plan, which constitutes – a dynamic the Master Plan (under development) Referring back to question 1.1.3 are those 5 strategies more implementation processes a. Advocacy and policy dialogue b. Capacity development c. Knowledge management d. Partnership and coordination Service delivery, including south-south and triangular cooperation	
		3.4.2 What communication mechanisms were used?	A specific communication strategy was formulated and communication activities being detailed under a communications plan. - change dialogues, - Webinars - Town-hall meetings - Change agents within UNFPA who have direct communication with staff. They create space for new ideas to foster and provide insights for managers. - ‘pace of change’ videos to share perspectives from the field. (L2)	
		3.4.3 How was the change initially framed and presented to staff?	A Portal for Change was created to share information to staff on a regular basis. All information shared with Member States is also shared with all Staff Members. Info is constantly updated and regular messages shared with all staff. Change Dialogues are organized at HQ, but via webinars with staff members in the field.	
	3.5 How much reflexive learning took place during the	3.5.1 What learning and adaptive management processes were put in place	As part of continuous change management, UNFPA will explore additional areas for streamlining and improved effectiveness and efficiency (C, 4)	

Review Question	Review Sub-Question	Sub-sub Question	Key Findings	Remarks
<i>(Adapted from overall Review Framework)</i>			<i>(After stating findings Indicate source by letter, corresponding to document list below)</i>	<i>(Include list of documents that may be applicable)</i>
	process? Was it evaluated during or after?	during or after the CM process? (please specify when put in place in relation to the process)	Let's Talk about change sessions (now re-branded as Change Dialogues) and webinars served alongside with online channel and survey to collect information about change process.	
4. What have been the resource implications of change management?	4.1 How was the CM budgeted?	4.1.1 What was the source of financing- core resources/XB. Implications.	The financial impact of the CRR results/adjustments will be reflected in revised budget proposal for 2018-2021 (by March). (C, 4) UNFPA is 65% non-core 35% core financed (approx 350 core and 525 non-core – total 875US\$ million this year) making it difficult to change due to different donor priorities linked to earmarked non-core financing. Shifted from 55% core and 45% non-core 7 years ago. (L.5)	Has this revised proposal been made available yet?
	4.2 What were the major cost elements and actual costs (where available)?	4.2.1 What were the cost elements – financial, human (non-financial), etc? (Actual cost breakdown if possible to estimate)	The budget of the change management secretariat is yearly planned and does not encompass all the costs of implementation of changes, which was designed to be absorbed by the respective units. However, the Master Plan - under development - is estimating the costs for future activities.	
RESULTS OF CHANGE MANAGEMENT PROCESS				
5. What are the results and critical success factors of the change process or approach?	5.1 What were the results of the change process? <i>(Is there evidence of sustainability of these changes? What is the degree to which organization is working differently and people are behaving differently? Degrees of result or proxies around these include cost reduction (staff and non-staff); service levels; reduced risks; behavioural changes;</i>	5.1.1 What were the <u>short-term</u> outputs? How were they assessed?	No additional information provided.	No evidence of a benefits plan yet, so possibly a gap here. Follow-up.
		5.1.2 What were the <u>intermediate or long</u> outcomes? How were they assessed? Did they bring about the desired transformation? (linked back to objectives in 2.1.1) Examples of specifically change management outcomes (changes in practice and behaviour) <ul style="list-style-type: none"> Defined improvements in accountability as a 	There is referral to <u>intended</u> outputs (which are actually intermediate outcomes as per our guidance note) to enhance organisational efficiency and effectiveness. These consisted of: 1) Improving programming for results <ul style="list-style-type: none"> Programme Division Technical Services Regional Desks, South-South Humanitarian architecture 2) Optimising resource management <ul style="list-style-type: none"> Planning and budgeting ESARO Hub Travel ICT Transformation Pooling for HQ Finance 	

Review Question	Review Sub-Question	Sub-sub Question	Key Findings	Remarks
<i>(Adapted from overall Review Framework)</i>			<i>(After stating findings Indicate source by letter, corresponding to document list below)</i>	<i>(Include list of documents that may be applicable)</i>
	<i>improved collaboration etc.)</i>	consequence of redefined and communicated roles and responsibilities <ul style="list-style-type: none"> • Staff satisfaction levels • Client satisfaction levels 	3) Enhancing communication, resource mobilisation and partnerships for impact <ul style="list-style-type: none"> - DGM - Partnerships - Increasing contribution to UN system-wide results, coordination and coherence 	
	5.2 How did the process affect the results?	5.2.1 How did the change management results contributed to the reform results or outcomes and in what way? What is the value-add of the structured process, where used?	The initiative in its infancy – so not possible to answer this yet.	
LESSONS FROM CHANGE MANAGEMENT PROCESS				
6. What lessons can be derived to guide future change management initiatives?	6.1 What are considered critical factors +/-	6.1.1 What do those involved, and those affected considered critical factors in success/ failure of the change management process? Are these distinguishable from the reforms behind the change etc.	The initiative in its infancy – so not possible to answer this yet.	
		6.2.1 What features seem to be key to a successful CM process?	Transparency and sufficient communication between all levels of staff or departments is crucial A very clearly laid out and defined structure, detailing the various roles and responsibilities and also the establishment of a specialist team to coordinate the CM process(es)	Please provide some details on what you have included to ensure the CM process is as positive as possible.
	6.2 What positive features identified are transferable or scalable, which are not and why?	6.2.2 How unique are these to the context in which they were implemented?		Are you aware of any other organisations that have developed a similar comprehensive plan?

Review Question	Review Sub-Question	Sub-sub Question	Key Findings	Remarks
<i>(Adapted from overall Review Framework)</i>			<i>(After stating findings Indicate source by letter, corresponding to document list below)</i>	<i>(Include list of documents that may be applicable)</i>
				Please provide more details or thoughts.
		6.2.3 What generalizable lessons can be identified?	The initiative in its infancy – so not possible to answer this yet.	
	6.3 What has the organization learnt from this process?	6.3.1 Would the organization run the process the same way again, or do things differently? If so, how?	The initiative in its infancy – so not possible to answer this yet.	

Change Management Functions in the Organization

Review Question	Review Sub-Question	Additional Description	Key Findings	Gaps and Questions
7. To what extent have change management functions been institutionalized?	7.1 Does the Participating Organization (PO) have a Change Management function – formalized or otherwise?	7.1.1 Is there a team – time-bound or fixed – working on CM across multiple initiatives (i.e. beyond a single time-bound change process)?	<p>There was the formation of the CM Secretariat to coordinate all major CM initiatives</p> <p>Was set up as time-bound project in mind but hopes for it to be kept on and institutionalised (H, 2)</p>	
	7.2 What are its objectives?	7.2.1 How was it established? When? What is its purpose? How sustainable is it?	<p>Formed in response to evaluation of 2014-2017 strategic plan that lack clear process in CM</p> <p>The <u>purpose</u> of the Change Management Secretariat (CMS) is to ensure substantive and operational coherence and integration of the various change management initiatives and processes within UNFPA to support the design and implementation of change; serving as space for institutional thinking; the Secretariat for the Steering Committee; and to communicate and share information on institutional change.</p> <p>CMS is the focal point for change management work streams coordination; ensure targeted progress on implementation of the Change management process and manages institutional responses to change management, in accordance with agreed established governance. CMS works in main interlinked areas, coordinating the organization's day-to-day change management related preparedness processes.</p> <p>Its continuation beyond 2020 is still pending, as for the time being it is a temporary structure with a staff of the Executive Office leading, a seconded staff from another division and two temporary appointments to support monitoring implementation and communication respectively.</p> <p>Since its creation the “office” is being utilised as a catalyst for change, but just recently was expanded and is now counting with 4 SM. Member States has acknowledged the work of UNFPA in taking a systematic approach and progress made so far.</p>	

			<p>Key functions</p> <ul style="list-style-type: none"> - To provide assistance to UNFPA units on the design and implementation of the comprehensive change management process, including coherence of various work streams and initiatives. - To help analyzing and identifying key levers for transformational organizational change; Regional/country/HQ structures, Operational efficiency. - To engage with different parts of the organization in building change process, communicating on change. - To provide timely response to Senior Management on the implementation of the Change Management process. - To formulate and monitor work plans and progress reports. - To identify options and develop operational tools for Change Management. - To foster a common culture and practice for Change Management. - To promote knowledge sharing within and across units on change management matters. - To build a conducive environment for internal communications on change management. - To provide advice on change management and structural implications. - To identify, assess, respond and monitor risks (strategic, programmatic and operational) at all levels by conducting risk reviews and implementing mitigation strategies to implement change management. - To provide briefings to Senior Management on UN Reform implications for UNFPA change management. - To coordinate and collaborate with IDWG on UNFPA contributions to UN Reform 	
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	7.3 How is it structured, staffed and funded?	7.3.1 How many staff, and at what grades? Who does it report to? How is it funded and to what levels?	Consists of 4 staff now and 1 intern – up from only 1 staff Reports to the Steering Committee under the DEP (who leads the CM)	Any details on or source and amount of funding?
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Document Key

Document	Document Title	Document Source
A.	UNFPA_6. 2018 Comprehensive Change Process_Summary note	UNFPA provided
B.	UNFPA_7. 2018 Comprehensive Change Process_Background Note	UNFPA provided
C.	UNFPA_8. 2018 Comprehensive Change Process_Executive Briefs	UNFPA provided
D.	UNFPA_9. 2018 Comprehensive Change Process_Steering Committee TORs	UNFPA provided
E.	UNFPA_10. 2018 Comprehensive Change Process_Secretariat TORs	UNFPA provided
F.	UNFPA-11. 2018 Comprehensive Change Management Process_Evaluation of the Architecture of the SP 2014-2017	UNFPA provided
G.	presentation on CM - 26 jan 2018	JIU sourced
H.	M1-UNFPA-18JUN2018	JIU formed
I.	UNFPA, July 2018, Comprehensive Change Process Implementation Plan	UNFPA provided
J.	UNFPA, undated, Comprehensive Change Process Risk Mitigation Plan	UNFPA provided
K.	UNFPA, undated, untitled, 2018 Budget for UNFPA Change Management Secretariat	UNFPA provided
L.	UNFPA Minute Notes	JIU

12. UN-Habitat – Change Process

Overall comments	<ul style="list-style-type: none"> The reform proposed seeks to be in alignment with overall reform for the repositioning of the UN system for the 2030 Agenda and management reforms of the Secretary General. Thus shares the following aspirations for a collective priorities and actions for the UN system: (i) Critical focus on people and less on process and more on delivery and less on bureaucracy; (ii) more effectiveness in the field, well-coordinated and accountable to better assist countries through the 2030 Agenda; make the humanitarian-development nexus tangible; sustaining peace and conflict prevention; achieve gender parity. All reforms are underpinned by a sweeping management reform: to simplify procedures and decentralize decision; have greater transparency, efficiency and accountability. There is substantial information available on the overall reform and the change management plan. However, since the reform is in its initial stages there is limited information on implementation, results and lessons. The case summary is considered complete.
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Review Question	Review Sub-Question	Sub-sub Question	Key Findings	Remarks
<i>(Adapted from overall Review Framework)</i>			<i>(After stating findings Indicate source by letter, corresponding to document list below)</i>	<i>(Include list of documents that may be applicable)</i>
REFORM/INITIATIVE OVERVIEW				
1. Details of the organizational reform/initiative (The 'What' question – what the initiative and reasoning behind it was?)	1.1 A brief summary of the reform/initiative.	1.1.1 What is its purpose? What are the objectives?	Positioning of the organization to continue to adapt to a changing world and to increase impact. Expected outcomes of the organizational change process (internal organizational goals) UN-Habitat is: <ul style="list-style-type: none"> trusted, transparent and accountable operates effectively, efficiently, and collaboratively its expertise is relevant, valued and in demand 	
		1.1.2 When did it start? When did it end?	2018-19 The Change Process began in March 2018, just over a month from the commencement of the tenure of the Executive Director. Most of the Change Process is envisaged to be complete by end 2019, before the new Strategic Plan (2020-25) is launched.	

Review Question	Review Sub-Question	Sub-sub Question	Key Findings	Remarks
<i>(Adapted from overall Review Framework)</i>			<i>(After stating findings Indicate source by letter, corresponding to document list below)</i>	<i>(Include list of documents that may be applicable)</i>
		1.1.3 What are the key elements/sub-initiatives?	<p>The ideas for change are structured around 7 key priorities which would drive change. They are to be refined based on further consultation, prioritization and validation.</p> <ol style="list-style-type: none"> 1. Vision: foster a value-driven way of working to achieve our shared vision and purpose; 2. Impact and fit for purpose: deliver impact at scale in all that we do to change lives for the better 3. Collaboration: collaboration effectively within UN system and externally to achieve more collectively 4. Systems and Processes: get systems and processes right for maximum efficiency- remove rigidity, siloes, duplications, inconsistencies, poor communication, poor results reporting etc. 5. Leadership: Engage and empower people to collectively drive change 6. Team: Create a safe and productive workplace where talent thrives 7. Funding: Regain trust and confidence of funders to deliver our mandate <p>Changes in mindset, new ways of working, behaving etc. are being developed in the Change Actions. Refer to Change Paper, Change Agents retreat and Senior Management retreat, and Priority Actions document.</p>	
		1.1.4 When and by whom was it approved?	Change Actions were approved by the ED during the Change Workshop in September 2018.	
		1.1.5 Was the reform evaluated? What were the achievements, results, and/or outcomes?	Not yet -too early since most change actions are not yet complete.	
	1.2 What were the underlying factors or drivers behind this reform/initiative?	1.2.1 What were the drivers? The causes of the initiative, generally an overarching, longer-term shift affecting how the organization operates.	<ul style="list-style-type: none"> • Need to adapt to a changing world and global challenges including the rise in urbanization in very poor countries. • The financial situation was indeed a challenge that had to be addressed. UN-Habitat's efficiency in delivery, financial and substantive reporting, effectiveness in leveraging efforts of others, extent of normative work and delayed governance 	

Review Question	Review Sub-Question	Sub-sub Question	Key Findings	Remarks
<i>(Adapted from overall Review Framework)</i>			<i>(After stating findings Indicate source by letter, corresponding to document list below)</i>	<i>(Include list of documents that may be applicable)</i>
	Where distinct or additional to broader drivers of change, what specific events or triggers signalled the start? Each of these will affect the approach, speed, scope, resources and adoption of change management. They can be both expected or unexpected.		<p>reform had to be addressed in order to rebuild the trust of member states, partners and donors and to improve the Agency's relevance towards its mandate which had expanded as a result of the New Urban Agenda.</p> <ul style="list-style-type: none"> • Appointment of a new Executive Director 	
		1.2.2 Was there a specific event that acted as a trigger to get it started? It may be internal or external. These might include funding depletion, reputational (fraud, mismanagement) or other.	<p>Reform of the UN in response to the 2030 Agenda for sustainable development</p> <p>Reduction of financial resources, changing priorities within the UN System Reform, poor rating in staff satisfaction survey, member states demands for improved transparency and reported effectiveness were triggers to the reform process.</p>	
PLAN OF CHANGE MANAGEMENT PROCESS				
2. Which change management approaches have been used in the <u>design</u> of the above reform or initiative? (The 'How' question on design – what did they set out to do?)	2.1 Describe the design or plan for change management in the initiative?	<p>2.1.1 What were the specific objectives of change management within the design of the initiative?</p> <p><i>Examples of specific objectives:</i></p> <ul style="list-style-type: none"> - Behaviour change to facilitate fuller adoption of new technology (e.g. UMOJA) - Empowerment of all staff to increase adoption of new policy - Improve communication of new roles and responsibilities <p><i>Enhance openness and transparency as part of an effort to increase accountability culture in an organization</i></p>	<p>1. Main objectives: (C.30)</p> <ol style="list-style-type: none"> Make behaviour shifts a reality - Focused on 5 behaviour shifts (D.20) <ol style="list-style-type: none"> Not always accountable (content, people, impact) to we are accountable always Lapsed standards (people, content) to excellence in all that we do Low EQ to genuine care and understanding Silos and lack of trust to think corporate and collaborate (including with all country offices) Me first to team, UN-Habitat and the people we serve Communicate change progress Engage Change Leaders and Change Agents <p>2. Objectives of the Change Leaders Workshop (C)</p> <ol style="list-style-type: none"> Change Leaders (SMB) develop a shared understanding of the overall Change Process, the importance of their role as leaders and the linkage across all the different on-going processes, e.g., Strategic Plan, Organization Restructuring 	

Review Question	Review Sub-Question	Sub-sub Question	Key Findings	Remarks
<i>(Adapted from overall Review Framework)</i>			<i>(After stating findings Indicate source by letter, corresponding to document list below)</i>	<i>(Include list of documents that may be applicable)</i>
			<ul style="list-style-type: none"> b. Alignment on behaviour shifts needed, both at the level of management and the various working teams, to truly deliver tangible change across UN-Habitat c. Revisit Change Actions to prioritise the most impactful actions that will deliver tangible change – actions that will make a significant difference to how people in UNHabitat think, feel and behave <p>3. Objectives of the Change Agents Workshop (D.3)</p> <ul style="list-style-type: none"> a. Change Agents develop a shared understanding of the overall Change Process, and the importance of their role as Change Agents b. Change Agents align on their roles and activities to be conducted, both at their workplace, as well as in role-modelling the desired behaviours, to truly deliver tangible change across UN-Habitat c. Change Agents are provided with leadership skills and tools that will help them in their roles when they return to their workplaces 	
		2.1.2 Did the approach to change management draw from established practices (Kotter, McKinsey, PWC, UNLOCK etc) or not? If so, how?	<p>The model is a staff-led model, with background support from a Change Expert which is currently being recruited, and prior to this, with the occasional engagement of a former McKinsey expert as an advisor to the change process.</p> <p>Change Task team members attended a training event by the UN Staff college - UNLOCK. The team further met with OCHA and ILO personnel leading their Agencies' change process. The OCHA consultation involved a visit of the head of the OCHA change team to UN-Habitat where she shared what had worked well and what had not. UN-Habitat also briefly engaged a former McKinsey expert as an advisor to the change process, and now with funding for a change process will recruit an expert in January.</p> <p>The lessons from ILO and OCHA are included in the change agents and leaders' workshops (C, D)</p>	

Review Question	Review Sub-Question	Sub-sub Question	Key Findings	Remarks
<i>(Adapted from overall Review Framework)</i>			<i>(After stating findings Indicate source by letter, corresponding to document list below)</i>	<i>(Include list of documents that may be applicable)</i>
		<p>2.1.3 Was a specific plan prepared outlining the change management process(es)?</p> <p>Examples of elements of plan:</p> <ul style="list-style-type: none"> - change readiness assessment - definition of type and scope of change - Approach to engaging with staff and stakeholders - Institutional framework (governance, management, change management team, etc) - Defined role of leadership - Process plan (training, engagement etc) - Reflexive learning plan (monitoring and internal evaluation) <p>Who prepared this plan – done internally or by an outside company? If external, please state who?</p>	<p>Under Leadership: (A.3)</p> <ol style="list-style-type: none"> 1. Change management training to Senior management to Deliver strategic priorities 2. Continued structured engagement and seeking feedback with staff; communication and actions to indicate that change process is real (e.g. town hall, FB workplace, survey -acknowledge how feedback has been absorbed) 3. Engage external support to help drive change process. <p>Under Team management: (A.3)</p> <ol style="list-style-type: none"> 1. Address talent management 2. provide sufficient response to bullying, harassment, sexual harassment; exploitation. 3. Co-create internal communications plan with tools and activities to strengthen interactions. <p>The 7 priority were derived through a detailed process of consultation by the ED with support of the Change Task Team, across all levels of the organisation and all departments, as well as with member states and key stakeholders</p> <p>A workshop amongst UN-Habitat Senior Management staff took place in September, facilitated by a consultant that had supported the Change Task Team in developing the Change Paper in which defined the seven Change Areas. The analysis that led to the definition of areas of change was shared and through a facilitated process the senior management identified 5 organisational culture shifts that will be incorporated into their appraisals and identified priority actions related to the 7 areas of change. They took individual responsibility for leading these change actions in collaboration with Change Agents and the Change Task Team. Immediately after the Senior Management workshop, Change Agents met in a workshop facilitated by the same consultant. The analysis that led to identifying change priorities was presented; Change Agents were trained in their role including through 4 OCHA change agents that joined remotely. They reviewed the 5 Culture Shifts and priority actions within the 7 change areas and provided their inputs,</p>	<p>There is no specific plan prepared outlining the change management processes. However, these elements are taken from the overall plan of the change process.</p>

Review Question	Review Sub-Question	Sub-sub Question	Key Findings	Remarks
<i>(Adapted from overall Review Framework)</i>			<i>(After stating findings Indicate source by letter, corresponding to document list below)</i>	<i>(Include list of documents that may be applicable)</i>
			then identified the priority actions whose development they would support.	
	2.2 How did the triggers of the organizational reform or management initiative influence the change management approach?	2.2.1 What effect, if any, did the drivers or triggers of the reform have on the objectives and plan for change management?	Reduction of financial resources, changing priorities within the UN System Reform, poor rating in staff satisfaction survey, member states demands for improved transparency and reported effectiveness were triggers to the reform process. However, the objectives and plan for change management were primarily informed by the extensive consultation process amongst personnel, member states and partners, and the review of recent external evaluations and OIOS reports.	
IMPLEMENTATION OF CHANGE MANAGEMENT PROCESS				
3. How have the change management approaches been adopted/ adapted and implemented? (The 'How' question on implementation)	3.1 What was the scope – breadth and depth of the change process?	3.1.1 Was it system-wide, organization, department etc.	Organization wide	
	3.2 How was the change management process led?	3.2.1 Who led the change management process? Who was the owner/sponsor of the change? What is their position in relation to management?	The Executive Director leads, supported by the Change Task Team that advises, monitors and reports on the change process, senior management team that conducts the change actions and Change Agents that support the development, implementation and monitoring of the change process across the agency.	
		3.2.2 Were consultants involved in implementation? If so, in what role?	The model is a staff-led model, with background support from a Change Expert which is currently being recruited, and prior to this, with the occasional engagement of a former McKinsey expert as an advisor to the change process.	
		3.2.3 What was the size of the team? Where was the CM team located?	No information available	
		3.2.4 Is there an institutionalized function for change management in the organization or was the function time-bound for this specific initiative? <u>If yes, please include information in question 7 as well.</u>	No information available	

Review Question	Review Sub-Question	Sub-sub Question	Key Findings	Remarks
<i>(Adapted from overall Review Framework)</i>			<i>(After stating findings Indicate source by letter, corresponding to document list below)</i>	<i>(Include list of documents that may be applicable)</i>
		3.2.5 What mechanisms were put in place to oversee the change management process? Did it include the head of organization, the governing body, just senior managers, or other? What role was played by each?	No information available	
	3.3 How was the change management process structured?	3.3.1 Did the process have a definitive start and end?	No information available	
		3.3.2 How long did it last?	No information available	
	3.4 How was it implemented?	3.4.1 Describe the implementation process (refer to the plan in 2.1.3)	<ol style="list-style-type: none"> 1. UN-Habitat level “Champion” appointed and “Change agents” appointed at middle management level (to support the UN-Habitat Champion). (E) 2. Change Leaders Workshop (C) 3. Change Agents Workshop (D) 4. Change Agents Selection Process (D.4) <ol style="list-style-type: none"> a. The selection ensured gender balance, regional and HQ representation, contract diversity, diversity of years of experience at UN-Habitat, and representation of national and international staff at duty stations. b. 39 Change Agents were selected from 71 Applicants c. The pre-selection was done by the Change Task Force while the final list was validated by the Executive Director of UN-Habitat <p>The initiative is still in its initial process, with limited information on implementation.</p>	
		3.4.2 What communication mechanisms were used?	No information available	
		3.4.3 How was the change initially framed and presented to staff?	No information available	
	3.5 How much reflexive learning took place during the	3.5.1 What learning and adaptive management processes were put in place	No information available	

Review Question	Review Sub-Question	Sub-sub Question	Key Findings	Remarks
<i>(Adapted from overall Review Framework)</i>			<i>(After stating findings Indicate source by letter, corresponding to document list below)</i>	<i>(Include list of documents that may be applicable)</i>
	process? Was it evaluated during or after?	during or after the CM process? (please specify when put in place in relation to the process)		
4. What have been the resource implications of change management?	4.1 How was the CM budgeted?	4.1.1 What was the source of financing- core resources/XB. Implications.	No information available	
	4.2 What were the major cost elements and actual costs (where available)?	4.2.1 What were the cost elements – financial, human (non-financial), etc? (Actual cost breakdown if possible to estimate)	No information available	
RESULTS OF CHANGE MANAGEMENT PROCESS				
5. What are the results and critical success factors of the change process or approach?	5.1 What were the results of the change process?	5.1.1 What were the <u>short-term</u> outputs? How were they assessed?	<p>Anticipated outputs of the change Leaders workshop (C.3)</p> <ol style="list-style-type: none"> 1. A shared understanding of the Change Process and the importance of engaging people by balancing performance and health to truly deliver change across UN-Habitat 2. Alignment on the actions needed to scale-up and accelerate Change, combining Behaviour Shifts and Change Actions 3. Commitment from Change Leaders to lead by example and drive the Change Process, including leading implementation of Change Actions <p>Expected outcomes from the change agents Workshop (D.3)</p> <ol style="list-style-type: none"> 1. A shared understanding of the Change Process and the importance of engaging people by balancing performance and health to truly deliver change across UN-Habitat 2. Alignment on the actions needed by Change Agents and the support needed from the Change Task Force for Change Agents to succeed 3. Commitment from Change Agents to role model behavior changes and support the Change Process, especially communicating updates and new information within their circles of influence 	
		5.1.2 What were the <u>intermediate or long</u>	No information available	

Review Question	Review Sub-Question	Sub-sub Question	Key Findings	Remarks
<i>(Adapted from overall Review Framework)</i>			<i>(After stating findings Indicate source by letter, corresponding to document list below)</i>	<i>(Include list of documents that may be applicable)</i>
		outcomes? How were they assessed? Did they bring about the desired transformation?		
	5.2 How did the process affect the results?	5.2.1 How did the change management results contributed to the reform results or outcomes and in what way? What is the value-add of the structured process, where used?	No information available	
LESSONS FROM CHANGE MANAGEMENT PROCESS				
6. What lessons can be derived to guide future change management initiatives?	6.1 What are considered critical factors +/-	6.1.1 What do those involved, and those affected considered critical factors in success/ failure of the change management process? Are these distinguishable from the reforms behind the change etc.	Lessons from ILO's Change Process (C.15) <ul style="list-style-type: none"> - Plan, Sequence, integrate - Communicate - Take proper time - Get help - Track impact - Tools to support real change - Do not forget heart - Do not promise what we cannot deliver - Do not do it without help - Do not take your time – hurry 	
	6.2 What positive features identified are transferable or scalable, which are not and why?	6.2.1 What features seem to be key to a successful CM process?	No information available	
		6.2.2 How unique are these to the context in which they were implemented?	No information available	
		6.2.3 What generalizable lessons can be identified?	No information available	
	6.3 What has the organization learnt from this process?	6.3.1 Would the organization run the process the same way again, or do things differently? If so, how?	No information available	

Document Key

Document	Document Title	Document Source
A.	Guiding Framework for Un-Habitat's Change Process: Changing to Increase Impact (draft 1, 8 May 2010)	UN- Habitat
B.	PPT UN-Habitat for a Better Urban Future: Changing to Increase Impact	UN- Habitat
C.	UN-Habitat – Change Leaders Workshop 2018	UN- Habitat
D.	UN-Habitat – Change Agents Workshop 2018	UN- Habitat
E.	Change Management Matrix	UN- Habitat
F.	UN-Habitat Change Actions 2018	UN- Habitat

13. UNHCR – Structural and Management Reform

Overall comments	<ul style="list-style-type: none"> The case summary was completed by JIU. Additional information was added based on an interview and further documentation. The documents provide a good overview of the reform and substantial information on the out-posting component of it. From the information provided, there does not appear to have been a comprehensive change management process, however, facets of change activities related to communications and trainings were part of the process. The case is considered complete, but we may follow-up in January/ February 2019 on any remaining issues.
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Review Question	Review Sub-Question	Sub-sub Question	Key Findings	Remarks
<i>(Adapted from overall Review Framework)</i>			<i>(After stating findings Indicate source by letter, corresponding to document list below)</i>	<i>(Include list of documents that may be applicable)</i>
REFORM/INITIATIVE OVERVIEW				
1. Details of the organizational reform/initiative (The 'What' question – what the initiative and reasoning behind it was?)	1.1 A brief summary of the reform/initiative.	1.1.1 What is its purpose? What are the objectives?	The aim is to improve UNHCR's responsiveness to the needs of its beneficiaries by putting more of its resources on the front line and more of its services where they are most effective (A.1) Objectives: 1. Create a more streamlined Headquarters 2. Enhance overall performance and effectiveness of UNHCR's Field presence (A.1) The main focus was on efficiency. (O))
		1.1.2 When did it start? When did it end?	Reforms started in 2006. (B.1) and elements of it continued throughout 2015 (J.3). Bulk of changes took place in 2007-2009 (F.2)	
		1.1.3 What are the key elements/sub-initiatives?	The following were the elements of the reform (J.2): 1. Results-based management (RBM) (2006-9, 2011) 2. Regionalization (2008, 2012) – limited focus on regionalization, greater focus during the second set of reforms (The Change Process) (O) 3. Human resources (2008-2011) 4. Operational support (2007-2012) 5. Accountability and oversight a. Internal oversight (2011) b. Enterprise risk management (2014) c. Financial accountability (2015) 6. Management reforms a. Simplification (2011) b. Policy Management (2010) c. Internal communication (2011) d. Out-posting (2007) – out posting of administrative functions should occur in the form of a consolidated Administrative Support Centre outside of Headquarters. Colocation would	

Review Question	Review Sub-Question	Sub-sub Question	Key Findings	Remarks
(Adapted from overall Review Framework)			(After stating findings Indicate source by letter, corresponding to document list below)	(Include list of documents that may be applicable)
		1.1.4 When and by whom was it approved?	UNCHR High Commissioner, 2007 (G.1)	
		1.1.5 Was the reform evaluated? What were the achievements, results, and/or outcomes?	There was no focused evaluation of the entire process	
	1.2 What were the underlying factors or drivers behind this reform/initiative?	1.2.1 What were the drivers? The causes of the initiative, generally an overarching, longer-term shift affecting how the organization operates.	The drivers were; 1.Change of leadership at a difficult moment for the organization 2. Declining reputation and declining finances. 3. Expanding number of beneficiaries – from 36 million in 2012 to 55 million in 2014. (J.3) 4. Changes in funding patterns (J.3) 5. Greater expenditure through implementing partners (J.3) 6. Limited resources (A.1)	
		1.2.2 Was there a specific event that acted as a trigger to get it started? It may be internal or external. These might include funding depletion, reputational (fraud, mismanagement) or other.	Triggers were; 1.Urgent need to re-balance of funding from HQ towards field operations 2. Need to increase cost efficiency of HQ. (L5)	
		PLAN OF CHANGE MANAGEMENT PROCESS		
2. Which change management approaches have been used in the <u>design</u> of the above reform or initiative?	2.1 Describe the design or plan for change management in the initiative?	2.1.1 What were the specific objectives of change management within the design of the initiative?	There was no clear set of objectives outlined for the change management processes. However, there was a Terms of Reference for the Outposting Implementation Task Force. Some of them could be identified as change management objectives and are listed below: 1. Increase the link with other operational support and strategic functions, such as Emergency Management, through necessary communication procedures and enhanced use of technology. (L6) 2. Effective communication to the UNHCR community regarding the rationale for creating an OC and the implications for other administrative processes. (M.5)	

Review Question	Review Sub-Question	Sub-sub Question	Key Findings	Remarks
<i>(Adapted from overall Review Framework)</i>			<i>(After stating findings Indicate source by letter, corresponding to document list below)</i>	<i>(Include list of documents that may be applicable)</i>
(The 'How' question on design – what did they set out to do?)		2.1.2 Did the approach to change management draw from established practices (Kotter, McKinsey, PWC, UNLOCK etc) or not? If so, how?	<p>Yes, two external consultancies for out posting in 2007.</p> <p>The first of these helped consolidate proposals formulated by UNHCR management and conduct a preliminary evaluation of Potential locations. (L1)</p> <p>The second, which took the form of a full feasibility study conducted by PricewaterhouseCoopers (PwC) with special funding from the Government of the Netherlands, tested the viability of out posting, reviewed input received from the Staff Task Force on Reform and the Staff Council, and evaluated and shortlisted potential locations to be further considered by UNHCR</p>	
		2.1.3 Was a specific plan prepared outlining the change management process(es)? Who prepared this plan – done internally or by an outside company? If external, please state who? -	<p>Yes, a feasibility study that contained some elements of change management processes for out posting. The relevant elements are as follows;</p> <ol style="list-style-type: none"> 1. The PwC study reached the conclusion that there is a clear case in favour of out posting and that it would yield significant financial benefits and provide the Office with important opportunities for organizational renewal, with a level of risk that is real but manageable. (N.3) 2. The final report from PwC was shared with the Staff Council and Staff Task Force on 16 April 2007 with a request that they provide comments additional to those contained in the earlier report of the Staff Task Force on the consolidated management proposal. (N.4) 3. Consultations with Executive Committee Members. Discussions with the Governments of the four countries shortlisted by PwC in order to explore the conditions, privilege and immunities that would be granted to UNHCR and its staff and any incentives that these Governments might provide to further enhance the benefits accruing to the Office. 	
	2.2 How did the triggers of the organizational reform or management initiative influence the change management approach?	2.2.1 What effect, if any, did the drivers or triggers of the reform have on the objectives and plan for change management?	No specific effect.	

Review Question	Review Sub-Question	Sub-sub Question	Key Findings	Remarks
<i>(Adapted from overall Review Framework)</i>			<i>(After stating findings Indicate source by letter, corresponding to document list below)</i>	<i>(Include list of documents that may be applicable)</i>
IMPLEMENTATION OF CHANGE MANAGEMENT PROCESS				
3. How have the change management approaches been adopted/ adapted and implemented? (The 'How' question on implementation)	3.1 What was the scope – breadth and depth of the change process?	3.1.1 Was it system-wide, organization, department etc.	Organization wide. All changes put together amount to organization wide reform.	
	3.2 How was the change management process led?	3.2.1 Who led the change management process? Who was the owner/sponsor of the change? What is their position in relation to management?	Director of Structural and Management Change, reporting to the HC, who was the owner/sponsor.	
		3.2.2 Were consultants involved in implementation? If so, in what role?	Consultants were hired to support planning and feasibility assessment of outposting. Apart from these, consultants were also hired to provide expert advice in technical areas, such as supply management, others. (L5)	
		3.2.3 What was the size of the team? Where was the CM team located?	Initially the team was headed by D2, supported by two P3s and one P2. When RBM project and organisational development were merged with change outfit, it became a sizable structure. Throughout its existence it reported to the High Commissioner.	
		3.2.4 Is there an institutionalized function for change management in the organization or was the function time-bound for this specific initiative? <u>If yes, please include information in question 7 as well.</u>	Historically, UNHCR have had an Organizational Development and Management Service (ODMS), which, however, have been mostly involved in structural reviews. It is envisaged that moving forward the organization, through the merger of ODMS and the change management team, will create a more permanent and professionalised project and change management capability.	
		3.2.5 What mechanisms were put in place to oversee the change management process? Did it include the head of organization, the governing body, just	No formalised Governance structure has been established. As mentioned above, the Director of Change reports to the High Commissioner who 'owns' the change process.	

Review Question	Review Sub-Question	Sub-sub Question	Key Findings	Remarks
<i>(Adapted from overall Review Framework)</i>			<i>(After stating findings Indicate source by letter, corresponding to document list below)</i>	<i>(Include list of documents that may be applicable)</i>
		senior managers, or other? What role was played by each?		
	3.3 How was the change management process structured?	3.3.1 Did the process have a definitive start and end?	Reforms started in 2006. (B.1) and elements of it continued throughout 2015 (J.3). Bulk of changes took place in 2007-2009 (F.2)	
		3.3.2 How long did it last?	Bulk of changes took place in 2007-2009 (F.2)	
	3.4 How was it implemented?	3.4.1 Describe the implementation process (refer to the plan in 2.1.3)	<u>1. For RBM</u> Two formal learning courses in programme management were launched in 2014 for mid- and senior-level staff with strong emphasis on RBM. In addition, UNHCR's introductory RBM e-learning programme has also been completed by over 2000 staff.	
		3.4.2 What communication mechanisms were used?	A portal was launched, together with regular organization-wide staff survey.	
		3.4.3 How was the change initially framed and presented to staff?	It was framed as a reform and review of UNHCR structures and processes Headquarters, the Field and the organic linkages between the two. Reacting to UNHCR facing a new and challenging environment in the context of UN reform, competition for resources, and an enlargement of our mission within the international humanitarian system.	
	3.5 How much reflexive learning took place during the process? Was it evaluated during or after?	3.5.1 What learning and adaptive management processes were put in place during or after the CM process? (please specify when put in place in relation to the process)	UNHCR created a Global Learning Centre which is a leader in this area within the UN System	
4. What have been the resource implications of change management?	4.1 How was the CM budgeted?	4.1.1 What was the source of financing- core resources/XB. Implications.	XB	
	4.2 What were the major cost elements	4.2.1 What were the cost elements – financial, human (non-financial),	Not applicable. Need to go to archives	

Review Question	Review Sub-Question	Sub-sub Question	Key Findings	Remarks
<i>(Adapted from overall Review Framework)</i>			<i>(After stating findings Indicate source by letter, corresponding to document list below)</i>	<i>(Include list of documents that may be applicable)</i>
	and actual costs (where available)?	etc? (Actual cost breakdown if possible to estimate)		
RESULTS OF CHANGE MANAGEMENT PROCESS				
5. What are the results and critical success factors of the change process or approach?	5.1 What were the results of the change process?	5.1.1 What were the <u>short-term</u> outputs? How were they assessed?	Effective communication to the UNHCR community regarding the rationale for creating an OC and the implications for other administrative processes.	
		5.1.2 What were the <u>intermediate or long</u> outcomes? How were they assessed? Did they bring about the desired transformation? (linked back to objectives in 2.1.1)	<ol style="list-style-type: none"> 1. The delivery of back-office processes by a specialist services operation will allow Finance and HR professionals in HQ to focus on, and strategically strengthen their “value-added” activities. 2. Transformation and standardization of processes and systems, and a focus on continuous improvement. 3. With standardization, it is easier to compare performance, maintain the processes and implement initiatives across the entire organization. 4. Effective transfer of knowledge to staff in the new location. 	
	5.2 How did the process affect the results?	5.2.1 How did the change management results contributed to the reform results or outcomes and in what way? What is the value-add of the structured process, where used?	Not evident from the information provided	
LESSONS FROM CHANGE MANAGEMENT PROCESS				
6. What lessons can be derived to guide future change management initiatives?	6.1 What are considered critical factors +/-	6.1.1 What do those involved, and those affected considered critical factors in success/ failure of the change management process? Are these distinguishable from the reforms behind the change etc.	<ol style="list-style-type: none"> 1. Transparent processes 2. Staff engagement 	

Review Question	Review Sub-Question	Sub-sub Question	Key Findings	Remarks
<i>(Adapted from overall Review Framework)</i>			<i>(After stating findings Indicate source by letter, corresponding to document list below)</i>	<i>(Include list of documents that may be applicable)</i>
	6.2 What positive features identified are transferable or scalable, which are not and why?	6.2.1 What features seem to be key to a successful CM process?	Strategic plan outlining overall direction and guiding organizational transformation	
		6.2.2 How unique are these to the context in which they were implemented?	Not evident from the information provided	
		6.2.3 What generalizable lessons can be identified?	Not evident from the information provided	
	6.3 What has the organization learnt from this process?	6.3.1 Would the organization run the process the same way again, or do things differently? If so, how?	We are aiming to establish a formal strategic planning process and permanent capacity to manage organizational transformation in alignment with a formal strategy. Many elements of this already exist.	

Change Management Functions in the Organization

If information on organizational level change management initiatives is found while reading through documents, please note details/findings below

Review Question	Review Sub-Question	Additional Description	Key Findings	Gaps and Questions
As in the second case summary. No additional information required.				

Document Key

Document	Document Title	Document Source
A.	Update on the structural and management change process (February 2007)	UNHCR
B.	Update on the structural and management change process (August 2007)	UNHCR
C.	Update on the structural and management change process - corrigendum (February 2008)	UNHCR
D.	Update on the structural and management change process (February 2008)	UNHCR
E.	Update on UNHCR's structural and management change process (February 2009)	UNHCR
F.	Update on UNHCR's structural and management change process (June 2010)	UNHCR
G.	Update on UNHCR's structural and management change process (September 2011)	UNHCR

H.	Update on modernization/innovation and simplification (February 2012)	UNHCR
I.	Update on innovation and simplification (February 2013)	UNHCR
J.	Update on UNHCR structural and management Reform (August 2015)	UNHCR
K.	Inter-office Memorandum No.042/2007	UNHCR
L.	Consolidated Decisions Outposting Proposal UNHCR (November 2006)	UNHCR
M.	Terms of Reference Appointment of a Special Director for Structural and Management Change (February 2006)	UNHCR
N.	UNHCR Outposting Feasibility Study Final Report. PWC (April 2007)	UNHCR
O.	Interview notes	JIU

14. UNHCR – Change Process

Overall comments	<ul style="list-style-type: none"> The case summary was completed by JIU. Further information was added based on an interview and documentation from UNHCR. The documentation provides a good overview of the reform and the work currently in progress on the change management elements. The initiative is currently on-going and there are limited results and lessons that can be used to draw upon. However, there is some useful documentation on organizational culture that has been provided by UNHCR. The case is considered complete, but may follow up on behavioural aspects of the reform in January/ February 2019 with respect to the chapter of our study on behavioural factors/ insights.
Themes for consideration in JIU report	<ul style="list-style-type: none"> Rapid organizational assessment Planning documents on changing behaviours and organizational culture (N, O – both documents are mentioned as work in progress)

Review Question	Review Sub-Question	Sub-sub Question	Key Findings	Remarks
<i>(Adapted from overall Review Framework)</i>			<i>(After stating findings Indicate source by letter, corresponding to document list below)</i>	<i>(Include list of documents that may be applicable)</i>
REFORM/INITIATIVE OVERVIEW				
1. Details of the organizational reform/initiative (The 'What' question – what the initiative and reasoning behind it was?)	1.1 A brief summary of the reform/initiative.	1.1.1 What is its purpose? What are the objectives?	Objective is to; 1. have space for country operations – giving country offices more power with a leaner HQ 2. make the right decisions 3. prioritize funds in optimal ways 4. capture context-specific knowledge and translate it into viable programmes 5. Partner in a collective effort to protect and assist forcibly displaced and stateless populations that includes many new faces and different points of view around the table.” 5. Making UNHCR more agile at the point of delivery (D.1, M)	
		1.1.2 When did it start? When did it end?	2017- ongoing (D.1) The Director for Change was appointed from 1st June 2017 for a two-year period. However, the Change Team headed by the Director will likely merge with the existing Organizational Development & Management Service and transform into a broader Organizational Development entity that will be tasked with on-going Organizational Change. (D.1)	
		1.1.3 What are the key elements/sub-initiatives?	Work streams agreed upon by the HC and other senior members: 1. Structural changes to enhance the focus on solutions	

Review Question	Review Sub-Question	Sub-sub Question	Key Findings	Remarks
<i>(Adapted from overall Review Framework)</i>			<i>(After stating findings Indicate source by letter, corresponding to document list below)</i>	<i>(Include list of documents that may be applicable)</i>
			<ul style="list-style-type: none"> a. Creation of a division of Resilience and Solutions b. Reconfiguration and refocusing of the Division of International Protections c. Reconfiguration and refocusing of the Division of Programme Support and Management 2. Partnerships <ul style="list-style-type: none"> a. Restructuring of the existing partnership management arrangements within the Division of External Relations to build a comprehensive partnership service. 3. Coherence and simplification <ul style="list-style-type: none"> a. Greater coherence on policy formulation b. Business Process Re-engineering of selected processes c. Establishment of a Project Management Office to coordinate project initiatives 4. Regionalization (rollout in 2019 – E.3) (D.1)	
		1.1.4 When and by whom was it approved?	The High Commissioner approved most of the 30 recommendations of the review in 2016. (A.1)	
		1.1.5 Was the reform evaluated? What were the achievements, results, and/or outcomes?	This is an on-going reform, hence no evaluation yet.	
	1.2 What were the underlying factors or drivers behind this reform/initiative? Where distinct or additional to broader drivers of change, what specific events or triggers signalled the start? Each of these will affect the approach, speed, scope, resources and adoption of change	1.2.1 What were the drivers? The causes of the initiative, generally an overarching, longer-term shift affecting how the organization operates.	1. Rapid Organizational Assessment (ROA) (D.1) 2. New York Declaration on Refugees and Migrants (D.1) 3. UN Reform launched by the SG (D.1) Dissonance between increasing numbers and challenges of working with refugees, and HQ procedures, paperwork etc – distance between the two growing. (UNLOCK notes) Agreed: i) something was broken, ii) divisions had become too powerful; ii) too many demands on the field; iv) bureau directors disempowered (UNLOCK notes)	
		1.2.2 Was there a specific event that acted as a trigger to get it started? It may be internal or external. These	1. The Review 2. Ensuing reforms 3. Challenges faced by field operations, discussed at the UNHCR Global Representatives Meeting in May 2016.	

Review Question	Review Sub-Question	Sub-sub Question	Key Findings	Remarks
<i>(Adapted from overall Review Framework)</i>			<i>(After stating findings Indicate source by letter, corresponding to document list below)</i>	<i>(Include list of documents that may be applicable)</i>
	management. They can be both expected or unexpected.	might include funding depletion, reputational (fraud, mismanagement) or other.		
PLAN OF CHANGE MANAGEMENT PROCESS				
2. Which change management approaches have been used in the <u>design</u> of the above reform or initiative? (The 'How' question on design – what did they set out to do?)	2.1 Describe the design or plan for change management in the initiative?	2.1.1 What were the specific objectives of change management within the design of the initiative?	<ol style="list-style-type: none"> 1. True empowerment of country operations should imply greater delegation of authority from the centre. (F.3) 2. Authority and accountability for the management of the operations should be developed as far as possible to the front line managers within the strategic, policy and accountability frameworks established by the high commissioner. (F.3) 3. A workforce strategy to ensure the right skills are in right place (F.3) 4. A different way of working within UNHCR – changing the institutional culture with rationalized, simplified and streamlined policies, processes and procedures (F.4) 5. Embrace a multi-stakeholder approach, engaging with a wider network of partners 6. To change our institutional culture 7. To work more collaboratively across bureaux and divisions 8. To rethink notions of ‘turf’ and accountability 9. To rethink anew about how to best meet the immediate humanitarian needs and legitimate future aspirations of the growing numbers of forcibly displaced people (5-8 from M.2) <p>Background (M):</p> <ol style="list-style-type: none"> 1. Mistrust built in due to the culture of silos 2. Need to be more performance oriented rather than compliance oriented 	
		2.1.2 Did the approach to change management draw from established practices (Kotter, McKinsey, PWC, UNLOCK etc) or not? If so, how?	<p>Yes;</p> <ol style="list-style-type: none"> 1. UNLOCK’s Kotter based change model 2. UNLOCK have provided facilitation and change management training support for sub-components of change process including direct support to the Change Team. 3. Theory of culture change outlined based on Edgar Schein’s definition of organizational culture (O.3) (in steps i-vi) to achieve culture change) - 	

Review Question	Review Sub-Question	Sub-sub Question	Key Findings	Remarks
<i>(Adapted from overall Review Framework)</i>			<i>(After stating findings Indicate source by letter, corresponding to document list below)</i>	<i>(Include list of documents that may be applicable)</i>
			<ul style="list-style-type: none"> i. Define desirable outcomes ii. Stop non-effective behaviours iii. Promote effective behaviours iv. Reinforce / provide feedback on behaviours v. Measure progress on outcome achievement vi. Culture change 	
		<p>2.1.3 Was a specific plan prepared outlining the change management process (es)?</p> <p>Who prepared this plan – done internally or by an outside company? If external, please state who?</p>	<p>Change management activities, notably focused on training have been conducted to support some of the reform work streams taking place in early 2018 (creation of Division of Solutions and Resilience, etc.)</p> <p>The Change Team is currently drafting a high level change management plan for decentralization and regionalization as the most critical work stream. This will include a definition of scope, approach to change, staff engagement and support inclusive training, managerial support, process, timeline and governance, among others</p> <p>Based on the Rapid Organizational Survey (ROA), the following processes are outlined (N):</p> <ul style="list-style-type: none"> 1. Leading by example 2. Authority and accountability 3. Trust in action – delegation 4. Grounded in facts – rather than “decision by committee” 5. Collaborations 6. Recognizing – not quashing – diversity <p>Organizational culture change: next steps outlined (O.6 – work in progress)</p> <ul style="list-style-type: none"> i. The outcomes based approach to organizational culture change outlined above is premised on the provision of dedicated, occasionally external, support to the centre, the region and the field. A cultural change plan will identify activities, resource requirements, key collaborators and a well-defined timeline for all organizational cultural change activities related to decentralization and regionalization. ^[1]_{SEP} ii. Develop support catalogue of desirable (and critical) outcomes for decentralization to succeed ^[1]_{SEP} iii. Develop lists of behaviours linked to outcomes that may 	

Review Question	Review Sub-Question	Sub-sub Question	Key Findings	Remarks
<i>(Adapted from overall Review Framework)</i>			<i>(After stating findings Indicate source by letter, corresponding to document list below)</i>	<i>(Include list of documents that may be applicable)</i>
			<p>support the achievement of identified ^[1]_{SEP}outcomes ^[1]_{SEP}</p> <p>iv. Checklists for managers / support for management to define outcomes / assess behaviours ^[1]_{SEP}and provide feedback</p> <p>v. Develop orientation packages / training packages for managers to define outcomes / assess ^[1]_{SEP}behaviours and provide feedback ^[1]_{SEP}</p> <p>vi. Engage key stakeholders such as he GLC, the Innovation Service, among others, ^[1]_{SEP}</p> <p>vii. Explore linkages with RBM / UNHCR's exiting results framework ^[1]_{SEP}</p> <p>viii. Discuss with Evaluation Service if they can support real-time evaluation of the culture change ^[1]_{SEP}process at field, Bureaux and HQ levels ^[1]_{SEP}</p> <p>ix. Risk identification and mitigation strategies ^[1]_{SEP}</p> <p>Organizational culture change: risks (O.6 – work in progress)</p> <p>i. Activities / orientation / guidance for the field and Bureaux is not in place as decentralization gathers implementation momentum ^[1]_{SEP}</p> <p>ii. Outcomes are not well defined hence identifying and supporting new behaviours will be challenging ^[1]_{SEP}</p> <p>iii. Managers think that 'behaviours as usual' will do the trick ^[1]_{SEP}</p> <p>iv. Maintaining a focus on / assessing progress towards achievement of outcomes remains elusive ^[1]_{SEP}for managers in a fast paced and changing day-to-day routine with multiple competing ^[1]_{SEP}demands ^[1]_{SEP}</p> <p>v. Managers are not held to account / dare not step into space created by decentralization for ^[1]_{SEP}fuller accountability ^[1]_{SEP}</p>	
	2.2 How did the triggers of the organizational reform or management initiative influence the change management approach?	2.2.1 What effect, if any, did the drivers or triggers of the reform have on the objectives and plan for change management?	A central element of the on-going work for decentralization / regionalization included extensive consultations with field based staff and country representatives to ensure that the causes for concerns raised in 2016 will be addressed through the proposed revised organizational design and in the implementation plan. This is at least one example of how the initial trigger have informed the processes making it 'hyper-consultative' so to speak	

Review Question	Review Sub-Question	Sub-sub Question	Key Findings	Remarks
<i>(Adapted from overall Review Framework)</i>			<i>(After stating findings Indicate source by letter, corresponding to document list below)</i>	<i>(Include list of documents that may be applicable)</i>
IMPLEMENTATION OF CHANGE MANAGEMENT PROCESS				
3. How have the change management approaches been adopted/ adapted and implemented? (The 'How' question on implementation)	3.1 What was the scope – breadth and depth of the change process?	3.1.1 Was it system-wide, organization, department etc.	Organization wide. Started off with Headquarters, however the review has grown into an organisational wide transformation change process	
	3.2 How was the change management process led?	3.2.1 Who led the change management process? Who was the owner/sponsor of the change? What is their position in relation to management?	The following; 1.Change Team 2.Director of Change Management reports to the High Commissioner (who is the owner/sponsor). 3. Director of Change management receives regular guidance from the DHC. These are the two most senior leaders of the organization. Implementation of regionalization and decentralization will involve much wider pool of entities, both in HQ and field. Currently in process to get all reforms together under one governance structure – such that there is a clear decision making process (M)	
		3.2.2 Were consultants involved in implementation? If so, in what role?	Change Team so far operated with limited external support e.g. from UNLOCK and, once, from Mindlab of Denmark. For decentralization/regionalization, the Change Team have (re)hired the company that produced the RoA (Mannet) to help with desk reviews, provide analysis and advisory services as well as facilitated interventions with Senior Management. As implementation pick up other/additional external support is envisaged to add particular skills e.g. project management skills etc.	
		3.2.3 What was the size of the team? Where was the CM team located?	The Change Team is currently staffed by a D2 Director of Change, supported by five P5's, one P3 and one support staff. All staff report directly to the Director of Change. The Director of Change reports to the High Commissioner. The team is based in Geneva and structurally located in the Executive Office.	
		3.2.4 Is there an institutionalized function for change management in the	Historically, UNHCR have had an Organizational Development and Management Service (ODMS), which, however, have been mostly involved in structural reviews. It is envisaged that moving forward the	

Review Question	Review Sub-Question	Sub-sub Question	Key Findings	Remarks
<i>(Adapted from overall Review Framework)</i>			<i>(After stating findings Indicate source by letter, corresponding to document list below)</i>	<i>(Include list of documents that may be applicable)</i>
		organization or was the function time-bound for this specific initiative? <u>If yes, please include information in question 7 as well.</u>	organization, through the merger of ODMS and the change management team, will create a more permanent and professionalised project and change management capability	
		3.2.5 What mechanisms were put in place to oversee the change management process? Did it include the head of organization, the governing body, just senior managers, or other? What role was played by each?	No formalised Governance structure has been established. As mentioned above, the Director of Change reports to the HC who 'owns' the change process.	
	3.3 How was the change management process structured?	3.3.1 Did the process have a definitive start and end?	The process commenced with the RoA in 2016 and aims to conclude by January 2020. It is expected that permanent change management capacity will drive on-going transformation.	
		3.3.2 How long did it last?	Ongoing	
	3.4 How was it implemented?	3.4.1 Describe the implementation process (refer to the plan in 2.1.3)	<p>1. The change team continues to support the process of establishing the Division through team building. (D.1)</p> <p>2. For regionalisation and decentralization the change team is involved in having discussions with the UNHCR staff and managers to conceptualise, design, develop and implement the reform (E.3)</p> <p>3. 2016 Rapid Organizational Assessment (ROA) (M.2) – identifies problems that are systematic and that their causes are buried in the systems and culture of the organization – accepted by the SMC and by other managers and staff. The ROA also identifies that the success of the proposed changes in design depend significantly on support from the organizational culture. Simply put if the culture does not support the change the changes are doomed.</p> <p>Steps taken to impact behaviours (M):</p> <ol style="list-style-type: none"> ERM is being rolled out – to have a culture that you don't have to be a P5 to identify risks – okay to fear risks 	

Review Question	Review Sub-Question	Sub-sub Question	Key Findings	Remarks
<i>(Adapted from overall Review Framework)</i>			<i>(After stating findings Indicate source by letter, corresponding to document list below)</i>	<i>(Include list of documents that may be applicable)</i>
			2. Shifting bureaux – using the process to give staff and senior management training – using re-establishment as an opportunity to impact behaviours	
		3.4.2 What communication mechanisms were used?	The Change Team have recently launched a Change Portal on UNHCR intranet to improve communication. Otherwise, mostly all-staff broadcasts and HC led town hall meetings etc.	
		3.4.3 How was the change initially framed and presented to staff?	The initial framing was in the context of the Rapid Organizational Assessment (ROA). A mail was sent from the HC to the staff detailing the recommendations of the ROA providing the case for change. (A.1)	
	3.5 How much reflexive learning took place during the process? Was it evaluated during or after?	3.5.1 What learning and adaptive management processes were put in place during or after the CM process? (please specify when put in place in relation to the process)	Too early to identify concrete reflexive learning elements.	
4. What have been the resource implications of change management?	4.1 How was the CM budgeted?	4.1.1 What was the source of financing- core resources/XB. Implications.	In 2017-18 Office of the Director for Change management has been financed from XB. Same approach would probably continue for 2019.	
	4.2 What were the major cost elements and actual costs (where available)?	4.2.1 What were the cost elements – financial, human (non-financial), etc? (Actual cost breakdown if possible to estimate)	2017 cost was USD 1,038,716 2018 allocation (so far) is USD 2,331,930	
RESULTS OF CHANGE MANAGEMENT PROCESS				
5. What are the results and critical success factors of the change process or approach?	5.1 What were the results of the change process?	5.1.1 What were the <u>short-term</u> outputs? How were they assessed?	Too early to assess substantive outcomes.	
		5.1.2 What were the <u>intermediate or long</u> outcomes? How were they assessed? Did they bring about the desired transformation? (linked back to objectives in 2.1.1)	<ul style="list-style-type: none"> - Opening up of behaviours. Space to note that some behaviours acceptable some not. Improved reporting (UNLOCK notes). - Too early to assess substantive outcomes. 	

Review Question	Review Sub-Question	Sub-sub Question	Key Findings	Remarks
<i>(Adapted from overall Review Framework)</i>			<i>(After stating findings Indicate source by letter, corresponding to document list below)</i>	<i>(Include list of documents that may be applicable)</i>
	5.2 How did the process affect the results?	5.2.1 How did the change management results contributed to the reform results or outcomes and in what way? What is the value-add of the structured process, where used?	Too early to assess substantive outcomes.	
LESSONS FROM CHANGE MANAGEMENT PROCESS				
6. What lessons can be derived to guide future change management initiatives?	6.1 What are considered critical factors +/-	6.1.1 What do those involved, and those affected considered critical factors in success/ failure of the change management process? Are these distinguishable from the reforms behind the change etc.	<ul style="list-style-type: none"> - Silos in UNCHR. Layers – difficult to remove - Consultancy company Manet did an HQ review – 9 months in March 2017. Diagnostic was a decision by the HCR – not many people read it. - Not being able to bring the field sufficiently in until 3 months ago – now getting involved - Hard to track results and present to externals – as still ‘all about us’. Sequencing – show have done more externally at the same time. Need to prep donors at same time. - UNHCR sees itself as ‘family’ internally because work together in war zones. Difficult to address culture as don’t want to say ‘stop being a family’ – but need to recast it. - Silos a problem – renaming not enough. Just moving people about doesn’t help either (Game – ‘captains, pirates and castaways’) 	
			It’s too early to look at / extract lessons learned from the change management process as such.	
	6.2 What positive features identified are transferable or scalable, which are not and why?	6.2.1 What features seem to be key to a successful CM process?	Too early to assess.	
		6.2.2 How unique are these to the context in which they were implemented?	Too early to assess.	
		6.2.3 What generalizable lessons can be identified?	Too early to assess.	

Review Question	Review Sub-Question	Sub-sub Question	Key Findings	Remarks
<i>(Adapted from overall Review Framework)</i>			<i>(After stating findings Indicate source by letter, corresponding to document list below)</i>	<i>(Include list of documents that may be applicable)</i>
	6.3 What has the organization learnt from this process?	6.3.1 Would the organization run the process the same way again, or do things differently? If so, how?	Too early to assess.	

Review Question	Review Sub-Question	Additional Description	Key Findings	Gaps and Questions
7. To what extent have change management functions been institutionalized?	7.1 Does the Participating Organization (PO) have a Change Management function – formalized or otherwise?	7.1.1 Is there a team – time-bound or fixed – working on CM across multiple initiatives (i.e. beyond a single time-bound change process)?	Change Management division with Daisy Dell as its director since 2017. Team of 8 people, remains small on purpose. Works across multiple initiatives.	
	7.2 What are its objectives?	7.2.1 How was it established? When? What is its purpose? How sustainable is it?	Was a lot of change going on in UNHCR, but very uncoordinated, so established CM team. Used training UNLOCK and pulled some methodology from them. Used MindLab from Denmark and UNSSC – using their methodology. The Change Team was established with the specific and time bound objective of operationalising and supporting the implementation of the RoA recommendations endorsed by the HC on 30 March 2017. The change team plays different roles within the different change streams. This ranges from design/facilitation support to the newly created Division for Resilience and Solutions to hands-on facilitation of task teams (time bound working groups of 5 – 6 staff working on specific problems/solutions), to change management training to substantive design work, such as on regionalization and decentralization.	
	7.3 How is it structured, staffed and funded?	7.3.1 How many staff, and at what grades? Who does it report to? How is it funded and to what levels?	Staffed by a D2 Director of Change, supported by five P5's, one P3 and one support staff. All staff report directly to the Director of Change. The Director of Change reports to the High Commissioner. The team is based in Geneva and structurally located in the Executive Office.	

Document Key

Document	Document Title	Document Source
A.	Email from the HC: Headquarter review – moving to Phase 2 (2017)	UNHCR
B.	The case for change: UNHCR's Change Strategy (2018)	UNHCR
C.	Email from HC: Update on change management (2018)	UNHCR
D.	UNHCR's change process 2017-2019 (2018)	UNHCR
E.	Decentralization and Regionalization – A progress report (2018)	UNHCR
F.	Key Considerations for the Organizational Design of UNHCR: Regionalization and Decentralization (2018)	UNHCR
G.	Delegation and Regionalization in the Future Organizational Design (2018)	UNHCR
H.	Global Representatives Meeting (2018)	UNHCR
I.	UNHCR's change process: regionalization and decentralization (2018)	UNHCR
J.	UNLOCK Case Study Series 1 (2018)	UNSSC website
K.	Rapid Organizational Assessment Report (2017)	UNHCR
L	UNHCR Oral Presentation, 20 June 2018, UNHCR Transformation Story, UNLOCK Network Meeting 19-21 June 2018, transcription of oral presentation, unpublished	JIU
M.	Interview notes	JIU
N.	Working together differently – finding harmony by embracing diversity (2018)	UNHCR
O.	Decentralization and regionalization – working together differently – culture change (2018)	UNHCR

15. UNICEF – Human Resources

Overall comments	<ul style="list-style-type: none"> The case summary was completed by UNICEF, then an interview was conducted and further documentation was provided. The information provided largely covers the reform and the change management processes. The reform plays an important role in the organization and targeted the culture of the organization. The driving force for the reform were weaknesses highlighted in the 2014 Global Staff Survey. However, from the information provided, there does not appear to have been a comprehensive change management process, but facets or change activities were found.
Themes for consideration in JIU report	The Grant Proposal (D.) reflects some understanding around Change Management (D.10), however, structured elements of change management could not be identified in the documentation or through the interview.

Review Question	Review Sub-Question	Sub-sub Question	Key Findings from the Case Summary sent by UNICEF	Remarks
<i>(Adapted from overall Review Framework)</i>			<i>(After stating findings Indicate source by letter, corresponding to document list below)</i>	<i>(Include list of documents that may be applicable)</i>
REFORM/INITIATIVE OVERVIEW				
1. Details of the organizational reform/initiative (The 'What' question – what the initiative and reasoning behind it was?)	1.1 A brief summary of the reform/initiative.	1.1.1 What is its purpose? What are the objectives?	<p><u>Purpose</u> – The purpose of the HR reform was to improve UNICEF's ability to attract, hire, support and empower staff members, making it more effective and client oriented.</p> <p><u>The objectives of the reform were to -</u></p> <ol style="list-style-type: none"> 1. Create direct links between individual performance and organizational results 2. Reduce burden of complex HR processes 3. Achieve staff satisfaction with opportunities to develop skills and abilities 4. Creating an enabling environment by eliminating unnecessary steps in management of recruitments 5. Changing the performance management processes 6. Strengthen capacity of leaders and managers – people management 	The purpose and the objectives were not clearly indicated. The points below are based on the information provided by the PO.
		1.1.2 When did it start? When did it end?	2015- ongoing Reforms started with signing the agreement with the donor, BMGF, October 9, 2015. Although the funding term has ended, some components of the reform is still ongoing (soft elements, cultural change).	

Review Question	Review Sub-Question	Sub-sub Question	Key Findings from the Case Summary sent by UNICEF	Remarks
<i>(Adapted from overall Review Framework)</i>			<i>(After stating findings Indicate source by letter, corresponding to document list below)</i>	<i>(Include list of documents that may be applicable)</i>
		1.1.3 What are the key elements/sub-initiatives?	<p>The HR reform targeted changing the mindset of the staff through the three reform streams. (A)</p> <p>There are three pillars serving the HR Reform Vision, namely:</p> <ol style="list-style-type: none"> 1. Improved Recruitment: A faster, simpler, more seamless approach to getting the right people in the right place at the right time – (earlier jobs were possible through networks and the process was lengthy (A.)) 2. Strategic Partnership: Transformation from a process driven approach to one of strategic support through the implementation of HR Business Partners – (Changing the approach to HR (A.)) 3. Effective Performance Management: Focus on delivering results, holding staff and managers accountable and providing honest, frank and supportive feedback on strength and areas for further growth – (Aims to indirectly target the existing UN incentive structure (A.)) <p>The elements included - introduction of new platform to manage Recruitment and Performance Management; a new Recruitment policy; revised structure.</p>	
		1.1.4 When and by whom was it approved?	The initiative was approved by the Executive Director with a consent from the GMT.	
		1.1.5 Was the reform evaluated? What were the achievements, results, and/or outcomes?	The reform was not evaluated yet, since some of the activities are still ongoing.	
	<p>1.2 What were the underlying factors or drivers behind this reform/initiative?</p> <p>Where distinct or additional to broader</p>	1.2.1 What were the drivers? The causes of the initiative, generally an overarching, longer-term shift affecting how the organization operates.	<ol style="list-style-type: none"> 1. Lessons from the Effectiveness and Efficiency (E&E) initiative - After the establishment of the GSSC, some roles in HR, especially in HQ divisions became obsolete. Also, there was a need to realign the new HR systems with the new policies and guidelines and it triggered organization-wide changes 2. 2014 Global Staff Survey highlighted the limitations in HR systems of the organization, which needed to be addressed 	

Review Question	Review Sub-Question	Sub-sub Question	Key Findings from the Case Summary sent by UNICEF	Remarks
<i>(Adapted from overall Review Framework)</i>			<i>(After stating findings Indicate source by letter, corresponding to document list below)</i>	<i>(Include list of documents that may be applicable)</i>
	drivers of change, what specific events or triggers signalled the start? Each of these will affect the approach, speed, scope, resources and adoption of change management. They can be both expected or unexpected.		immediately. (Survey done by an external consultancy – Global Scan (B.))	
		1.2.2 Was there a specific event that acted as a trigger to get it started? It may be internal or external. These might include funding depletion, reputational (fraud, mismanagement) or other.	The main trigger was Staff Survey results which had comments about UNICEF HR systems as not well functioning. Staff was not feeling motivated, online recruitment system was not properly functioning and recruitment timelines were very lengthy. The process itself considered ineffective which would eventually create a reputational risk for the organization.	
PLAN OF CHANGE MANAGEMENT PROCESS				
2. Which change management approaches have been used in the <u>design</u> of the above reform or initiative? (The 'How' question on design – what did they set out to do?)	2.1 Describe the design or plan for change management in the initiative?	2.1.1 What were the specific objectives of change management within the design of the initiative? -	<ol style="list-style-type: none"> 1. strengthening the Shared values, 2. enhancing the leadership Styles of UNICEF Leaders by introducing training programmes and case management function, 3. increasing staff skills and competencies (especially for the newly introduced functions as business partnering) are ongoing activities that formulate and reinforce the culture and behaviour change of the organization. 4. to achieve a culture change of UNICEF staff in their approach to the performance management, managing their own career; 5. increase staff morale and productivity by introducing a continuous feedback mechanism as a back-bone of the performance management. 6. Shaping a workforce that meets UNICEF's current and evolving needs and creating an empowering work environment where staff can excel in realizing UNICEF's mission 7. Developing and leveraging the talents of managers and staff to successfully contribute as individuals, in teams, and across organizational boundaries 8. Creating a results-based culture of accountability, effectiveness and efficiency where everyone understands what is expected 	<p>The objectives were not mentioned in the same way as given on the left – however the information is extracted from the text provided by UNICEF.</p> <p>Confirmed by UNICEF</p>

Review Question	Review Sub-Question	Sub-sub Question	Key Findings from the Case Summary sent by UNICEF	Remarks
<i>(Adapted from overall Review Framework)</i>			<i>(After stating findings Indicate source by letter, corresponding to document list below)</i>	<i>(Include list of documents that may be applicable)</i>
		2.1.2 Did the approach to change management draw from established practices (Kotter, McKinsey, PWC, UNLOCK etc) or not? If so, how?	Some steps of Mc Kinsey's 7S change management framework had been followed. The implementation of the reform was more organic, no specific change management approach was sought to be used, although it captured all elements of McKinsey's 7S model.	
		2.1.3 Was a specific plan prepared outlining the change management process(es)? Who prepared this plan – done internally or by an outside company? If external, please state who? -	<ol style="list-style-type: none"> 1. <u>Change readiness assessment</u> - The implementation started after in-depth analysis of needs, in terms of structure and systems of the organization's HR function. To simplify and increase the effectiveness of processes, the alignment of rules and regulations with the introduced policies followed the changes. Change readiness was assessed couple of years earlier by a consultancy report which provided the HR landscape of the organization. 2. The donor proposal for BMGF was in a way a plan of a change management process for HR Reform. This proposal was mostly followed during the implementation, but along the process a number of unplanned but necessary and organic activities took place to support the reform initiatives. 3. Introducing training programmes and case management function, reviewing the Staffing structure and increasing their Skills and competencies (especially for the newly introduced functions as business partnering) 	
	2.2 How did the triggers of the organizational reform or management initiative influence the change management approach?	2.2.1 What effect, if any, did the drivers or triggers of the reform have on the objectives and plan for change management?	As staff satisfaction (based on the survey) was the key during the implementation of the project, the initiatives were designed to make the process meaningful and easy to follow.	
IMPLEMENTATION OF CHANGE MANAGEMENT PROCESS				
3. How have the change management	3.1 What was the scope – breadth and depth of the change process?	3.1.1 Was it system-wide, organization, department etc.	Organization wide	

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<p>approaches been adopted/ adapted and implemented?</p> <p>(The 'How' question on implementation)</p>	3.2 How was the change management process led?	3.2.1 Who led the change management process? Who was the owner/sponsor of the change? What is their position in relation to management?	<p>This change was led internally, but some institutional and individual consultancy support was received for the projects where external experience and knowledge was needed</p> <p>The HR Reform initiative was championed by the ED and the DED, all support was made available for smooth implementation by the executive team, which was a critical success factor for the proposed shift to the results and performance based culture.</p> <p>Change process was led by DHR director, Eva Mennel with continuous support and ongoing consultations with the DHR Deputy and Associate Directors, Section Chiefs, Regional Chiefs of HR and Regional Directors. It was a phased implementation, which was a remarkable work of an army of HR manages, specialists, consultants and temporary appointed staff.</p>	
		3.2.2 Were consultants involved in implementation? If so, in what role?	Consultants were mainly used to get a support with the implementation, as well as for preparation of the revised competency framework, the concept of business partnering model, HR landscape of the organization, etc. Some consultants were hired to design and conduct performance management and career development trainings.	
		3.2.3 What was the size of the team? Where was the CM team located?	<p>There is no CM team in UNICEF, as the function is embedded in each division's profile</p> <p>GSSC absorbed some functions of Change Management for this initiative (A)</p>	
		3.2.4 Is there an institutionalized function for change management in the organization or was the function time-bound for this specific initiative? <u>If yes, please include information in question 7 as well.</u>	No	

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		3.2.5 What mechanisms were put in place to oversee the change management process? Did it include the head of organization, the governing body, just senior managers, or other? What role was played by each?	Periodic donor reports to BMGF were in a way report on completed work. Change was managed at a division level, but covered the organization-wide processes and procedures. Mainly the senior managers of the Division were the coordinating and managing body for the management of the HR Reform.	
	3.3 How was the change management process structured?	3.3.1 Did the process have a definitive start and end?	2015-on-going System and structure-wise hard changes had been implemented within the given timeline of three consecutive years while soft changes that focused on strengthening organizational culture are ongoing as these are expected to be long term achievements. Most of planned activities completed by mid-2018, but culture change is still ongoing along with the timely updates and fine-tuning of the initiatives.	
		3.3.2 How long did it last?		
	3.4 How was it implemented?	3.4.1 Describe the implementation process (refer to the plan in 2.1.3)	<ol style="list-style-type: none"> 1. Due to the introduction of the new system and operating model, existing staff capacity had to be enhanced to meet the new requirements. A number of learning and training programmes were introduced to build the capacity and smoothen the transformation process. The learning process is on-going with hands-on experience and available tools and programmes to support the HR practitioners and leaders. 2. <u>Change readiness assessment</u> - The implementation started after in-depth analysis of needs, in terms of structure and systems of the organization's HR function. To simplify and increase the effectiveness of processes, the alignment of rules and regulations with the introduced policies followed the changes. 3. It was recognised that building capacity of the existing leaders on people management and prepare them for the introduced changes is equally important, especially for making them change advocates, enhancing and developing the skills for hiring manager role. Several learning programmes had been developed 	

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			for HRBPs and Leaders of the organization for this purpose, along with communication campaigns with HR practitioners and UNICEF staff.	
		3.4.2 What communication mechanisms were used?	<ol style="list-style-type: none"> 1. Regular Global Broadcast Messages were used to inform staff about upcoming changes. 2. One HR Community were updated separately via the dedicated site. 3. Also, the attendance of DHR management in Global network meetings of Representatives, Operation Managers and HR practitioners were helpful to clarify and inform the processes to the Country offices 	
		3.4.3 How was the change initially framed and presented to staff?	Changes were introduced gradually and in a consultative way.	
	3.5 How much reflexive learning took place during the process? Was it evaluated during or after?	3.5.1 What learning and adaptive management processes were put in place during or after the CM process? (Please specify when put in place in relation to the process)	Introduced changes are being monitored and with the help of Regional HR Chiefs, regular reports on implementation of changes are being obtained through the monthly online meetings. Also, twice in a year the team of Regional HR Chiefs and DHR Sections Chiefs meet and discuss the lessons learned and new initiatives for at least four days in face-to-face network meetings.	
4. What have been the resource implications of change management?	4.1 How was the CM budgeted?	4.1.1 What was the source of financing- core resources/XB. Implications.	<p>The project was mostly funded by an external donor, Bill and Melinda Gates Foundation, for the system and structure changes.</p> <p>Internal resources were injected at the beginning of the project to support the commencement of the project and later in a form of newly established fixed term positions.</p>	
	4.2 What were the major cost elements and actual costs (where available)?	4.2.1 What were the cost elements – financial, human (non-financial), etc? (Actual cost breakdown if possible to estimate)	<p>Major project expenditures/ cost elements were identified as following:</p> <ul style="list-style-type: none"> - System establishment and enhancements; - Hiring institutional and individual consultancy and temporary staff to support the implementation (for conducting workshops, such as Performance Management and Career Development culture change, preparing the training material, revising the competency framework, etc.) and to cover the in-house knowledge gap. 	

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RESULTS OF CHANGE MANAGEMENT PROCESS				
5. What are the results and critical success factors of the change process or approach?	5.1 What were the results of the change process? <i>(Is there evidence of sustainability of these changes? What is the degree to which organization is working differently and people are behaving differently? Degrees of result or proxies around these include cost reduction (staff and non-staff); service levels; reduced risks; behavioural changes; improved collaboration etc.)</i>	5.1.1 What were the <u>short-term</u> outputs? How were they assessed?	<p>As mentioned above, the immediate results were achieved when system and structure changes were introduced.</p> <p>As mid-term achievements; the policy changes and decentralization of the processes; introduction of the BP model and Centres of Expertise may be mentioned.</p> <p>Recruitment timelines were considerably reduced for the decentralization and simplification of some processes.</p> <p>Simplification of recruitment processes, elimination of unnecessary steps in approval process, as well as the changes in Performance Management System which nurture honest and agile performance management culture, linkages between individual performance and organizational results were some of the outcomes of the change management process, to enhance organizational effectiveness and efficiency.</p> <p>The results are based on observations and the general monitoring. No formal assessments have been made.</p>	
		5.1.2 What were the <u>intermediate or long</u> outcomes? How were they assessed? Did they bring about the desired transformation? (linked back to objectives in 2.1.1)	System enhancements are still ongoing together with the long-term goal to be achieved – embedding the changes in culture and organizational behaviour will be time consuming and expected to happen gradually.	
	5.2 How did the process affect the results?	5.2.1 How did the change management results contributed to the reform results or outcomes and in what way?	<u>Need further guidance in this, question is not clear as the achieved reform results are the same with the change management results in a particular case.</u>	

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<i>(Adapted from overall Review Framework)</i>			<i>(After stating findings Indicate source by letter, corresponding to document list below)</i>	<i>(Include list of documents that may be applicable)</i>
		What is the value-add of the structured process, where used?		
LESSONS FROM CHANGE MANAGEMENT PROCESS				
6. What lessons can be derived to guide future change management initiatives?	6.1 What are considered critical factors +/-	6.1.1 What do those involved, and those affected considered critical factors in success/ failure of the change management process? Are these distinguishable from the reforms behind the change etc.	<ol style="list-style-type: none"> 1. Involvement of the management in Executive level could be considered as the main success of the change process. 2. During the project implementation, a close collaboration with the Staff Association team has played a great role in keeping the staff informed and engaged with the changes that might affect their usual way of doing business, which was a major critical support to move the project seamlessly. 3. A well-established partnership with the BMGF and fund injection for the project was another critical factor to speed up the processes. 4. Alignment of existing staff capacity to fit the system and structure changes, introduction of the new functions for HR practitioners and building their capacity were some of the challenges but those cannot be called failures. 5. Another challenge was alignment of the external system – online hiring portal to fit UNICEF’s policy and requirements, but this needs ongoing enhancement in order to be fit for the purpose 	
	6.2 What positive features identified are transferable or scalable, which are not and why?	6.2.1 What features seem to be key to a successful CM process?	<p>Process went on in a structured and planned way with some organic changes that were introduced during the project implementation.</p> <p>As the end-users mostly appreciate the changes and also support them, the transformation can be called successful with future benefits yet to be seen. This is based on results of monitoring which is being done by the Regional HR practitioners and reports given by the Regional HR chiefs.</p>	
		6.2.2 How unique are these to the context in which they were implemented?	Although there is not yet substantive data demonstrating the results of the implementation of HRBP model throughout the organization, the feedback received from client divisions in NYHQ is very positive.	

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<i>(Adapted from overall Review Framework)</i>			<i>(After stating findings Indicate source by letter, corresponding to document list below)</i>	<i>(Include list of documents that may be applicable)</i>
			With this approach DHR has been able to get closer to UNICEF's core business, by understanding divisions' needs better and therefore being able to create targeted HR solutions for their situation. The HR Business Partner's technical knowledge and expertise, their understanding of and focus on their client's business, and their knowledge of data and analytical ability, equip them to work proactively with managers and staff to identify challenges and opportunities and jointly devise strategies to continuously enhance individual and team performance	
		6.2.3 What generalizable lessons can be identified?	Not Applicable	
	6.3 What has the organization learnt from this process?	6.3.1 Would the organization run the process the same way again, or do things differently? If so, how?	Not applicable	

Change Management Functions in the Organization

If information on organizational level change management initiatives is found while reading through documents, please note details/findings below

Review Question	Review Sub-Question	Additional Description	Key Findings	Gaps and Questions
7. To what extent have change management functions been institutionalized?	7.1 Does the Participating Organization (PO) have a Change Management function – formalized or otherwise?	7.1.1 Is there a team – time-bound or fixed – working on CM across multiple initiatives (i.e. beyond a single time-bound change process)?	UNICEF had a dedicated Change Management Section but after establishment of GSSC, the function was mainstreamed and embedded to each division's roles and responsibilities. It is recognised that change is not one time event any longer, it is a constant process to be fostered and supported by each division as a part of their daily duties. Currently UNICEF does not have a dedicated CM function. (A)	
	7.2 What are its objectives?	7.2.1 How was it established? When? What is its purpose? How sustainable is it?	There is no Change Management Section in UNICEF DHR	
	7.3 How is it structured, staffed and funded?	7.3.1 How many staff, and at what grades? Who does it report to? How is it funded and to what levels?	There is no Change Management Section in UNICEF DHR	

Document Key

Document	Document Title	Document Source
A.	Interview notes	
B.	Global Staff Survey 2014	UNICEF
C.	Final Narrative BMGF 2018	UNICEF
D.	Grant Proposal Narrative BMGF 2015	UNICEF

16. UNICEF – Strategic repositioning of the Operations Function

Overall comments	<ul style="list-style-type: none"> The information provided indicates some change management elements that have been planned for (A.1). However, the reform has just started and there is not much information on results and lessons.
Themes for consideration in JIU report	<ul style="list-style-type: none"> The CM team at UNICEF was disbanded in 2014

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<i>(Adapted from overall Review Framework)</i>			<i>(After stating findings Indicate source by letter, corresponding to document list below)</i>	<i>(Include list of documents that may be applicable)</i>
REFORM/INITIATIVE OVERVIEW				
1. Details of the organizational reform/initiative (The 'What' question – what the initiative and reasoning behind it was?)	1.1 A brief summary of the reform/initiative.	1.1.1 What is its purpose? What are the objectives?	The Strategic Repositioning of the Operations Function in UNICEF aims to make the Operations Function a more strategic partner in the achievement of best results for children.	
		1.1.2 When did it start? When did it end?	2018-2021 The initiative was officially kicked off at the Regional Chief of Operations Meeting in March 2018. It is anticipated the initiative will be completed by the end of 2021.	
		1.1.3 What are the key elements/sub-initiatives?	The key elements of the initiative are framed around five key pillars which are complemented by sub-initiatives: 1. Valuing People / Empowering Staff: Raising the profile of the Operations Function by refocusing roles and responsibilities and strengthening the capacity of Operations professionals. <i>Related sub-initiatives:</i> <ol style="list-style-type: none"> revision of Operations job descriptions; development of Operations capacity building programme; and designing a succession planning programme for Operations. 2. Valuing Money / Optimizing Resources: Ensuring the Operations function plays a greater role in formulating programme plans and budgets in line with Organizational value for money principles. <i>Related sub-initiatives:</i> <ol style="list-style-type: none"> development of Value for Money Strategy; revision of policy and procedure to reflect Strategic Operations Function; supporting the roll out of the Budget Formulation Tool and Innovative Financing approaches. 	

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<i>(Adapted from overall Review Framework)</i>			<i>(After stating findings Indicate source by letter, corresponding to document list below)</i>	<i>(Include list of documents that may be applicable)</i>
			<p>3. Valuing Risk Management / Enhancing Performance: Tasking Chiefs of Operations as stewards of risk management and optimized Organizational performance. <i>Related sub-initiatives:</i></p> <ul style="list-style-type: none"> a. development of more coherent approach to Enterprise Risk Management; b. roll out of Anti-Fraud Strategy and strengthened Internal Controls Framework. <p>4. Valuing Systems and Structures / Applied Optimization: Positioning the Operations Function to play a key role in the further centralization and optimization of functions. <i>Related sub-initiatives:</i></p> <ul style="list-style-type: none"> a. transfer of additional transactions to the GSSC; b. implementation and use of the Governance, Risk and Compliance System; c. support the use of INFOR Risk and Compliance tool for roles management and segregation of duties conflict management. <p>5. Valuing Partners / Partnering for Results: Giving Chiefs of Operations a voice in inter-agency management reform and enabling them to play a more proactive role in managing partnerships with implementing partners. <i>Related sub-initiatives:</i></p> <ul style="list-style-type: none"> a. engagement in BOS, SG Reform and Common Services; b. revision of policy and procedure to reflect Strategic Operations Function. 	
		1.1.4 When and by whom was it approved?	The preliminary proposal for the Strategic Repositioning of the Operations Function was presented to stakeholders in the UNICEF Management Cone and endorsed by the Deputy Executive Director Management in January 2018.	
		1.1.5 Was the reform evaluated? What were the achievements, results, and/or outcomes?	<p>As the initiative only started in March 2018, there are not results or outcomes to report yet. However, a number of key milestones have been achieved including:</p> <ul style="list-style-type: none"> • The revision of Operations functions job descriptions which have been endorsed by Regional Directors and approved by the Executive Director. 	

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<i>(Adapted from overall Review Framework)</i>			<i>(After stating findings Indicate source by letter, corresponding to document list below)</i>	<i>(Include list of documents that may be applicable)</i>
			<ul style="list-style-type: none"> The title of P5 and P4 Country Office Chiefs of Operations is being changed to Deputy Representative Operations. The training of Operations Chiefs on the new Anti-Fraud Strategy. 	
	<p>1.2 What were the underlying factors or drivers behind this reform/initiative?</p> <p>Where distinct or additional to broader drivers of change, what specific events or triggers signalled the start? Each of these will affect the approach, speed, scope, resources and adoption of change management. They can be both expected or unexpected.</p>	<p>1.2.1 What were the drivers? The causes of the initiative, generally an overarching, longer-term shift affecting how the organization operates.</p>	<ol style="list-style-type: none"> The implementation of VISION, the SAP-based ERP system in 2012, and the creation of the UNICEF Global Shared Services Center (GSSC) in 2015 created the opportunity for the Operations Function to shift from traditionally transactional accountabilities to a more strategic, value-adding role. The 2018-2021 UNICEF Strategic Plan included a renewed focus on Organizational Effectiveness and Efficiency, which called for strengthened accountability and internal governance, and risk informed management and oversight. In 2017, the Division of Finance and Administrative Management (DFAM) created the Strategic Business Support (SBS) section as part of its 2018-2021 Office Management Plan and Institutional Budget, recognizing that UNICEF Offices at all levels would require additional support to meet more stringent management results set out in the Strategic Plan. One of the key objectives of SBS is to strategically reposition the Operations Function to meet these management objectives and assure the best use of UNICEF assets in alignment with Programme activities and goals. Changes in the UN System in recent years are placing substantive demands on the Operations Function in UNICEF, including: <ul style="list-style-type: none"> International Public-Sector Accounting Standards (IPSAS) compliance UN Coherence SG Reform Heightened donor expectations and oversight 	
		<p>1.2.2 Was there a specific event that acted as a trigger to get it started? It may be</p>	<p>The 2015 Regional Chiefs of Operations Meeting served as the key trigger for the Strategic repositioning of the Operations Function. Regional Chiefs of Operations raised their concerns over the future</p>	

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		internal or external. These might include funding depletion, reputational (fraud, mismanagement) or other.	and relevance of the Operations Function in the changing business context of the Organization with the new UNICEF Comptroller. The issues raised compelled the Comptroller to formally address the matter by commissioning a review to assess the effectiveness and efficiency of the structure and management system(s) of DFAM which underpin the Operations Function.	
<u>PLAN OF CHANGE MANAGEMENT PROCESS</u>				
2. Which change management approaches have been used in the <u>design</u> of the above reform or initiative? (The 'How' question on design – what did they set out to do?)	2.1 Describe the design or plan for change management in the initiative?	2.1.1 What were the specific objectives of change management within the design of the initiative?	The change management objectives include: <ul style="list-style-type: none"> Communicating to nurture a better understanding and appreciation of the Operations function among all staff at all levels of the Organization. Empowering Operations professionals – who make up 25% of the UNICEF workforce – to assume the roles assigned through the strategic repositioning of their function. Fostering a community of Operations professionals at all levels of the Organization to tap into an unlimited wealth of experience and further generate grass-roots momentum for their strategic function. Facilitating the adoption of enhanced management approaches reaffirming the role of Operations professionals as authorities in management best practices (as described under the five pillars above). Securing buy-in for the Strategic Operations approach from Heads of Office to ensure Operations professionals are assigned the accountability, entrusted with the authority and resources to undertake their more strategic role, and effectively assessed for their performance. 	
		2.1.2 Did the approach to change management draw from established practices (Kotter, McKinsey, PWC, UNLOCK etc) or not? If so, how?	No specific, structured change management approach is being used.	

Review Question	Review Sub-Question	Sub-sub Question	Key Findings	Remarks
<i>(Adapted from overall Review Framework)</i>			<i>(After stating findings Indicate source by letter, corresponding to document list below)</i>	<i>(Include list of documents that may be applicable)</i>
		<p>2.1.3 Was a specific plan prepared outlining the change management process(es)?</p> <p>Who prepared this plan – done internally or by an outside company? If external, please state who?</p>	<p>No dedicated plan was prepared detailing change management processes. Change management efforts related to the Strategic Repositioning of the Operations Function are integrated in the multi-year workplan of the SBS.</p> <p>Like all Offices in UNICEF, the Strategic Business Support (SBS) prepares a multi-year workplan which details the activities that will be undertaken to help achieve the results of the section, which are directly aligned to the results of the Division of Finance and Administrative Management (DFAM) for the duration of the 2018-2021 Office Management Plan (OMP). An estimated timeframe for implementation is identified for each activity in the workplan within the OMP timeframe.</p>	The work plan and information provided does not provide a clear understanding of change management.
	2.2 How did the triggers of the organizational reform or management initiative influence the change management approach?	2.2.1 What effect, if any, did the drivers or triggers of the reform have on the objectives and plan for change management?	<p>As the Strategic Repositioning of the Operations Function was triggered by regular institutional processes (eg: Annual Regional Chief of Operations Meeting; Strategic Plan; DFAM OMP and Institutional Budget process, etc.) a distinct change management initiative was not deemed necessary.</p> <p>Strategic changes to the Operations Function are being integrated into regular institutional processes with change management activities are being built around these. For example, while Operations Function job descriptions are being revised through the regular institutional process, a one-hour on-line training is being developed to help all staff understand the strategic repositioning of the Operations Function.</p>	
IMPLEMENTATION OF CHANGE MANAGEMENT PROCESS				
3. How have the change management approaches been adopted/ adapted and implemented?	3.1 What was the scope – breadth and depth of the change process?	3.1.1 Was it system-wide, organization, department etc.	The Strategic Repositioning of the Operations Function has Organization-wide impact as each UNICEF Office has an Operational component.	
	3.2 How was the change management process led?	3.2.1 Who led the change management process? Who was the owner/sponsor of the change? What is their	The Strategic Repositioning of the Operations Function in UNICEF is led by the Deputy Executive Director for Management and the UNICEF Comptroller who oversees the Operations Function across the Organization.	

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(The 'How' question on implementation)		position in relation to management?	Change management efforts built around the Strategic Repositioning of the Operations Function are led by the Chief of the SBS. The SBS was created in 2017 in DFAM, recognizing that UNICEF Offices at all levels would require additional support to meet more stringent management results set out in the Strategic Plan, and other management best practices being introduced in the Organization. Towards this endeavour, and in direct response to the concerns raised at the 2015 Regional Chiefs of Operations meeting, the SBS was tasked with leading the strategic repositioning of the Operations Function. See response to 3.2.3 for details on composition of the SBS team.	
		3.2.2 Were consultants involved in implementation? If so, in what role?	Consultants have been contracted for the development of specific management initiatives (Internal Controls, Enhanced ERM, eGRC, Anti-Fraud Strategy).	
		3.2.3 What was the size of the team? Where was the CM team located?	The SBS team is leading change management efforts for the Strategic Repositioning of the Operations Function. The SBS forms part of DFAM and is comprised of a: <ul style="list-style-type: none"> • Chief, who has proven experience in Operations, including as Regional Chief of Operations. • Risk Management Specialist, bringing risk management experience from the private and public sectors. • Policy Specialist who manages the Organizational Regulatory Framework. • Business Analyst, who was also a former member of the Change Management Office (2007-2014). • Capacity Development Specialist with extensive international organizational learning experience. 	
		3.2.4 Is there an institutionalized function for change management in the organization or was the function time-bound for this specific initiative? <u>If yes, please include information in question 7 as well.</u>	The Change Management Office (CMO) was officially established in 2009. It evolved from the Change Management Unit that had been created in the Office of the Executive Director in 2007 to coordinate the implementation of the Organizational Improvements that emerged from the 2005-2006 Organizational Review. The CMO included 15 international professional and GS staff at the height of the Organizational Improvement process in 2011-2012. This team included specialists in various UNICEF business areas including programme, finance, supply and IT, as well as communication,	

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			capacity development and planning specialists. In addition, the CMO managed the team of SAP experts and subject matter experts from Business Owning Divisions who designed and implemented VISION. The CMO coordinated a second phase of Organizational Improvement focusing on Effectiveness and Efficiency (E&E) building on the system improvements and business process simplifications which were achieved in the first phase. The CMO was disbanded in before the end of 2014.	
		3.2.5 What mechanisms were put in place to oversee the change management process? Did it include the head of organization, the governing body, just senior managers, or other? What role was played by each?	The Strategic Repositioning of the Operations Function is overseen through regular institutional performance management and oversight mechanisms. The Comptroller oversees the work of the SBS as part of the overall DFAM Office Management Plan, and reports to the Deputy Executive Director Management periodically. Updates are also provided to the Global Management Team upon request. Individual initiatives that fall under the Strategic Operations umbrella, such as the e-GRC, have dedicated project boards and project teams which meet regularly to monitor progress of implementation.	
	3.3 How was the change management process structured?	3.3.1 Did the process have a definitive start and end?		
		3.3.2 How long did it last?	The initiative will last approximately four years, from formal launch in March 2018 to the end of 2021.	
	3.4 How was it implemented?	3.4.1 Describe the implementation process (refer to the plan in 2.1.3)	<p>While no specific change management approach is being used, SBS is focusing on:</p> <ul style="list-style-type: none"> • Senior Management-led change • Cascading peer-to-peer advocacy and training for behaviour change • Community building among Operations professionals • Identity building as an “Operations” Business Partner • Communication and collaboration across Business Areas / Functions / Divisions • Training / Capacity Development for newly required knowledge, skills and more strategic way of thinking • Institutionalization of Change, for example by: 	

Review Question	Review Sub-Question	Sub-sub Question	Key Findings	Remarks
<i>(Adapted from overall Review Framework)</i>			<i>(After stating findings Indicate source by letter, corresponding to document list below)</i>	<i>(Include list of documents that may be applicable)</i>
			<ul style="list-style-type: none"> ○ Revising the Job Descriptions of Operations Managers at Headquarters, Regional and Country Office levels to reflect Strategic Operations roles and responsibilities. ○ Changing the job title of Country Office Chiefs of Operations to Deputy Representatives for Operations, aligning their roles to those of deputy Representatives for Programme. ○ Launching the Operations Talent Group within the New and Emerging Talent Initiative (NETI) which identifies and cultivates area specific talent to meet current and future capacity needs in the Organization. ○ Placing Strategic Operations at the centre of the DFAM Learning Channel on AGORA, the Organizational learning management system. ○ Ensuring Strategic Operations priorities are a standing issue on the agenda of Organizational governance bodies (Global, Regional and Country Management teams; Deputy Representative and Operations Managers Meetings; etc.). ○ Revising policy, procedure and guidance to reflect the role of Strategic Operations. 	
		3.4.2 What communication mechanisms were used?	<p>The planned communications approach will use:</p> <ul style="list-style-type: none"> • Organization-wide Communication, including: <ul style="list-style-type: none"> ○ Global Broadcast Messages from the Executive Director, Deputy Executive Director Management and the Comptroller ○ News stories published on the UNICEF Intranet (ICON) ○ Special interest stories on the implementation of the Strategic Operations Function emerging from the field • Targeted Communication on implementation requirements to: <ul style="list-style-type: none"> ○ Regional Directors ○ Regional Chiefs of Operations ○ Heads of Office ○ Operations Chiefs • Cascading communications providing key messages to be transmitted locally by: 	

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			<ul style="list-style-type: none"> ○ Regional Directors ○ Regional Chiefs of Operations ○ Heads of Office ○ Operations Chiefs • Coordination and collaboration mechanisms that bring together stakeholders across Business Areas / Functions / Divisions on common Operations issues. • Presentations on the Strategic Operations Function to be used globally, regionally and locally in management team and other technical network meetings. • Dedicated Intranet pages, Yammer groups, collaborative spaces • Mandatory on-line orientation on the Strategic Operations Function for all staff. • Targeted learning events (workshops, dissemination meetings, trainings, job aids, communities of practice, etc.) 	
		3.4.3 How was the change initially framed and presented to staff?	Presentations on the Strategic Operations Function are being made at global, regional and divisional meetings. Launch of the initiative at the March 2018 Regional Chiefs of Operations Meeting was communicated via an ICON news story and a Yammer with discussion documents of the meeting widely shared.	
	3.5 How much reflexive learning took place during the process? Was it evaluated during or after?	3.5.1 What learning and adaptive management processes were put in place during or after the CM process? (please specify when put in place in relation to the process)	Strategic Operations training and capacity building are being integrated into other related training initiatives. For example, Operations Chiefs were the main audience for the Anti-Fraud Strategy Training of Trainers held in June 2018. The effectiveness of these efforts will be assessed through standard Organizational performance management mechanisms and Operations Function related KPIs.	
4. What have been the resource implications of change management?	4.1 How was the CM budgeted?	4.1.1 What was the source of financing- core resources/XB. Implications.	As the Strategic Repositioning of the Operations Function was triggered and driven by regular institutional processes (eg: Annual Regional Chiefs of Operations meeting; Strategic Plan; DFAM OMP and Institutional Budget process, etc.), change management efforts are included within the Institutional Budget of the SBS, primarily the salaries of the SBS team. The Executive Board approved the 2018-2021 Institutional Budget, which includes the overall budget for DFAM, where SBS resides.	

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	4.2 What were the major cost elements and actual costs (where available)?	4.2.1 What were the cost elements – financial, human (non-financial), etc? (Actual cost breakdown if possible to estimate)	Training development and travel for training are expected to be the major additional cost elements.	
RESULTS OF CHANGE MANAGEMENT PROCESS				
5. What are the results and critical success factors of the change process or approach?	5.1 What were the results of the change process? <i>(Is there evidence of sustainability of these changes? What is the degree to which organization is working differently and people are behaving differently? Degrees of result or proxies around these include cost reduction (staff and non-staff); service levels; reduced risks; behavioural changes; improved collaboration etc.)</i>	5.1.1 What were the <u>short-term</u> outputs? How were they assessed? Examples of outputs (effective implementation of CM processes) <ul style="list-style-type: none"> - Implementation of standards and practices - Staff being able to apply new work practices - Reduced time spent on processes (efficiency measure) 	<p>The anticipated short-term outputs of the change management process used to Strategically Reposition the Operations Function include a:</p> <ul style="list-style-type: none"> • Better understanding and appreciation of the Operations function among all staff and across functional areas, particularly Programme and Partnerships. • Stronger common identity and collaborative relationship among Operations professionals. • More empowered body of Operations professionals which makes up 25% of the UNICEF workforce. <p>These outputs will be assessed based on the:</p> <ul style="list-style-type: none"> ○ Increased requests for strategic support from Operations professionals by other stakeholders. ○ Increased engagement of Operations professionals in programme and partnership initiatives. ○ Increased in engagement of Operations professionals in dedicated strategic <i>fora</i>. ○ Increased number of staff members who seek career opportunities in Strategic Operations. ○ Number of Operations professionals that capitalize on dedicated capacity building initiatives. ○ Number of Operations professionals who progress their career through dedicated professional mechanisms and networks (eg: NETI; Operations succession planning; etc.). ○ Annual performance evaluations of Operations professionals. <p>The expected functional outputs include:</p> <ul style="list-style-type: none"> • Greater efficiencies achieved through more effective Operations management: 	

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<i>(Adapted from overall Review Framework)</i>			<i>(After stating findings Indicate source by letter, corresponding to document list below)</i>	<i>(Include list of documents that may be applicable)</i>
			<ul style="list-style-type: none"> ○ Budget and financial management and reporting are improved. ○ Facilities management and administration are strengthened. ○ Supply, information and communications technology, human resources, and safety and security are better coordinated under the Operations umbrella. • Chiefs of Operations are the authoritative partner to Heads of Office and Programme Managers on Organizational management practices. <ul style="list-style-type: none"> ○ Organizational Governance, Risk and Compliance systems are effectively used. ○ Internal controls are implemented, monitored and reported on. ○ Enterprise Risk Management is practiced in all aspects of Office management. ○ Fraud is prevented, detected and addressed in a timely manner. ○ UNICEF interventions are designed to achieve greater Value for Money. ○ Programming is rooted in Results Based Management and Budgeting. ○ Programme partnerships and interventions are more risk informed. ○ Resource mobilization and grant management efforts are strengthened with improved accountability and transparency. ○ Organizational performance management systems and tools support more effective management. • An elevated, more strategic Operations Function profile contributes to the UNICEF's operational excellence. <ul style="list-style-type: none"> ○ Operations behaviours are better focused on delivering results for children. 	

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<i>(Adapted from overall Review Framework)</i>			<i>(After stating findings Indicate source by letter, corresponding to document list below)</i>	<i>(Include list of documents that may be applicable)</i>
			<ul style="list-style-type: none"> ○ Operations contributions to Country Programme processes are more strategic. ○ Policies and procedures are informed by strengthened knowledge of industry standards in management and finance. ○ UNICEF Offices strategically engage in SG Reform, UN Common Services, and BOS efforts. ○ Key Operations processes are optimized to render the Organization agile, resilient and ready to respond to programme needs. ○ A better understanding business needs enables the implementation of efficiency gains and cost savings strategies. ○ Capacity development efforts make the Operations Function ‘fit for purpose’ in achieving programme and operational excellence. ○ Succession planning strategies contribute to the professional development of the Operations Function 	
		<p>5.1.2 What were the <u>intermediate or long</u> outcomes? How were they assessed? Did they bring about the desired transformation? (linked back to objectives in 2.1.1)</p> <p>Examples of specifically change management outcomes (changes in practice and behaviour)</p> <ul style="list-style-type: none"> - Defined improvements in accountability as a consequence of redefined and 	<p>The anticipated long-term outcomes of the change management process used to Strategically Reposition the Operations Function include that:</p> <ul style="list-style-type: none"> • There is broad consensus and strong belief across the Organization that sound and responsive Operations Management is fundamental to the achievement of results for children and young people. • There is confirmation of the increased confidence of and trust in the capacity of the Chief of Operations as a key senior manager in the UNICEF Office. • Chiefs of Operations effectively support the Head of Office on management of the office, they lead by example as business partners, and they help deliver UNICEF programmes more cost-effectively as a result of their expanded strategic role. • UNICEF Offices are more cohesive, with more competent teams and multifaceted managerial and programmatic skills. 	

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		<p>communicated roles and responsibilities</p> <ul style="list-style-type: none"> - Staff satisfaction levels - Client satisfaction levels 	<p>These outputs will be assessed based on the:</p> <ul style="list-style-type: none"> • Increases in effectiveness and efficiencies achieved in UNICEF with the contribution of Strategic Operations. • Improved performance of UNICEF Offices as documented through local and Organizational management indicators. • Performance evaluation reports of Operations professionals at all levels. • Increased engagement of Senior Operations professionals in Organizational governance mechanisms. • Increase in number of leadership opportunities for Senior Operations Managers. 	
	5.2 How did the process affect the results?	<p>5.2.1 How did the change management results contributed to the reform results or outcomes and in what way?</p> <p>What is the value-add of the structured process, where used?</p>	<p>It is expected that there will be a direct correlation between the change management results and the reform results because both approaches are being developed together and being undertaken through the same existing institutional processes and structures and by the same actors and stakeholders. For example, the revision of Operations job descriptions is being done with the Division of Human Resources through standard revision and approval processes. The revision of regulatory content is being done by the actual Business Owner as part of the regular policy management process. The mainstreaming of change management efforts into regular institutional processes will ensure coherence and synchronicity across both sets of outcomes and outputs.</p>	
LESSONS FROM CHANGE MANAGEMENT PROCESS				
6. What lessons can be derived to guide future change management initiatives?	6.1 What are considered critical factors +/-	<p>6.1.1 What do those involved, and those affected considered critical factors in success/ failure of the change management process?</p> <p>Are these distinguishable from the reforms behind the change etc.</p>	<p>The Strategic Repositioning of the Operations Function has been welcomed at all levels of the Organization. However, change management efforts will need to address a number of critical factors that will impact the success of the initiative, including:</p> <ul style="list-style-type: none"> • Willingness of Heads of Office and all Regional Directors to accept the proposed changes to the Operations Function (eg: elevating Chief of Operations to Deputy Representative for Operations; enhancing the governance and oversight role of the Operations Function). • Willingness of Heads of Office to give Chiefs of Operations a more authoritative voice at the programme planning table. 	

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<i>(Adapted from overall Review Framework)</i>			<i>(After stating findings Indicate source by letter, corresponding to document list below)</i>	<i>(Include list of documents that may be applicable)</i>
			<ul style="list-style-type: none"> Willingness of other Business Areas (eg: IT, HR, Supply), subsumed under the Operations umbrella at the Country Office level, to support a more strategic Operations Function rather than pursue their own independent technical role. Level of investment required to ensure UNICEF has the resources to meet its Operational Excellence objectives, both by strengthening the capacity of existing Operations professionals and by identifying qualified Operations professionals in comparable external sources. 	
	6.2 What positive features identified are transferable or scalable, which are not and why?	6.2.1 What features seem to be key to a successful CM process?	While there is no structured change management process, the Strategic Repositioning of the Operations Function would not be possible without the dedicated support of SBS and the Regional Chiefs of Operations who serve as the champions of the initiative at the field level. SBS provides the capacity to move forward changes to the Operations Function through institutional processes; convenes stakeholders to ensure a mutually beneficial outcome; communicates to keep Operations Professionals informed and engaged; and identifies opportunities to strengthen the capacity of Operations Professionals at all levels	
		6.2.2 How unique are these to the context in which they were implemented?	The need for enhanced operations and management capacity emerged from UNICEF Offices, as demonstrated in the 2015 Regional Chiefs of Operations Meeting, particularly in face of growing requirements created by SG Reform and UN Coherence initiatives, and the renewed Organizational focus on strengthened accountability and internal governance, and risk informed management and oversight. These increasing demands reaffirmed DFAM's mandate to roll out a number of management improvements and strategically reposition the Operations Function.	
		6.2.3 What generalizable lessons can be identified?	<p>This "grassroots" common understanding of Organizational needs enables the change management efforts of SBS -- as opposed to previous Organizational change management initiatives where stakeholders first had to be convinced of the benefits of the Organizational improvement being implemented.</p> <p>The engagement of senior Operations Professionals from the inception of the initiative is another key success factors. Operations</p>	

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			<p>are championing specific streams of each of the five pillars of the Strategic Operations approach.</p> <p>The consultation and development process for the Strategic Repositioning of the Operations Function has been focused, pragmatic and included all relevant stakeholders.</p> <p>The timing of the initiative was also a critical factor. The Strategic Repositioning of the Operations Function builds on the transfer of transactional functions to the GSSC and is fuelled by the movement in the Organization to put in place “smarter” internal controls and systems and risk informed decision-making at the field level, rather than imposing heavier controls from the HQ level to ensure effective management and oversight of UNICEF resources.</p> <p>The creation of a flexible team in SBS as a permanent structure in DFAM ensures the sustainability and adaptability of the Strategic Repositioning of the Operations Function over the years.</p>	
	6.3 What has the organization learnt from this process?	6.3.1 Would the organization run the process the same way again, or do things differently? If so, how?	Based on experience with previous Organizational improvement efforts, a mainstreamed change management approach appears to work best in the UNICEF context as it makes stakeholders feel they have greater ownership, influence and control over the outcome of the reform and the change management impact. This mainstreamed approach to change management helps to reduce uncertainty as changes are effected through mechanisms and processes that staff are already familiar and comfortable with.	

Change Management Functions in the Organization

If information on organizational level change management initiatives is found while reading through documents, please note details/findings below

Review Question	Review Sub-Question	Additional Description	Key Findings	Gaps and Questions
7. To what extent have change management functions been institutionalized?	7.1 Does the Participating Organization (PO) have a Change Management function – formalized or otherwise?	7.1.1 Is there a team – time-bound or fixed – working on CM across multiple initiatives (i.e. beyond a single time-bound change process)?	A dedicated UNICEF Change Management Office existed between 2007 and 2014. While there is no longer a Change Management Function in UNICEF, a number of initiatives across the Organization have engaged dedicated change management capacity. While SBS plays a change management role, its primary function is to serve as the bridge between the Operations Function in the field and Business Owners in Headquarters.	
	7.2 What are its objectives?	7.2.1 How was it established? When? What is its purpose? How sustainable is it?		
	7.3 How is it structured, staffed and funded?	7.3.1 How many staff, and at what grades? Who does it report to? How is it funded and to what levels?		

Document Key

Document	Document Title	Document Source
A.	Workplan 2018	UNICEF

17. UNICEF – Office Management Plan

Overall comments	<ul style="list-style-type: none"> The case summary was completed by UNICEF. Further documentation was provided – information from the documents has been added to the case summary The information provides a good overview of the reform. There does not appear to have been a comprehensive change management process, but a few change activities were planned for. Its scope was the Programme Division of UNICEF
Themes for consideration in JIU report	<ul style="list-style-type: none"> Role of leadership - During the planning phase change management elements were envisioned however the implementation does not reflect these elements (possible due to the change in leadership)

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REFORM/INITIATIVE OVERVIEW				
1. Details of the organizational reform/initiative (The 'What' question – what the initiative and reasoning behind it was?)	1.1 A brief summary of the reform/initiative.	1.1.1 What is its purpose? What are the objectives?	<p>Purpose The aim was to adapt Programme Division (PD) strategy and structure to contribute to the delivery of UNICEF's 2018-2021 Strategic Plan.</p> <p>Objective: <i>Outline how each organizational unit will fulfil its respective roles and functions to enable the collective achievement of the results in the Strategic Plan for 2018 – 2021. The OMPs will form the basis of the integrated budget for 2018 to 2021 that will be agreed by the UNICEF Executive Board, along with the Strategic Plan, in September 2017.</i></p> <p>While the development of the OMP might sound “processual”, it involved changing management perspectives and behaviour. Programmatic integration towards common results can only be achieved if management at all levels is changed, and that was a component in the OMP process. The process of development of PD's OMP happened at the same time as the organization was discussing and creating the new Strategic Plan, and much of the programmatic and management discussions that happened during the OMP influenced the SP, and vice-versa.</p>	

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		1.1.2 When did it start? When did it end?	The OMP development process started at the end of 2016, and last until April of 2017.	
		1.1.3 What are the key elements/sub-initiatives?	<p>The OMP calls for new management styles to enable horizontal programmatic integration. In this sense, at horizontal level, programmatic coordination and integration lays with PD Directors Office (PDDO), leading to the development/improvement of new mechanisms, including:</p> <ul style="list-style-type: none"> • Section Chiefs Meeting (weekly): a ‘tour-de-table’ where Section Chiefs and PDDO provide the key points of interest for information sharing, further input and decision-making actions; • PD Management Team (quarterly): meeting to go over key management indicators (for PD) and discuss overall governance issues; • PD Programme, Operations and Management Team (PROMT) (at least quarterly): planning focal points meet for information sharing, inputs on process and decision-making on issues related to monitoring and planning. Field Results Group (FRG) and Data, Research and Policy (DRP) are also invited to participate; • Learning Committee (quarterly): the team consolidates the learning needs for the Division and submits a Learning Plan for the endorsement by PDMT and approval by the Director; • Division Director, Deputy Directors, and Staff Representatives (quarterly): similar to a Joint Consultative Committee, this meeting has the goal to listen to general staff issues and together come up with solutions. PD has organized itself to have Staff Representative in all different Sections which has proved to promote better interaction and morale amongst staff; • Division Director and General Service Staff (quarterly): meeting to have a sincere dialogue between the General Service team and the Division Director on staff morale and overall simplification of processes; • Annual reviews and planning of all programmes under Goal 1 are conducted together to promote convergence and learning. • Implementation of cross sectoral strategies such as Innovation, Systems strengthening, Knowledge management, C4D, Human Rights, Disability etc. are managed by PDDO to enhance coherence, standardisation and monitoring. • Matrix management: Precedence and good practice has been set up over the last three years in the areas of Migration and Children on the Move, 	

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<i>(Adopted from overall Review framework)</i>			<i>(After stating findings, indicate source by letter, corresponding to document list below)</i>	<i>(Include list of documents that may be applicable)</i>
			<p>Adolescents (Second Decade) and Early Childhood Development (ECD) to develop and monitor their respective programmes through a matrix management arrangement. The matrix draws relevant technical experts from PD and other Divisions, as necessary.</p> <ul style="list-style-type: none"> The <u>PD Teamsite</u> is a one-stop source for information and resources related to the Division's programmes and partnerships. In addition to being an effective platform for information sharing, the site also serves as a space for collaboration around eg. knowledge management, systems strengthening, and innovations for programme results. Resource mobilization, proposal development for fund raising, high level political advocacy are also functions where PDDO has oversight over PD sections 	
		1.1.4 When and by whom was it approved?	OMP was approved in April of 2017 by the steering committee, then by Programme Director, and then by Programme Deputy-Executive Director.	
		1.1.5 Was the reform evaluated? What were the achievements, results, and/or outcomes?	Initiative (process + final result) was not evaluated – we are in the first year of the implementation of the OMP.	
	1.2 What were the underlying factors or drivers behind this reform/initiative?	1.2.1 What were the drivers? The causes of the initiative, generally an overarching, longer-term shift affecting how the organization operates.	<ol style="list-style-type: none"> <u>Changing global context and new opportunities</u> - The OMP responds to a fast-changing global context where, despite much progress in the last two decades, inequity within and between countries, fragility and conflict remain major concerns together with new or exacerbated global challenges, such as increasing conflict-related humanitarian crises, migration, urbanization, public health emergencies and climate change. New opportunities – e.g. harnessing of demographic dividends, technology and media innovations, and increasing ability of government and private sector to invest in sustainable development – are becoming increasingly available to address the challenges. <u>Programme partnerships</u> - Programme partnerships are growing more intricate, and sustained strategic engagement and leadership is required to leverage partnerships for large scale action and resources for children. <u>Changes in international funding scenario</u> - In addition, fierce competition for financial resources coupled with high demands from donors for accountability mean that UNICEF programmes 	
	Where distinct or additional to broader drivers of change, what specific events or triggers signalled the start? Each of these will affect the approach, speed, scope, resources and			

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	adoption of change management. They can be both expected or unexpected.		must continue to improve its ability to demonstrate clear value-added in a crowded field, and effectively deliver results for children in all country contexts, including middle and high-income countries. 4. <u>Implementation of SDGs</u>	
		1.2.2 Was there a specific event that acted as a trigger to get it started? It may be internal or external. These might include funding depletion, reputational (fraud, mismanagement) or other.	In this case, there were no specific triggers (as defined of something that is “urgent”). The process responded to an organizational demand of having Office Management Plans that would fit to the new Strategic Plan. In restructuring the programmatic part, the process took into consideration the international funding situation, which, for some areas such as HIV, has been reduced over time, the new challenges posted by the SDGs, and other factors that were influencing the international development agenda.	
PLAN OF CHANGE MANAGEMENT PROCESS				
2. Which change management approaches have been used in the <u>design</u> of the above reform or initiative? (The 'How' question on design – what did they set out to do?)	2.1 Describe the design or plan for change management in the initiative?	2.1.1 What were the specific objectives of change management within the design of the initiative? Examples of specific objectives <ul style="list-style-type: none">- Behaviour change to facilitate fuller adoption of new technology (e.g. UMOJA)- Empowerment of all staff to increase adoption of new policy- Improve communication of new roles and responsibilities	Objectives: <ul style="list-style-type: none">• Change behaviour towards integrated approach to programming;• Improve programmatic integration among different thematic Sections, for examples: Health and Early Childhood Development; Education and WASH; Disabilities and Child Protection;• Increase communication among different programmatic sections to better programme, fundraise, monitor and communicate results;• Improve quality of work;• Improve life-work balance;• Increase transparency of decision-making process;• Establish discussion/decision-making forums that integrate senior management and representatives from staff association;• Rationalize the planning process, increasing time available for programme implementation, and consequently reducing staff overburden.	
		2.1.2 Did the approach to change management draw	The process followed a structured approach, without necessarily drawing from one specific established practice. It followed a structural guidance	

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		from established practices (Kotter, McKinsey, PWC, UNLOCK etc) or not? If so, how?	shared by the Division of Data, Research and Policy (DRP), with adjustments to fit the needs of the Programme Division. Value Web approach - Their Scan-Focus-Act approach meant that rather than jumping head-first into detailed planning, participants spent an entire day establishing common language and a shared understanding of context. This helped build understanding of PD's unique role, and re-frame siloed BU-centric work into an integrated, results-led set of cross-BU and cross-divisional collaborations.	
		2.1.3 Was a specific plan prepared outlining the change management process(es)? Who prepared this plan – done internally or by an outside company? If external, please state who?	There was no specific plan for the Change Management part of this process. Change management was one essential element of the overall development of the Office Management Plan, and it was considered all along the process. It was not possible to disassociate programmatic discussion from management structures and practices.	
	2.2 How did the triggers of the organizational reform or management initiative influence the change management approach?	2.2.1 What effect, if any, did the drivers or triggers of the reform have on the objectives and plan for change management?	The fact that the new SP (and the SDGs) call for an integrated approach for many results to be achieved, created a challenge in how the Division and its Sectors would organize themselves in terms of content, but also management. The CM function embedded in the OMP aims to respond to the drivers. PD senior management has embraced the idea that “business as usual” is not the best management approach to the Division to reach its results and to contribute to UNICEF bigger results.	
IMPLEMENTATION OF CHANGE MANAGEMENT PROCESS				
3. How have the change management approaches been adopted/ adapted and implemented?	3.1 What was the scope – breadth and depth of the change process?	3.1.1 Was it system-wide, organization, department etc.	The change process happened within Programme Division in New York and involved all other UNICEF HQ Divisions and Units.	
	3.2 How was the change	3.2.1 Who led the change management process? Who was the owner/sponsor of the	Process was led by Programme Division Directors' Office (PDDO), coordinated by both PD's Director and Deputy Director.	

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(The 'How' question on implementation)	management process led?	change? What is their position in relation to management?	A Planning Reference Group, representing the governance body, was established with representatives from PD Sections, under the coordination of PD Deputy Director. The Group was involved at all times. Also, an external group was hired to facilitate the process, creating an external and unbiased view that helped in the development of new programmatic and managerial perspectives. DRP, another division in UNICEF HQ, is responsible for the Strategic Plan and for guidance on how different divisions and units have to adapt to the new Strategic Plan. Overall guidance for the OMP process was led by DRP. The PD change management process related to Programme Division's OMP was idealized and implemented by PDDO, under the guidance of its Director and Deputy-Directors.	
		3.2.2 Were consultants involved in implementation? If so, in what role?	<p>The process was led internally, with the support of an external consultancy team (Value Web)</p> <p>PD engaged the Value Web into two phases: <u>first</u>, to develop the pre-workshop data collection and analysis; <u>second</u>, the company helped co-design the retreat and to facilitate the three days of work.</p> <p>Their approach was highly participative and modelled the sort of team behaviors that PD would need to adopt more systematically to deliver expected results. UNICEF has been working with the Value Web to adapt their methods for the past four years—in Supply Division, in the Division of Communications, and in Immunization—but this was their first time they facilitated a complex business planning process.</p>	
		3.2.3 What was the size of the team? Where was the CM team located?	<p>For the first phase (pre-workshop), the consultancy team had one team leader, and three other consultants to help in the process. In the second phase, the team had one leader and five other consultants helping in the workshop.</p> <p>As mentioned, there was no formal CM team; however, the consultants were managed by the PD team that led the OMP process.</p>	

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<i>(Adopted from overall Review framework)</i>			<i>(After stating findings, indicate source by letter, corresponding to document list below)</i>	<i>(Include list of documents that may be applicable)</i>
		3.2.4 Is there an institutionalized function for change management in the organization or was the function time-bound for this specific initiative? <u>If yes, please include information in question 7 as well.</u>	No	
		3.2.5 What mechanisms were put in place to oversee the change management process? Did it include the head of organization, the governing body, just senior managers, or other? What role was played by each?	Senior management involvement was fundamental for guaranteeing overall buy-in.	
	3.3 How was the change management process structured?	3.3.1 Did the process have a definitive start and end?	The change management process that started with the OMP process at the end of 2016, and it continues to be implemented until today.	
		3.3.2 How long did it last?	As mentioned, the process of development of the OMP was time bond, but the change management process started to happen with the development of the OMP, and it has been gradually implemented now. Hence, if one wants to divide the OMP development and the change management processes into two, they started together, but the change management has been implemented now as a strategy to achieve the OMP results.	
	3.4 How was it implemented?	3.4.1 Describe the implementation process (refer to the plan in 2.1.3)		
		3.4.2 What communication mechanisms were used?	Communication Mechanisms: emails, weekly meeting organized by PDDO and by the reference group, and communications in other meetings that were not necessarily part of the process. A SharePoint depository was also created by PDDO to upload background documents and working versions of the OMP and IRRF.	
		3.4.3 How was the change initially framed and presented to staff?		

Review Question	Review Sub-Question	Sub-sub Question	Key Findings	Remarks
<i>(Adopted from overall Review framework)</i>			<i>(After stating findings, indicate source by letter, corresponding to document list below)</i>	<i>(Include list of documents that may be applicable)</i>
	3.5 How much reflexive learning took place during the process? Was it evaluated during or after?	3.5.1 What learning and adaptive management processes were put in place during or after the CM process? (please specify when put in place in relation to the process)	<p>As part of the lessons learned exercise, PD carried out an internal review that took into consideration effectiveness and efficiency assessment, finalized version of the SP, analysis from UNICEF 3.0 and 4.0 documents, discussions on the emerging SDGs and feedback from other HQ Divisions, Office of Executive Director (OED) and the field.</p> <p>During the process the reference group hold different meetings that aimed to course correct the plan. Today, learning and adaptive management is conducted through a series of mechanisms (some described in question 3.2).</p>	
RESOURCE IMPLICATIONS OF CHANGE MANAGEMENT PROCESS				
4. What have been the resource implications of change management?	4.1 How was the CM budgeted?	4.1.1 What was the source of financing- core resources/XB. Implications.	Source of funds: Programme Division's own resources.	
	4.2 What were the major cost elements and actual costs (where available)?	4.2.1 What were the cost elements – financial, human (non-financial), etc? (Actual cost breakdown if possible to estimate)	Direct costs included the consultancy group that was hired for the process, and logistics related to retreat. Indirect costs took into consideration the time of those directly involved in the process.	
RESULTS OF CHANGE MANAGEMENT PROCESS				
5. What are the results and critical success factors <i>of the change process or approach?</i>	5.1 What were the results of the change process?	5.1.1 What were the <u>short-term</u> outputs? How were they assessed?	<p>The ultimate (tangible) result was the development of the Office Management Plan to be used as a management framework for Programme Division. In terms of change management, other expected results were:</p> <ul style="list-style-type: none"> • The agreement on having a flexible, but concrete planning structure to plan, monitor and implement for results; • Create planning processes that identify clear accountabilities; • Agreement on decision-making processes are more transparent; • Development of the Division's Office Management Plan 	
		5.1.2 What were the <u>intermediate or long</u> outcomes? How were they assessed? Did they bring about the desired transformation?	<p>The Change Management process is about change in behaviour of Section's Chiefs and staff, so CM results will gradually start to show up during the years of implementation of the OMP.</p> <p>(i) change in senior management behaviour to the idea that integrated programming is necessary for delivering the SDGs (and UNICEF SP results);</p> <p>(ii) the strengthening of PD teams;</p>	

Review Question	Review Sub-Question	Sub-sub Question	Key Findings	Remarks
<i>(Adopted from overall Review framework)</i>			<i>(After stating findings, indicate source by letter, corresponding to document list below)</i>	<i>(Include list of documents that may be applicable)</i>
		(linked back to objectives in 2.1.1)	(iii) the integration of PD Sections; (iv) the strengthening of cross-cutting thematic areas; (v) Accountabilities are better defined in the PD structure	
	5.2 How did the process affect the results?	5.2.1 How did the change management results contributed to the reform results or outcomes and in what way? What is the value-add of the structured process, where used?	The CM process is still under way.	
LESSONS FROM CHANGE MANAGEMENT PROCESS				
6. What lessons can be derived to guide future change management initiatives?	6.1 What are considered critical factors +/-	6.1.1 What do those involved, and those affected considered: (m) the key factors of success (n) factors that led to failure and the challenges and constraints to the change management process?		
		6.2.1 How unique are these to the context in which they were implemented?	The process was transparent and inclusive. The fact that an independent body (consulting company) was brought as part of the process helped create a notion of independency. The fact that preparatory materials guided discussions and the development of documents was seen as positive for influencing the quality of the final product.	
	6.2 What positive features identified are transferable or scalable, which are not and why?	6.2.2 What generalizable lessons can be identified?	<ul style="list-style-type: none"> Involvement of staff in the process increases buy-in of milestones and results. 	

Review Question	Review Sub-Question	Sub-sub Question	Key Findings	Remarks
<i>(Adopted from overall Review framework)</i>			<i>(After stating findings, indicate source by letter, corresponding to document list below)</i>	<i>(Include list of documents that may be applicable)</i>
			<ul style="list-style-type: none"> • Having someone from outside UNICEF to help in the process is important so new perspectives can be presented to those that participate; • Despite the fact that not all staff has participated in the 3-day retreat, Sections involved their staff in previous discussions that were used as inputs in the retreat. 	
	6.3 What has the organization learnt from this process?	6.3.1 Would the organization run the process the same way again, or do things differently? If so, how?		

Change Management Functions in the Organization

If information on organizational level change management initiatives is found while reading through documents, please note details/findings below

Review Question	Review Sub-Question	Additional Description	Key Findings
7. To what extent have change management functions been institutionalized?	7.1 Does the Participating Organization (PO) have a Change Management function – formalized or otherwise?	7.1.1 Is there a team – time-bound or fixed – working on CM across multiple initiatives (i.e. beyond a single time-bound change process)?	<p>Currently, Programme Division does not have a dedicated team on Change Management.</p> <p>The closest to a dedicated CM team would be the Programme Division Management Team (PDMT), which is formed by PD's Director, Deputy Director, Senior Managers (Section Chiefs), Senior Planning Chief, Operations Chief and representatives from Staff Association. This group is responsible for implementing the management changes proposed by the OMP, and to analyse and decide on new management needs for the Division.</p> <p>Besides, the Division has a network of planning, monitoring and evaluation specialists that are focal points for all planning related issues. The team is coordinated by the Senior Planning Specialist and led by PD's Deputy Director.</p>
	7.2 What are its objectives?	7.2.1 How was it established? When? What is its purpose? How sustainable is it?	PDMT is officially established in PD's OMP, and it meets quarterly to discuss key management indicators and overall governance issues. If necessary, the team can be summoned for urgent matters. PDMT is an official body in PD' management structure and its sustainability is guaranteed in the Division's OMP.
	7.3 How is it structured, staffed and funded?	7.3.1 How many staff, and at what grades? Who does it report to? How is it funded and to what levels?	<p>As mentioned, there is no formal structure of CM in PD.</p> <p>PDMT is formed by around 20 members, and it is led by Programme Division Director.</p> <p>Salaries are paid by the Division own budget. If other expenses are necessary, these can be funded by PDDO's budget.</p>

18. UNICEF – Performance Management System

Overall comments	<ul style="list-style-type: none"> The case summary was completed by UNICEF. An interview was conducted to complete the case - information from the interview has been added to the case summary The information provides a good overview of the reform. No comprehensive change management process is reflected in the evidence reviewed, however facets of change activities were found that were part of the overall change process.
Themes for consideration in JIU report	- Use of the champions approach

Review Question	Review Sub-Question	Sub-sub Question	Key Findings	Remarks
<i>(Adapted from overall Review Framework)</i>			<i>(After stating findings Indicate source by letter, corresponding to document list below)</i>	<i>(Include list of documents that maybe applicable)</i>
REFORM/INITIATIVE OVERVIEW				
1. Details of the organizational reform/initiative (The 'What' question – what the initiative and reasoning behind it was?)	1.1 A brief summary of the reform/initiative.	1.1.1 What is its purpose? What are the objectives?	Investment in technology has been key to improving planning, implementation management and accountability for results in UNICEF (the articulation of results, definition of indicators, establishment of baselines and targets and selection of strategies to achieve results). VISION (SAP) was adopted as UNICEF's ERP in 2012. With improved data quality and stability of VISION systems, the opportunity presented itself to expand the use of VISION data through a companion SharePoint-based performance management system. This system was rebranded and relaunched in 2013 as inSight. Part of this exercise was to bring together lessons learned and experiences of users to date, validate the underlying data (indicator definitions and data sources), adjust to changes made to VISION (SAP) during the ensuing period and properly reflect VISION data within an evolving UNSAS to IPSAS environment. inSight provides UNICEF staff with up-to-date and easily accessible financial and programme management data, that supports day-to-day decision-making at all levels of the organization. This data is provided through dashboards, performance scorecards, management reports and assessment modules such as the Results Assessment Module (RAM).	
		1.1.2 When did it start? When did it end?	2012 – Rolled out as part of the ERP reform initiative as UNICEF's Performance Management System	

			<p>2013 – Major improvements made to the scope, data quality, and user interface.</p> <p>2014 – Governance restructured, system rebranded and relaunched as inSight.</p>	
		1.1.3 What are the key elements/sub-initiatives?	<ul style="list-style-type: none"> • inSight is the one-stop-shop for programme and operational performance management data. It combines information from multiple (fragmented) data sources and provides staff with data through dashboards, performance scorecards, management reports and assessment modules (e.g. RAM). • inSight products are often developed in collaboration with users in field offices to address information gaps and business needs, and is governed by IWG that represents both field offices and HQ divisions • inSight support is provided at all levels across the organization to ensure the active & proper use of inSight products (over 80% of UNICEF staff 'actively use inSight') 	
		1.1.4 When and by whom was it approved?	The inSight initiative was approved by the then DED Management, Omar Abdi (2011) and its management institutionalized within the VISION Owner's Group in 2013 by his predecessor Martin Mogwanja.	
		1.1.5 Was the reform evaluated? What were the achievements, results, and/or outcomes?	<ul style="list-style-type: none"> • No formal evaluation has been undertaken but a technical review was undertaken by OIAI in 2016. • The organization now has a corporate organizational performance monitoring system that encompasses all areas of UNICEF's work. inSight has been accessed by over 80% of UNICEF and is used at least 4,000 times on average every day of the week. It has been used for benchmarking by a number of sister UN Agencies • insight has over the years become the 'go to' system for majority of UNICEF staff seeking information to enhance actions, results and routine operations and management performance across offices. 	
	1.2 What were the underlying factors or drivers behind this reform/initiative?	1.2.1 What were the drivers? The causes of the initiative, generally an overarching, longer-term shift affecting how the organization operates.	<p>Background:</p> <ul style="list-style-type: none"> • The previous ERP implemented in 2012 – there was not much thinking in the governance of it and was facing substantial issues (E.) • Global management team meeting was held with the regional directors and the ERP system was one of the issues for discussion (E) 	

	Where distinct or additional to broader drivers of change, what specific events or triggers signalled the start? Each of these will affect the approach, speed, scope, resources and adoption of change management. They can be both expected or unexpected.		<ul style="list-style-type: none">A decision was taken to relaunch the ERP system with a clear marking of responsibilities – managing change – bridging the gap with users – making it more responsive to their needs – with a vibrant community of practice (Yammer group) <p>Other drivers mentioned:</p> <ul style="list-style-type: none">The need to streamline programme and operations performance management by providing timely and consistent information across all levels in the organization via a single point of entry.UNICEF’s differentiated and decentralized programming and operational contexts, demand a single corporate view (inSight) of the work the organization with partners in delivering results for children in 128 countries globallyPerformance management is at the core of UNICEF’s drive to achieve effectiveness and efficiency in the delivery of results for children. Prior to the launch of inSight, no centralized system was available, business information was fragment at CO/RO/HQ levels, and information collected was not suited for decision-making.inSight caters to the increasing internal and external (donors’) expectations and reporting requirements, including the demand for more accountability and transparency in the use of funds as well as more frequent reporting not only on the results and impact achieved with the funds provided, but also specific contribution to progress on global goals such as the UNICEF Strategic Plans, and SDGs.	
		1.2.2 Was there a specific event that acted as a trigger to get it started? It may be internal or external. These might include funding depletion, reputational (fraud, mismanagement) or other.	No specific trigger, just escalated needs of a centralized performance management system providing timely and accurate information across the organization via a single point of entry to facilitate, managing for results. It's improvement was triggered by complaints from users on the quality and reliability of data, and a session at the GMT (June 2014) instituted its review, rebranding and relaunch.	
PLAN OF CHANGE MANAGEMENT PROCESS				
2. Which change management approaches have been used in the	2.1 Describe the design or plan for change management in the initiative?	2.1.1 What were the specific objectives of change management	<ul style="list-style-type: none">Position inSight as the single source of the truth for the organization on operational and programme data by developing	

<p><u>design</u> of the above reform or initiative?</p> <p>(The 'How' question on design – what did they set out to do?)</p>		within the design of the initiative?	<p>a centralized system for programme and operational performance management data</p> <ul style="list-style-type: none"> • Empowerment of all levels across the organization to be able to use data to quickly address information gaps and business needs and make decisions guided by actual data & evidence • Co-creation with users through the creation of continuous feedback loops e.g Yammer Community 	
		2.1.2 Did the approach to change management draw from established practices (Kotter, McKinsey, PWC, UNLOCK etc) or not? If so, how?	<p>Yes. Application of:</p> <ul style="list-style-type: none"> • The Kaizen Approach by focusing on incremental changes and continuous improvement process. • Systems Thinking which is holistic approach to analysis, that focuses on the way that a system's constituent parts interrelate and how systems work over time and within the context of larger systems. • Kotter's approach was also used but not necessarily following the logical 8-step model. • The application of Kotter's approach was informal (E.) 	
		<p>2.1.3 Was a specific plan prepared outlining the change management process(es)?</p> <p>Who prepared this plan – done internally or by an outside company? If external, please state who?</p>	<p>Annual plans were developed to map out the change process – jointly prepared by FRG and ICTD under the auspices of the inSight Working Group.</p>	
	2.2 How did the triggers of the organizational reform or management initiative influence the change management approach?	2.2.1 What effect, if any, did the drivers or triggers of the reform have on the objectives and plan for change management?	<ul style="list-style-type: none"> • They provided the institutional basis for implementing the change and accelerated its implementation. 	

IMPLEMENTATION OF CHANGE MANAGEMENT PROCESS				
h	3.1 What was the scope – breadth and depth of the change process?	3.1.1 Was it system-wide, organization, department etc.	The reach of inSight is organization-wide (HQ/RO/CO), all offices and all levels across UNICEF have access to the tool.	
	3.2 How was the change management process led?	3.2.1 Who led the change management process? Who was the owner/sponsor of the change? What is their position in relation to management?	<ul style="list-style-type: none"> Led by senior management (Deputy Executive Directors' Management and Field Results) and implemented by HQ divisions – FRG (Field Results Group), ICTD (ICT Division), DFAM (Department of Financial and Administrative Management), and other business owners inSight is institutionalized across entire UNICEF organization; it has an established governance structure – IWG (Informal Working Group) (oversight & guidance) / FRG (as secretariat, coordination) / ICTD (technical support) IWG structure ensures the close collaboration across all business owners and technical team to move the process forward in a synchronized and efficient way Continuous and robust inSight support is provided to ensure the adoption and sustainability (training sessions, webinars, online tutorials, Q&A, help support, etc.) 	
		3.2.2 Were consultants involved in implementation? If so, in what role?	Yes. Support provided by an offshore vendor for one of the modules. ICTD also regularly hires consultants/developers to support the BI team.	
		3.2.3 What was the size of the team? Where was the CM team located?	On average 2-3 within FRG who facilitate work of the cross-functional, cross-divisional inSight Working Group. The team is mostly located in NYHQ (HQ divisions, technical team) with focal points in ROs	
		3.2.4 Is there an institutionalized function for change management in the organization or was the function time-bound for this specific initiative? <u>If yes, please include information in question 7 as well.</u>	<ul style="list-style-type: none"> A robust governance structure, inSight Working Group (IWG) is formed and meet quarterly to oversee inSight development. It is co-chaired by DFAM and FRG brings together the 'business owners' across 13 headquarters divisions and field office representatives to provide oversight, coordination and guidance for the development and functioning of UNICEF's organizational performance monitoring systems (principally inSight) and accompanying practices. ICTD BI team is the technical team that provides support and develop new inSight products 	
		3.2.5 What mechanisms were put in place to oversee the change		

		management process? Did it include the head of organization, the governing body, just senior managers, or other? What role was played by each?		
	3.3 How was the change management process structured?	3.3.1 Did the process have a definitive start and end?		
		3.3.2 How long did it last?	Not evident from the information provided.	
	3.4 How was it implemented?	3.4.1 Describe the implementation process (refer to the plan in 2.1.3)	<ol style="list-style-type: none"> 1. Development of insight was a process that involves careful planning, methodical design, thorough consultation with key stakeholders, and effective implementation. It follows the steps of: identifying business needs -> involving key stakeholders (including users) in design phase and reviewing mock-up templates -> collecting feedback (workshops, Skype meetings, consultation, etc.) -> implementation 2. An active user support base whose backbone is a community of practice (Yammer Group) whose members regularly support each other, sharing tips, best practices, etc. This group has a membership of over 1,000 UNICEF staff and it's considered as a best practice. 3. Identification of inSight champions from all levels of the organization and targeted training. In addition, wide range of cross-organizational learning platforms to support inSight learning (e.g. monthly webinar series, Regional and Country Office Training Workshops/Webinars as requested, support for field offices through sector and network-specific meetings and webinars) <p>Processes used to institutionalize the ERP: (E.)</p> <ol style="list-style-type: none"> 4. by making it part of the business process (for example - performance scorecards helped embed it as a new way of working for the organization) 5. Improving the reputation of the change - gain the trust of users through webinars, presentations in meetings, network meetings (Tim and his team ensured that they were part of any such meetings to provide information about insight) 	

			<p>6. There was no manual created for the ERP as the team wanted the system to be intuitive – this required a lot of advocacy for which a monthly webinar series was developed.</p> <p>7. A continuous improvement process was put in place to ensure its relevance with the following:</p> <ol style="list-style-type: none"> Thursday release of improvements Updating tools Developing a package for online training Training of trainers <p>On the trainings: (E.)</p> <ol style="list-style-type: none"> There were separate regional and global trainings held Champions were identified from the Yammer group based on their usage and frequency of answering questions on the Yammer group. The champions were given separate training. 	
		3.4.2 What communication mechanisms were used?	Not evident from the information provided.	
		3.4.3 How was the change initially framed and presented to staff?	Not evident from the information provided.	
	3.5 How much reflexive learning took place during the process? Was it evaluated during or after?	3.5.1 What learning and adaptive management processes were put in place during or after the CM process? (please specify when put in place in relation to the process)	<ul style="list-style-type: none"> Continuous monitoring of inSight usage statistics & gathering user feedback from different channels (e.g. workshops, webinars, knowledge base) Continuous improvement of the system's functionalities, most often co-created with users through systematic feedback. inSight development and enhancements are a continuous effort and follows a phased approach – releasing module by module On monitoring and learnings (E.) <ol style="list-style-type: none"> weekly meetings of the IT team to discuss strategy. However, there was no mechanisms No mechanisms in place to oversee the processes – more organic, forecast management, weekly and quarterly meetings 	
RESOURCE IMPLICATIONS OF CHANGE MANAGEMENT PROCESS				
4. What have been the resource implications of	4.1 How was the CM budgeted?	4.1.1 What was the source of financing- core resources/XB. Implications.	Through dedicated funding from the organization's portfolio of Investment Funds, and Maintenance & Enhancement budget	

change management?	4.2 What were the major cost elements and actual costs (where available)?	4.2.1 What were the cost elements – financial, human (non-financial), etc? (Actual cost breakdown if possible to estimate)	ICT software and development costs, HR cost	
RESULTS OF CHANGE MANAGEMENT PROCESS				
5. What are the results and critical success factors of the change process or approach?	5.1 What were the results of the change process? <i>(Is there evidence of sustainability of these changes? What is the degree to which organization is working differently and people are behaving differently? Degrees of result or proxies around these include cost reduction (staff and non-staff); service levels; reduced risks; behavioural changes; improved collaboration etc.)</i>	5.1.1 What were the <u>short-term</u> outputs? How were they assessed? -	<ul style="list-style-type: none"> Scorecards and dashboards are implemented to provide data and evidence support for management/business decision. The organization now has a corporate organizational performance monitoring system that encompasses all areas of UNICEF's work. inSight has been accessed by over 80% of UNICEF and is used at least 4,000 times on average every day of the week. It has been used for benchmarking by a number of sister UN Agencies <p>No documentation on the lessons or the results – however the user statistics are the most important – majority of the staff using on daily basis – the statistics go back to 2013. (E.)</p>	
		5.1.2 What were the <u>intermediate or long</u> outcomes? How were they assessed? Did they bring about the desired transformation? (linked back to objectives in 2.1.1) -		
	5.2 How did the process affect the results?	5.2.1 How did the change management results contributed to the reform results or outcomes and in what way? What is the value-add of the structured process, where used?		




LESSONS FROM CHANGE MANAGEMENT PROCESS				
6. What lessons can be derived to guide future change management initiatives?	6.1 What are considered critical factors +/-	6.1.1 What do those involved, and those affected considered: (o) the key factors of success (p) factors that led to failure and the challenges and constraints to the change management process?	<ol style="list-style-type: none"> 1. Closely engaging key stakeholders, business owners, and inSight users throughout development process 2. Functionalities are co-created with users 3. Key stakeholders, business owners, and users are consulted and informed 4. Guidance, policy & procedure, as well as communication/user support are available; 5. Rapid user support engagement platforms – yammer group, webinars etc. 6. Continuous improvement /incremental changes directly informed by users. <p>The success of this initiative is a demonstration of best practice in how collaborative and agile ways of working can bring about change and introduce efficiency in UNICEF's operational and management practices.</p>	
	6.2 What positive features identified are transferable or scalable, which are not and why?	6.2.1 How unique are these to the context in which they were implemented?		
		6.2.2 What generalizable lessons can be identified?	<ul style="list-style-type: none"> • Develop a home-grown solution and institutionalize its use by ensuring that it supports critical organizational functions • Focus on the user, learning and continuously improvements • Create a user support base driven by the Users themselves • Secure highest level buy-in and support • Set up an all-inclusive governance structure 	
	6.3 What has the organization learnt from this process?	6.3.1 Would the organization run the process the same way again, or do things differently? If so, how?	Yes. As outlined in 6.2.1	

Change Management Functions in the Organization

If information on organizational level change management initiatives is found while reading through documents, please note details/findings below

Review Question	Review Sub-Question	Additional Description	Key Findings	Gaps and Questions
7. To what extent have change management functions been institutionalized?	7.1 Does the Participating Organization (PO) have a Change Management function – formalized or otherwise?	7.1.1 Is there a team – time-bound or fixed – working on CM across multiple initiatives (i.e. beyond a single time-bound change process)?	Specific for inSight, there is an inSight Working Group (IWG) which is a sub-set of the VISION Owner's Group and brings together the 13 business owner Divisions of the system.	
	7.2 What are its objectives?	7.2.1 How was it established? When? What is its purpose? How sustainable is it?	Details outlined in the IWG intranet site (and attached TORs).	
	7.3 How is it structured, staffed and funded?	7.3.1 How many staff, and at what grades? Who does it report to? How is it funded and to what levels?	This initiative involves multiple staff across functional areas.	

Document Key

Document	Document Title	Embed relevant document
A.	FRG Actions to Address Audit Agreed Actions under Item 18/2016 of the Consolidated List of FRG Audit Recommendations (as compiled by DFAM) THE LINKS IN THE DOCUMENT COULD NOT BE ACCESSED	 FRG Actions to Address Audit Agree
B.	TOR – inSight Working Group	 TOR-InSight Working Group (15
C.	insight Governance	 inSight Governance.pptx
D.	inSight video channel: https://unicef.sharepoint.com/portals/hub/_layouts/15/PointPublishing.aspx?app=video&p=c&chid=7029f67f-ef7d-48b7-9015-1011efdd5d45&s=0&t=pfb FRG meeting site with workshop materials:	

	<p>https://unicef.sharepoint.com/teams/FRG/Meetings/SitePages/Home.aspx</p> <p>CO training examples:</p> <p>ROSA – https://unicef.sharepoint.com/teams/FRG/Meetings/SitePages/inSight%20ROSA%20Workshop%20(May%202018).aspx</p> <p>ECAR – https://unicef.sharepoint.com/teams/CEECIS/SitePages/inSight%20ECAR%20Training.aspx(with short videos)</p> <p>THE LINKS HERE COULD NOT BE ACCESSED</p>	
E.	Interview notes	

19. UNODC – Local Umoja Implementation

Overall comments	<ul style="list-style-type: none"> The case summary was completed by UNODC. Additional information was added based on an interview and further documentation. The documents provide a good overview of the reform, it's purpose, components and roll-out. From the information provided and the interview, there does not appear to have been a comprehensive change management approach to this reform, however, there is some evidence of use of change management processes in efforts to the communication strategy and in the training provided (for knowledge on how to get the work done). The case is considered complete
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Review Question	Review Sub-Question	Sub-sub Question	Key Findings	Remarks
<i>(Adapted from overall Review Framework)</i>			<i>(After stating findings Indicate source by letter, corresponding to document list below)</i>	<i>(Include list of documents that may be applicable)</i>
REFORM/INITIATIVE OVERVIEW				
1. Details of the organizational reform/initiative (The 'What' question – what the initiative and reasoning behind it was?)	1.1 A brief summary of the reform/initiative.	1.1.1 What is its purpose? What are the objectives?	<p>Umoja is a catalyst for business transformation by improving financial and administrative operations, and program delivery with a potential to improve the efficiency and the overall effectiveness of the Organization.</p> <p>Umoja is a complete re-working of the way the United Nations Secretariat manages its administration, in both business processes and Information Technology solutions. A new central administrative system, Umoja replaces multiple and fragmented legacy systems such as IMIS, Mercury and Sun. (A)</p> <ul style="list-style-type: none"> Umoja will enhance accountability, transparency and internal controls for all types of resources. It will help improve decision making and planning capabilities by providing up-to-date and accurate reports and data. Umoja will enable managers to exert tighter financial planning and controls and ensure compliance with public sector standards such as IPSAS. <p>Objectives: Umoja will consolidate the management of all financial, human and physical resources (including for peacekeeping and field missions) under a single global integrated information management system.</p> <ul style="list-style-type: none"> improve our business processes, align them with commonly accepted best practices and thus 	

Review Question	Review Sub-Question	Sub-sub Question	Key Findings	Remarks
<i>(Adapted from overall Review Framework)</i>			<i>(After stating findings Indicate source by letter, corresponding to document list below)</i>	<i>(Include list of documents that may be applicable)</i>
			<ul style="list-style-type: none"> enable us to work together more effectively and efficiently on behalf of our constituents and beneficiaries. 	
		1.1.2 When did it start? When did it end?	Cluster 1 – 2013 Cluster 4 – 2015 (UNOV/UNODC) Umoja Extension 2 – ongoing (expected completion 2019) (C.2)	
		1.1.3 What are the key elements/sub-initiatives?	<ol style="list-style-type: none"> 1. An ERP system (Enterprise Resource Management) system to transfer and share information across different business functions. reduce redundant effort and eliminate conflicting information concerning vendors, clients, resources, employees, and other critical data used to make decisions and complete transactions 2. Streamlining and harmonizing its organizational, managerial and administrative arrangements as a prerequisite for the Umoja implementation to ensure that the ERP system is successful in assisting the implementation of change. 3. Working with Subject Matter Experts, the team completed a critical review of the current policies, procedures and associated arrangements, identifying key areas where changes are required. Key approaches for implementing international best practices have been identified so that work on high-level business process re-engineering could proceed expeditiously. 4. The examination resulted in agreement on a framework to guide the detailed ERP process design and configuration work to commence in 2012. An associated activity is to establish key baseline indicators in all business areas. <p>If the ERP implementation results in changes to my role when will Changes to roles, organizational reporting relationships, and other formal responsibilities will be determined during the Design and Build Phase which will be finalized far in advance of Umoja's implementation date. This will allow each person to be well-prepared and trained for any changes to their roles and responsibilities. (B.2) (D)</p>	
		1.1.4 When and by whom was it approved?	Member States – Implementation phase commenced from 2012 onwards	

Review Question	Review Sub-Question	Sub-sub Question	Key Findings	Remarks
(Adapted from overall Review Framework)			(After stating findings Indicate source by letter, corresponding to document list below)	(Include list of documents that may be applicable)
		1.1.5 Was the reform evaluated? What were the achievements, results, and/or outcomes?	The reform was evaluated but there was no evaluation on the change management aspects of the reform and it’s effectiveness (E)	
	1.2 What were the underlying factors or drivers behind this reform/initiative?	1.2.1 What were the drivers? The causes of the initiative, generally an overarching, longer-term shift affecting how the organization operates.	Umoja as a change initiative was approved as part of the wider management reform efforts for the organization around 10 years ago. ➤ The need to eliminate fragmentation and disconnects that characterised the use of different types of technology systems ➤ The need to move the UN away from administrative practices on which it was built in the 1940s, and equip it with 21st century techniques, tools, training and technology.	
		1.2.2 Was there a specific event that acted as a trigger to get it started?	See above	
PLAN OF CHANGE MANAGEMENT PROCESS				
2. Which change management approaches have been used in the <u>design</u> of the above reform or initiative? (The 'How' question on design – what did they set out to do?)	2.1 Describe the design or plan for change management in the initiative?	2.1.1 What were the specific objectives of change management within the design of the initiative?	Umoja implementation has been one of the major reform initiatives undertaken by UN Secretariat in recent times. Key object of this initiative has been to streamline all the main business process amongst UN Secretariat entities which are then supported by a common fully integrated Enterprise Resource Planning system. Specific change management activities of this reform initiative was: 1. to ensure all the impacted users are trained on the new application, are familiar with changes in business processes which may have been impacted and 2. to engage staff at all levels in ensuring smooth transition to new way of working. In addition, deployment of Umoja at UNOV/UNODC and other Vienna based entities which involved fully life cycle of an ERP implementation (i.e. design requirements, assessment of changes in business processes and its impact, data conversion, communication to stakeholders and to all levels of staff, training, user access provisioning, production support etc). These key components required co-ordination amongst business process owners, senior management, Umoja deployment team and core Umoja team in New York.	

Review Question	Review Sub-Question	Sub-sub Question	Key Findings	Remarks
<i>(Adapted from overall Review Framework)</i>			<i>(After stating findings Indicate source by letter, corresponding to document list below)</i>	<i>(Include list of documents that may be applicable)</i>
		2.1.2 Did the approach to change management draw from established practices (Kotter, McKinsey, PWC, UNLOCK etc) or not? If so, how?	<p>The change management strategy was formulated by central Umoja project team in New York. All the entities which were impacted by the deployment (as part of Cluster 4 go-live in November 2015) followed the guidance and suggested activities as per the defined timelines.</p> <p>Source of these change management practices are best known to Umoja New York core team.</p>	
		<p>2.1.3 Was a specific plan prepared outlining the change management process(es)?</p> <p>Who prepared this plan – done internally or by an outside company? If external, please state who?</p>	<p>Overall plan of activities and processes was prepared by Umoja Change management team with list of specific tasks which needs to be carried out by the deployment entities. At UNOV/UNODC; these activities were carried out by Umoja deployment focal point (i.e. Chief, business transformation and change management) for all the Vienna based entities.</p> <p>Communication Strategy</p> <ul style="list-style-type: none"> • Town hall meetings with Field Representatives 6 months prior to go-live date (as UNODC has more than 70 field locations) informing them of the change initiative. • Regular weekly/monthly meetings with Directors. • Operational level meetings with process owners and their representatives and also with focal points of various divisions. • Newsletters and special messages of the day informing impacted users and their management of key milestones and steps which needs to be carried out by transactional users. • Kiosks to provide information to staff. • Posters to create awareness. • Lunch time sessions to staff on changes to business procedures. • Guidance on how to seek assistance on technical issues and new procedures. <p>Training (from 3.5.1)</p> <p>(a) Learning and performance enhancement: Substantial amount of focus and effort was invested in ensuring training is provided to all the impacted users. UNOV/UNODC invested in having their staff attend “train the trainer” programmes which enabled them to further train employees.</p>	,

Review Question	Review Sub-Question	Sub-sub Question	Key Findings	Remarks
<i>(Adapted from overall Review Framework)</i>			<i>(After stating findings Indicate source by letter, corresponding to document list below)</i>	<i>(Include list of documents that may be applicable)</i>
			UNOV/UNODC now has Local Process Experts in various locations and they have been an integral part of production support model. In addition, for the main operational areas instruction lead training was held in Vienna during the deployment and is continuing. A training calendar is published on our intranet site for all the Umoja related training and is updated regularly	
	2.2 How did the triggers of the organizational reform or management initiative influence the change management approach?	2.2.1 What effect, if any, did the drivers or triggers of the reform have on the objectives and plan for change management?	No information available on this from documents provided	
IMPLEMENTATION OF CHANGE MANAGEMENT PROCESS				
3. How have the change management approaches been adopted/ adapted and implemented?	3.1 What was the scope – breadth and depth of the change process?	3.1.1 Was it system-wide, organization, department etc.	Secretariat-wide initiative with Regional hubs Local Scope for Change Management team based in Vienna included - all the Vienna based entities. UNOV/UNODC, UNRoD, UNICRI, UNSCREAR, UNCITRAL, OIOS, CMS, DSS, OOSA	
	3.2 How was the change management process led?	3.2.1 Who led the change management process? Who was the owner/sponsor of the change? What is their position in relation to management?	Secretariat-wide initiative Locally in Vienna, led by the Director, Department of Management Chief, Business Transformation and change management was responsible and fully engaged on this project at operational level with briefings to senior management of the initiative. Key activities and plan was shared by central Change Management team which needed to be carried out by the Chief for the Vienna based entities. Process owners were also involved to ensure the new (Umoja) processes and associated technical changes are communicated to the end users. They were also involved in ensuring their staff were trained on the new processes and became process experts and lead trainers.	

Review Question	Review Sub-Question	Sub-sub Question	Key Findings	Remarks
<i>(Adapted from overall Review Framework)</i>			<i>(After stating findings Indicate source by letter, corresponding to document list below)</i>	<i>(Include list of documents that may be applicable)</i>
			End users also had the responsibility to familiarize with new functions themselves (i.e. job aids and computer based learnings)	
		3.2.2 Were consultants involved in implementation?	Not at UNOV/UNODC.	
		3.2.3 What was the size of the team? Where was the CM team located?	Local Change management team (UNOV/UNODC) located in Vienna, led by Chief, Business transformation and change management and supported by Training co-ordinator. Ad-hoc support in some instances were provided by deployment team lead, other team members from relevant process areas.	
		3.2.4 Is there an institutionalized function for change management in the organization or was the function time-bound for this specific initiative?	There is specific change management function under the Division for Management.	
		3.2.5 What mechanisms were put in place to oversee the change management process? Did it include the head of organization, the governing body, just senior managers, or other? What role was played by each?	(The focus is on communication strategy) Heads of local entities were also engaged by the Chief, Business transformation and change management using townhall meetings, Bilateral discussions and senior level engagement to keep them updated on the progress and process.	
	3.3 How was the change management process structured?	3.3.1 Did the process have a definitive start and end?	Continuous process till the Umoja (Change process) reached stabilization phase.	
		3.3.2 How long did it last?	Started early 2015 with major focus from July 2015 – July 2016 till its stabilization in late 2016/ early 2017	
	3.4 How was it implemented?	3.4.1 Describe the implementation process (refer to the plan in 2.1.3)	Refer to 2.1.3	
		3.4.2 What communication mechanisms were used?		

Review Question	Review Sub-Question	Sub-sub Question	Key Findings	Remarks
<i>(Adapted from overall Review Framework)</i>			<i>(After stating findings Indicate source by letter, corresponding to document list below)</i>	<i>(Include list of documents that may be applicable)</i>
		3.4.3 How was the change initially framed and presented to staff?	Fully integrated Secretariat wide system - “Umoja - New way of Working”	
	3.5 How much reflexive learning took place during the process? Was it evaluated during or after?	3.5.1 What (a) learning and (b) adaptive management processes were put in place during or after the CM process?		
4. What have been the resource implications of change management?	4.1 How was the CM budgeted?	4.1.1 What was the source of financing- core resources/XB. Implications.	XB plus savings from vacant positions were utilised where appropriate	
	4.2 What were the major cost elements and actual costs (where available)?	4.2.1 What were the cost elements – financial, human (non-financial), etc?	No information available on this from documents provided	
RESULTS OF CHANGE MANAGEMENT PROCESS				
5. What are the results and critical success factors of the change process or approach?	5.1 What were the results of the change process? <i>(Is there evidence of sustainability of these changes? What is the degree to which organization is working differently and people are behaving differently? Degrees of result or proxies around these include cost reduction (staff</i>	5.1.1 What were the <u>short-term</u> outputs? How were they assessed?	<p>Umoja introduced:</p> <ul style="list-style-type: none"> • more disciplinary approach to ensure all the required entries/transactions are recorded in the system in a timely manner and also • introduced approach which is more transparent in tracking historical record of any particular transaction. <p>The challenges in achieving outputs: In short term, the end users perceived the initial system glitches and new processes as counter-productive process as the older custom-made systems provided them with more flexibility to enter and change transactions. Acceptance of new way of working in Umoja was relatively low as it was causing some delays in processing due to combination of reasons since everyone was getting familiar with new system and some of the issues from legacy data were carried over to new system which required data cleansing effort from the end users.</p>	

Review Question	Review Sub-Question	Sub-sub Question	Key Findings	Remarks
<i>(Adapted from overall Review Framework)</i>			<i>(After stating findings Indicate source by letter, corresponding to document list below)</i>	<i>(Include list of documents that may be applicable)</i>
	<i>and non-staff); service levels; reduced risks; behavioural changes; improved collaboration etc.)</i>	5.1.2 What were the <u>intermediate or long</u> outcomes? How were they assessed? Did they bring about the desired transformation? (linked back to objectives in 2.1.1)	<ul style="list-style-type: none"> ➤ <u>Acceptance level</u> of Umoja have been gradually improving since many of the technical glitches have been fixed and improvements in certain processes have been made. ➤ End users are also better trained and familiar with the processes and process owners have a fully integrated system which enables them to have <u>full visibility of processes</u>. ➤ <u>Reporting has also improved</u> at a functional and operational level. 	
	5.2 How did the process affect the results?	5.2.1 How did the change management results contributed to the reform results or outcomes and in what way? What is the value-add of the structured process, where used?	<p>Acceptance of Secretariat wide ERP system.</p> <p>Fully integrated system for planning, execute strategies:</p> <ul style="list-style-type: none"> ➤ provides administrative transparency and ➤ better reporting functionality for entities, donors and clients. 	
LESSONS FROM CHANGE MANAGEMENT PROCESS				
6. What lessons can be derived to guide future change management initiatives?	6.1 What are considered critical factors +/-	6.1.1 What do those involved, and those affected considered:(a) critical factors in success/ (b) failure of the change management process?	<p>(a) Critical success factors:</p> <ul style="list-style-type: none"> ➤ Senior management buy-in, ➤ comprehensive consultation process, ➤ communication and training <p>(b) Challenges, failures, weaknesses</p> <ul style="list-style-type: none"> ➤ More time to assess the impact of the roll-out required given the significant process changes of roll-out; ➤ Broader communication and training approach needed compared to extent of system changes 	
		Are these distinguishable from the reforms behind the change etc.		
	6.2 What positive features identified are transferable or scalable, which are not and why?	6.2.1 How unique are these to the context in which they were implemented?	See above	
		6.2.3 What generalizable lessons can be identified?	“The generalizable lesson learned has been that there is an absolute need to have an institutionalized change management function in an organization particularly in times like these when the organization is faced with multiple reform efforts in parallel. In line with the	

Review Question	Review Sub-Question	Sub-sub Question	Key Findings	Remarks
<i>(Adapted from overall Review Framework)</i>			<i>(After stating findings Indicate source by letter, corresponding to document list below)</i>	<i>(Include list of documents that may be applicable)</i>
			aforementioned or response to question 6.3.1 can be changed to “no” and that we would develop a formalized, structured and accompanying change process and plan. This is precisely our plan for the next roll-out phases of Umoja and its extension 2 (UE2) functionality.” (F)	
	6.3 What has the organization learnt from this process?	6.3.1 Would the organization run the process the same way again, or do things differently? If so, how?	Yes. Given the global impact of this change, there was an under-estimation of communication, understanding of changes to processes and ensuing training needs. Thus, those areas would be strengthened.	

Change Management Functions in the Organization

If information on organizational level change management initiatives is found while reading through documents, please note details/findings below

Review Question	Review Sub-Question	Additional Description	Key Findings	Gaps and Questions
7. To what extent have change management functions been institutionalized?	7.1 Does the Participating Organization (PO) have a Change Management function – formalized or otherwise?	7.1.1 Is there a team – time-bound or fixed – working on CM across multiple initiatives (i.e. beyond a single time-bound change process)?	Yes. Separate function for “Business Transformation and change management) in Division of Management. Ye “What started out as a pure Umoja implementation project team now is moving more into a change management function and to refocusing of the project team to incorporate change management aspects while in parallel ensuring implementation of UE2 and production support to foundation and release 1 functionality.” (F)	
	7.2 What are its objectives?	7.2.1 How was it established? When? What is its purpose? How sustainable is it?	Established as part of Umoja deployment in 2015 and now handling any new major change reform initiative which may impact UNOV/UNODC operations. “Sustainability very much depends on funding availability since UNODC/UNOC is majorly funded from XB resources with current funding in place until end 2019. Reporting of the team is directly to Director, Division for Management and the current team composition (change management and Umoja is 1P-5, 1 P-4, 4 P-3 and 1 GS (OL).” (F)	
	7.3 How is it structured, staffed and funded?	7.3.1 How many staff, and at what grades? Who does it report to? How is it funded and to what levels?	Chief – P-5, reports to Director, Division of Management Training Co-ordinator – G-6 and P-3 communications and change management officer (recruitment process underway). XB funded	

Document Key

Document	Document Title	Document Source
A.	https://www.unumoja.net/pages/viewpage.action?pageId=51545159	UNODC
B.	https://umoja.un.org/	UNODC
C.	https://umoja.un.org/content/deployment-timeline	UNODC
D.	https://www.unumoja.net/pages/viewpage.action?pageId=51545159	UNODC
E.	UNODC Interview Notes	JIU
F.	Email from CM focal point	UNODC

20. UNODC – Framework for Engaging External Partners (FEEP)

Overall comments	<ul style="list-style-type: none"> The case summary was completed by UNODC. The documents provide a good overview of the reform, its purpose, components and roll-out. From the information provided, the interview and subsequent discussions no evidence was found of the planned use of change management approaches or processes in the roll-out of FEEP (as per the JIU change management definition and guide document). It is noted however that a holistic approach to change is a major consideration of the organization in moving forward. The case is considered complete.
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Review Question	Review Sub-Question	Sub-sub Question	Key Findings	Remarks
<i>(Adapted from overall Review Framework)</i>			<i>(After stating findings Indicate source by letter, corresponding to document list below)</i>	<i>(Include list of documents that may be applicable)</i>
REFORM/INITIATIVE OVERVIEW				
1. Details of the organizational reform/initiative (The 'What' question – what the initiative and reasoning behind it was?)	1.1 A brief summary of the reform/initiative.	1.1.1 What is the purpose? What are the objectives?	<p>FEEPS aims to provide a risk based approach to external relationships for programme implementation.</p> <ul style="list-style-type: none"> ➤ It lays down key principles for the selection of external parties (fairness, integrity and transparency); effective competition; value for money; interest of the United Nations. ➤ It outlines the engagement modality choices between direct implementation (through procurement, hiring of consultants or grantees) and indirect implementation via implementing partners. <p>The Framework for Engaging External Partners (FEEP) is a major UNOV/UNODC accountability initiative first formulated in 2012 with full implementation from April 2014 onwards.</p> <p>The framework provides rules and regulations for using external parties for implementation of projects. It highlights distinct between direct execution/implementation from implementation by external parties. It is a control and quality assurance document.</p> <p>It covers engagements that have a financial component with external partners (such as UN Agencies, Inter-governmental Organizations, Governments and Government Agencies, and, Civil Society</p>	

Review Question	Review Sub-Question	Sub-sub Question	Key Findings	Remarks
<i>(Adapted from overall Review Framework)</i>			<i>(After stating findings Indicate source by letter, corresponding to document list below)</i>	<i>(Include list of documents that may be applicable)</i>
			<p>Organisations including NGOs and CBOs), it provides the guiding principles and options of different implementation modalities.</p> <p>Objective: The rationale for introducing the FEEP was to improve consistency and robustness of the projects undertaken in partnership with external partners.</p> <p>The FEEP clarified the differences and introduced the definitions of an implementing partner and a grantee. Together with the IP and Grants Manuals, the FEEP prescribes processes for selection, contracting and managing external partner engagements.</p> <p>From Audit Report:</p> <p>Main Objectives of FEEP:</p> <ul style="list-style-type: none"> ➤ To clarify engagement modality choices; ➤ To increase transparency in awards; ➤ To clarify responsibilities during contract management; ➤ To enhance accountability and ➤ To Strengthen controls on disbursement and closure of external party agreements 	
		1.1.2 When did it start? When did it end?	The FEEP was launched in April 2014 and established a framework for engaging with external partners. It is still in place.	
		1.1.3 What are the key elements/sub-initiatives?	The IP and Grants manuals set out the selection and solicitation processes of external partners as implementing partners or as grantees.	
		1.1.4 When and by whom was it approved?	The Executive Committee (Head of entity and her/his direct reports) of UNODC/UNOV approved the FEEP on 10 March 2014.	
		1.1.5 Was the reform evaluated? What were the achievements, results, and/or outcomes?	BOA report A/69/5/Add.9. The FEEP was also reviewed in Feb 2017. OIOS Report 2017/077 dated 9 August 2017. (A) The outcomes of the two reviews are in the attached documents. (B)	
	1.2 What were the underlying factors or drivers behind this reform/initiative?	1.2.1 What were the drivers? The causes of the initiative, generally an overarching, longer-term	<p>The main drivers were:</p> <ul style="list-style-type: none"> ➤ the need to manage the risks involved in engaging with non-commercial vendors who were not covered by the procurement rules; 	

Review Question	Review Sub-Question	Sub-sub Question	Key Findings	Remarks
(Adapted from overall Review Framework)			(After stating findings Indicate source by letter, corresponding to document list below)	(Include list of documents that may be applicable)
		shift affecting how the organization operates.	<ul style="list-style-type: none">➤ the need to have accurate information on the numbers of IPs and the funding spent through the external partners;➤ UNODC needed to have central statistical records on the number of grants or contracts; and there were no regulations, processes to guide the engagement of the external partners.	
		1.2.2 Was there a specific event that acted as a trigger to get it started?	As above.	
PLAN OF CHANGE MANAGEMENT PROCESS				
2. Which change management approaches have been used in the <u>design</u> of the above reform or initiative? (The 'How' question on design – what did they set out to do?)	2.1 Describe the design or plan for change management in the initiative?	2.1.1 What were the specific objectives of change management within the design of the initiative?	The main objectives were to enhance openness and transparency in the selection and solicitation of external partners; to improve the management of risks in engaging external partners, all as part of increasing accountability culture in the organisation.	
		2.1.2 Did the approach to change management draw from established practices (Kotter, McKinsey, PWC, UNLOCK etc) or not? If so, how?	The FEEP built on guidance from the office of the ASG, Office of Central Support Services, at UNHQ and on best practices drawn from other UN entities, especially UNDP and the HACT. OIOS was engaged in a consultancy capacity to provide input on risk and controls, and a general review of the FEEP while in development.	
		2.1.3 Was a specific plan prepared outlining the change management process(es)? Who prepared this plan – done internally or by an outside company? If external, please state who?	There was no specific plan outlining the change management process. However, training sessions were provided to staff as well as a briefing to the Field office reps to explain the framework and what was required of the staff. A new unit was created with the responsibility to manage the entire process of engaging with external partners. The initiative was led internally by staff from FRMS with the participation of staff from other divisions. As part of the discussions, various aspects of the framework were discussed. FRMS were the lead in the process of developing the framework.	

Review Question	Review Sub-Question	Sub-sub Question	Key Findings	Remarks
<i>(Adapted from overall Review Framework)</i>			<i>(After stating findings Indicate source by letter, corresponding to document list below)</i>	<i>(Include list of documents that may be applicable)</i>
	2.2 How did the triggers of the organizational reform or management initiative influence the change management approach?	2.2.1 What effect, if any, did the drivers or triggers of the reform have on the objectives and plan for change management?	No information available on this from documents provided	
IMPLEMENTATION OF CHANGE MANAGEMENT PROCESS				
3. How have the change management approaches been adopted/ adapted and implemented? (The 'How' question on implementation)	3.1 What was the scope – breadth and depth of the change process?	3.1.1 Was it system-wide, organization, department etc.	UNODC/UNOV wide change (C)	
	3.2 How was the change management process led?	3.2.1 Who led the change management process? Who was the owner/sponsor of the change? What is their position in relation to management?	Division for Management (Financial Resource Management Service) (d)	
		3.2.2 Were consultants involved in implementation?	No external consultants were involved.	
		3.2.3 What was the size of the team? Where was the CM team located?	The change management team was interdivisional with Division for management taking the lead. The team was at the headquarters in Vienna.	
		3.2.4 Is there an institutionalized function for change management in the organization or was the function time-bound for this specific initiative?	Yes – there is now a staff member in charge of all change management initiatives. The External Party Engagement Unit is the custodian of the FEEP.	
		3.2.5 What mechanisms were put in place to oversee the change management process?	As Above.	

Review Question	Review Sub-Question	Sub-sub Question	Key Findings	Remarks
<i>(Adapted from overall Review Framework)</i>			<i>(After stating findings Indicate source by letter, corresponding to document list below)</i>	<i>(Include list of documents that may be applicable)</i>
	3.3 How was the change management process structured?	3.3.1 Did the process have a definitive start and end?	The process was officially launched in April 2014. The Framework is considered dynamic and needs to be updated periodically with the ultimate goal of increasing speed of programme delivery while ensuring a structured process and good internal controls in parallel.	
		3.3.2 How long did it last?	n/a	
	3.4 How was it implemented?	3.4.1 Describe the implementation process (refer to the plan in 2.1.3)	Organisations wide communication was sent out, the documents were made available on the intranet and training was offered to programme staff.	
		3.4.2 What communication mechanisms were used?	Emails, message of the day.	
		3.4.3 How was the change initially framed and presented to staff?	No information available on this from documents provided	
	3.5 How much reflexive learning took place during the process? Was it evaluated during or after?	3.5.1 What learning and adaptive management processes were put in place during or after the CM process?	Tools and templates are available to staff on the intranet; the EPEU was established to provide the support and technical guidance to staff and to manage the selection and solicitation of external partners.	
4. What have been the resource implications of change management?	4.1 How was the CM budgeted?	4.1.1 What was the source of financing- core resources/XB. Implications.	XB	
	4.2 What were the major cost elements and actual costs (where available)?	4.2.1 What were the cost elements – financial, human (non-financial), etc?	The FEED itself has no cost implications. The costs were related to the staffing of a new unit.	
RESULTS OF CHANGE MANAGEMENT PROCESS				
5. What are the results and critical success factors of the change process or approach?	5.1 What were the results of the change process?	5.1.1 What were the <u>short-term</u> outputs? How were they assessed?	The short term outputs were the implementation of the FEED and the requirement for staff to use interim unit as well UNDP for the engagements of external partners – centralization of the processes.	
		5.1.2 What were the <u>intermediate or long</u> outcomes?	Long term – UNODC has a better and structured process to engage external partners, has a good understanding of numbers of external partners and the categorisation has helped to improve reporting, particularly through IPSAS.	

Review Question	Review Sub-Question	Sub-sub Question	Key Findings	Remarks
<i>(Adapted from overall Review Framework)</i>			<i>(After stating findings Indicate source by letter, corresponding to document list below)</i>	<i>(Include list of documents that may be applicable)</i>
	5.2 How did the process affect the results?	5.2.1 How did the change management results contributed to the reform results or outcomes and in what way?	There was no defined plan to assess the results and outcomes against the plan but the overall result is indicated in the previous response. The value add was that now UNODC has a better grasp of the information relating to Implementing partners and grantees. The introduction of Umoja has further helped to streamline the processes.	
LESSONS FROM CHANGE MANAGEMENT PROCESS				
6. What lessons can be derived to guide future change management initiatives?	6.1 What are considered critical factors +/-	6.1.1 What do those involved, and those affected considered critical factors in success/ failure of the change management process?	A well-defined process, extensive consultations and comprehensive communication throughout implementation were critical factors. Continuous engagement and buy-in from senior management is essential.	
		6.2.1 What features seem to be key to a successful CM process?	Communication; buy-in from senior management	
	6.2 What positive features identified are transferable or scalable, which are not and why?	6.2.2 How unique are these to the context in which they were implemented?	No information available on this from documents provided	
		6.2.3 What generalizable lessons can be identified?	No information available on this from documents provided	
	6.3 What has the organization learnt from this process?	6.3.1 Would the organization run the process the same way again, or do things differently? If so, how?	Probably do them differently in the sense of formulating a clearer plan and roadmap while also widening the consultation process to include more stakeholders.	

Document Key

Document	Document Title	Document Source
A.	UNODC Draft Report A695. 2013	UNODC Provided
B.	UNODC Audit Report 2017	UNODC Provided
C.	FEEP Presentation Report 2014	UNODC Provided
D.	UNODC Message of the Day 2015	UNODC Provided

21. UNOPS – HR Transformation

Overall comments	<ul style="list-style-type: none"> The case summary was completed by UNOPS. Additional information was added based on interviews and further documentation. The information provides a good overview of the reform and the change management objectives and approaches. Selected change management processes are evident from the documents that are used to target a change in the culture of the organization. The case is considered complete, but may follow-up on behavioural aspects of the reform in January/ February 2019 with respect to the chapter of our study on behavioural factory/insights.
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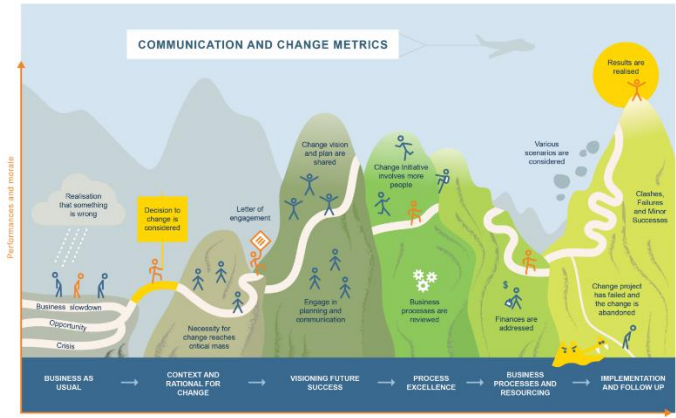
Review Question	Review Sub-Question	Sub-sub Question	Key Findings	Remarks
<i>(Adapted from overall Review Framework)</i>			<i>(After stating findings Indicate source by letter, corresponding to document list below)</i>	<i>(Include list of documents that may be applicable)</i>
REFORM/INITIATIVE OVERVIEW				
1. Details of the organizational reform/initiative (The 'What' question – what the initiative and reasoning behind it was?)	1.1 A brief summary of the reform/initiative.	1.1.1 What is its purpose? What are the objectives?	<p>HR Transformation is a strategic, long term reform programme which seeks to transform the HR practice in UNOPS in support of the delivery of business results, effectively becoming a strategic business partner. The programme is delivered through the lenses of People and Change.</p> <p>As such, the design and increase of Change Management capacity is both a result of HR transformation and an enabler to the delivery of the HR transformation programme.</p> <p>The purpose is to achieve Goal C: People excellence as articulated in the UNOPS Strategic Plan 2014-2017: HR will support delivery practices and advisory services “UNOPS aims to be an employer of choice for the best talent” Promote core UN values & strengthen gender policy and practices</p> <p>The objectives would be to:</p> <ol style="list-style-type: none"> Support UNOPS in empowering high-performing people: <ul style="list-style-type: none"> Leadership and competence Identifying and managing talent Promoting gender equality and national capacity building – responding to UN-SWAP Support UNOPS in: <ul style="list-style-type: none"> Managing process performance Enabling organisational capability 	<p>PCG (PCPG) Retreat slides, 2015</p> <p>UNOPS Strategic Plan 2014-2017</p> <p>UNOPS Budget Estimates 2014</p> <p>EFQM report 2013</p>

Review Question	Review Sub-Question	Sub-sub Question	Key Findings	Remarks
<i>(Adapted from overall Review Framework)</i>			<i>(After stating findings Indicate source by letter, corresponding to document list below)</i>	<i>(Include list of documents that may be applicable)</i>
			(PCG (PCPG) Retreat slides, 2015; UNOPS Strategic Plan 2014-2017; UNOPS Budget Estimates 2014; EFQM report 2013)	
		1.1.2 When did it start? When did it end?	2013-2016 The HR Transformation activities were triggered at the end of 2013 and conducted from 2014, with the main activities concluded in 2016. However, the aspirations of the programme remain embedded in the organisation and thus certain activities continue until today (UNOPS Strategic Plan 2014-2017; UNOPS Strategic Plan 2018-2021)	
		1.1.3 What are the key elements/sub-initiatives?	HR Transformation has been designed and delivered both through its initiatives and the organisational structure of PCG. The following initiatives form an integral part from a project perspective: <ul style="list-style-type: none"> - E-recruitment system GPRS - flexible and recognised ICA contract modality, - ICA pay system, - extensive management and emerging leadership training and learning (the learning zone), - Talent Benches, - performance management, - recognition and rewards system, - Change management capacity development - Organizational excellence (EFQM), ISO standards implementation Ongoing change initiatives with key stakeholders (externally), in the team (organisational structure, planning, messaging and positioning) and in the wider organisation comprise the change management aspects of the HR transformation (PCPG Retreat 2015, HR Network meeting, Feb 2016)	PCPG Retreat 2015 HR Network meeting, Feb 2016

Review Question	Review Sub-Question	Sub-sub Question	Key Findings	Remarks
<i>(Adapted from overall Review Framework)</i>			<i>(After stating findings Indicate source by letter, corresponding to document list below)</i>	<i>(Include list of documents that may be applicable)</i>
		1.1.4 When and by whom was it approved?	The initiative was launched as part of the UNOPS Strategic Plan 2014-2017, as approved by the Executive Director of UNOPS (UNOPS Strategic Plan 2014-2017)	
		1.1.5 Was the reform evaluated? What were the achievements, results, and/or outcomes?	<p>The elements of the reform have been subject to overarching reviews as well as evaluations of specific initiatives. The following evaluations are illustrative of the results gathered:</p> <ol style="list-style-type: none"> 1. Empowering effective leadership and high performing talent: KPIS and targets have been set on an annual basis. 2. Business Transformation through supportive change management, pursuit of organisational excellence and a culture of innovation: KPIS and targets have been set on an annual basis. 3. Driving HR Reform and Innovation in UNOPS: KPIS and targets have been set on an annual basis <p>EFQM: recognised UNOPS for Excellence in 2017 with a 5-star award.</p> <p><i>“The key asset of UNOPS are dedicated and highly qualified people, that carry UNOPS-mission forward [...]. This was not only confirmed by the interviews during the assessment but is even stronger reflected in the results of the engagement survey showing UNOPS as being amongst global best in class organisations on identification and engagement of their people.”</i></p> <p><i>“Key improvements in the enabler area of People, Process, Products and Services” for the period 2013-2017</i></p> <p>EFQM scoring on the People dimension of Enablers rose from 4 star to 5 star between 2013 and 2017.</p> <p>EFQM scoring on People results rose from 3 star to 4 star between 2013 and 2017</p>	

Review Question	Review Sub-Question	Sub-sub Question	Key Findings	Remarks
<i>(Adapted from overall Review Framework)</i>			<i>(After stating findings Indicate source by letter, corresponding to document list below)</i>	<i>(Include list of documents that may be applicable)</i>
			<p>Strengths identified in the EFQM 2017 report</p> <ol style="list-style-type: none"> 1. UNOPS has refined its HR Strategy in line with UNOPS strategy and UN system wide action plan including the identification of external and internal factors supported by relevant policy frameworks. 2. UNOPS HR Operations has implemented a new HR Delivery Model, which maximises peoples' contributions and optimises resource effectiveness. The model addresses the partner needs in respect to increasing local context knowledge through the IPAS HR. <p>(SAGE May 2017 presentation)</p>	
	<p>1.2 What were the underlying factors or drivers behind this reform/initiative?</p> <p>Where distinct or additional to broader drivers of change, what specific events or triggers signalled the start? Each of these will affect the approach, speed, scope, resources and adoption of change management. They can be both expected or unexpected.</p>	<p>1.2.1 What were the drivers? The causes of the initiative, generally an overarching, longer-term shift affecting how the organization operates.</p>	<p>The main drivers were:</p> <ol style="list-style-type: none"> (a) HQ Options Review called for an even more structured and managed approach to organisational development and change management (b) The full implementation of the strategic plan 2014-2018 together with the requirements of the ERP created a massive demand for deepening business excellence throughout the entire organisation (c) The HQ options review demanded that HR take a bigger seat at the table, requiring moving it beyond the HR basics and becoming a strategic business partner (d) Operationalising the strategic plan required to build on a solid basis but raising the bar on recruitment, developing the contract modalities and performance management. (e) There was an urgent call to reach out to the entire HR practice, enabling and supporting both leaders and practice <p>The EFQM report highlighted improvements that could be made to increase the overall quality of HR services in support of UNOPS objectives</p> <p>(UNOPS Strategic plan 2014-2018, HQ Options Review, EFQM report 2013)</p>	
		<p>1.2.2 Was there a specific event that acted as a trigger to get it started?</p>	<p>There was no specific trigger, however, the EFQM report of 2013, the Options report of 2013 and the new Strategic Plan 2014-2018 provided the occasion for the HR Transformation reform programme</p>	

Review Question	Review Sub-Question	Sub-sub Question	Key Findings	Remarks
<i>(Adapted from overall Review Framework)</i>			<i>(After stating findings Indicate source by letter, corresponding to document list below)</i>	<i>(Include list of documents that may be applicable)</i>
		It may be internal or external. These might include funding depletion, reputational (fraud, mismanagement) or other.	(UNOPS Strategic Plan 2014-2018, EFQM report 2013, HQ Options report, 2013)	
PLAN OF CHANGE MANAGEMENT PROCESS				
<p>2. Which change management approaches have been used in the <u>design</u> of the above reform or initiative?</p> <p>(The 'How' question on design – what did they set out to do?)</p>	2.1 Describe the design or plan for change management in the initiative?	2.1.1 What were the specific objectives of change management within the design of the initiative?	<p>Key objectives included.</p> <ul style="list-style-type: none"> - self-perception of HR professionals (focus on Business partnering vs transactions) - Organisational understanding of division of labour (PCG for policy, IPAS for advice, GSSC for transaction processing) - Empowerment of organisation-wide HR practitioners' population <p>(Work stream approach described in PCPG retreat, 2015)</p>	
		2.1.2 Did the approach to change management draw from established practices (Kotter, McKinsey, PWC, UNLOCK etc) or not? If so, how?	<p>UNOPS has adopted and institutionalised an approach to Change Management based on best practices in Change Management. PCG is the custodian of this approach.</p> <p>While the UNOPS Approach to Change Management provides an overarching framework, the support to HR transformation initiatives applied various elements of the approach tailored to the specific requirement of each initiative (UNOPS approach to Change Management)</p>	
		<p>2.1.3 Was a specific plan prepared outlining the change management process(es)?</p> <p>Who prepared this plan – done internally or by an outside company? If external, please state who?</p>	<ul style="list-style-type: none"> - Work with teams to help build on good practices - Collectively identify areas where change could lead to even better results - Share our experience of how to do change - Invite experts in specialised domains as needed - Support in taking the ownership for successful delivery of improvements <p>UNOPS approach to Change Management</p> <ol style="list-style-type: none"> 1. Context and Rationale for Change 2. Visioning Future Success 	

Review Question	Review Sub-Question	Sub-sub Question	Key Findings	Remarks
<i>(Adapted from overall Review Framework)</i>			<i>(After stating findings Indicate source by letter, corresponding to document list below)</i>	<i>(Include list of documents that may be applicable)</i>
			<p>3. Process Excellence 4. Business Modelling and Resourcing 5. Implementation Follow-up 6. Communications and Change Metrics</p> <p>Communication and Change Metrics</p> 	
	2.2 How did the triggers of the organizational reform or management initiative influence the change management approach?	2.2.1 What effect, if any, did the drivers or triggers of the reform have on the objectives and plan for change management?	UNOPS has a strong history of Change Management. Over the years, Change management activities and resources have been increased.	
IMPLEMENTATION OF CHANGE MANAGEMENT PROCESS				
3. How have the change management approaches been adopted/ adapted and implemented?	3.1 What was the scope – breadth and depth of the change process?	3.1.1 Was it system-wide, organization, department etc.	Only to do with the HR but it has impacted the entire UNOPS organisation.	
	3.2 How was the change management process led?	3.2.1 Who led the change management process? Who was the owner/sponsor of the change? What is their	The change management process was led by the PCG Director and supported by the Head of Change Management and supporting personnel.	

Review Question	Review Sub-Question	Sub-sub Question	Key Findings	Remarks
<i>(Adapted from overall Review Framework)</i>			<i>(After stating findings Indicate source by letter, corresponding to document list below)</i>	<i>(Include list of documents that may be applicable)</i>
(The 'How' question on implementation)		position in relation to management?		
		3.2.2 Were consultants involved in implementation? If so, in what role?	As described, the Change Management Capability within UNOPS is an integral part of PCG. Support to HR transformation initiatives is therefore provided from within.	
		3.2.3 What was the size of the team? Where was the CM team located?	The macro-level work stream as well as the micro level change management approaches therefore work symbiotically. For this specific occasion, a change facilitation team was formed, which comprised members from the Change Management Team and other colleagues (spent 10 % of the time as per the TOR)	
		3.2.4 Is there an institutionalized function for change management in the organization or was the function time-bound for this specific initiative? <u>If yes, please include information in question 7 as well.</u>	Yes	
		3.2.5 What mechanisms were put in place to oversee the change management process? Did it include the head of organization, the governing body, just senior managers, or other? What role was played by each?	The UNOPS Executive Board has been informed through the UNOPS Strategic Plan regarding the ambitions to transform the HR function.	
	3.3 How was the change management process structured?	3.3.1 Did the process have a definitive start and end?	Yes	
		3.3.2 How long did it last?	About two years, plus ongoing efforts to sustain the change and achieve continuous improvements.	

Review Question	Review Sub-Question	Sub-sub Question	Key Findings	Remarks
(Adapted from overall Review Framework)			(After stating findings Indicate source by letter, corresponding to document list below)	(Include list of documents that may be applicable)
	3.4 How was it implemented?	3.4.1 Describe the implementation process (refer to the plan in 2.1.3)	<ul style="list-style-type: none">Standard organisational design practices, i.e. budget structure, team structure, job descriptions etc.Teambuilding activities i.e. retreats, team meetings and other team activitiesCoaching with individual members of personnelCommunications campaigns vis a vis the rest of the organisationPositioning vis a vis senior managementOrganisation-wide capacity building measures for HR practitioners	
		3.4.2 What communication mechanisms were used?		
		3.4.3 How was the change initially framed and presented to staff?		
	3.5 How much reflexive learning took place during the process? Was it evaluated during or after?	3.5.1 What learning and adaptive management processes were put in place during or after the CM process? (please specify when put in place in relation to the process)	1. Immediate feedback and management debriefs but no documentation available on these 2. People survey (PWC)	
	RESOURCE IMPLICATIONS OF CHANGE MANAGEMENT PROCESS			
4. What have been the resource implications of change management?	4.1 How was the CM budgeted?	4.1.1 What was the source of financing- core resources/XB. Implications.	Submission of organisation-wide discussion of ambition and resourcing of the initiative through the organisational business planning and budgeting process	
	4.2 What were the major cost elements and actual costs (where available)?	4.2.1 What were the cost elements – financial, human (non-financial), etc? (Actual cost breakdown if possible to estimate)		

Review Question	Review Sub-Question	Sub-sub Question	Key Findings	Remarks
<i>(Adapted from overall Review Framework)</i>			<i>(After stating findings Indicate source by letter, corresponding to document list below)</i>	<i>(Include list of documents that may be applicable)</i>
RESULTS OF CHANGE MANAGEMENT PROCESS				
5. What are the results and critical success factors of the change process or approach?	5.1 What were the results of the change process? <i>(Is there evidence of sustainability of these changes? What is the degree to which organization is working differently and people are behaving differently? Degrees of result or proxies around these include cost reduction (staff and non-staff); service levels; reduced risks; behavioural changes; improved collaboration etc.)</i>	5.1.1 What were the <u>short-term</u> outputs? How were they assessed? Examples of outputs (effective implementation of CM processes) <ul style="list-style-type: none"> - Implementation of standards and practices - Staff being able to apply new work practices - Reduced time spent on processes (efficiency measure) 	Strengths <ol style="list-style-type: none"> 1. There are numerous new approaches and frameworks to attract, retain and return people to support UNOPS growing business and environment, e.g. <ol style="list-style-type: none"> a. talent benches helping to fill future business critical positions with speed b. emerging leaders programme supported by various workshops to reinforce a culture of feedback and accountability to mature further as a learning organisation c. behavioural competency frame to enhance performance management system by taking a close loop mind set, taking internal and external partner surveys into account d. rotating people from the regions to headquarter and vice versa to increase the mutual understanding and the cooperation between the different parts of the organisation e. people survey deployed throughout all regions resulting in clear action plans 2. UNOPS has acknowledged the need of clear, frequent, transparent and consistent communication. This is and will be supported by regular Town Hall Meetings, Quarterly Review Meetings, GMM Meetings and further channels. 	
		5.1.2 What were the <u>intermediate or long</u> outcomes? How were they assessed? Did they bring about the desired transformation? (linked back to objectives in 2.1.1)	Improvement of scores on People and People Results on the EFQM survey	

Review Question	Review Sub-Question	Sub-sub Question	Key Findings	Remarks
<i>(Adapted from overall Review Framework)</i>			<i>(After stating findings Indicate source by letter, corresponding to document list below)</i>	<i>(Include list of documents that may be applicable)</i>
	5.2 How did the process affect the results?	5.2.1 How did the change management results contributed to the reform results or outcomes and in what way? What is the value-add of the structured process, where used?		
LESSONS FROM CHANGE MANAGEMENT PROCESS				
6. What lessons can be derived to guide future change management initiatives?	6.1 What are considered critical factors +/-	6.1.1 What do those involved, and those affected considered: <ul style="list-style-type: none"> (q) the key factors of success (r) factors that led to failure and the challenges and constraints to the change management process? 	<p>UNOPS has found that HR Transformation is of huge benefit and value to the organisation as it clarifies roles and responsibilities within the organisation, enables Business Partnering and lifts the profile, impact and value proposition of the HR function. We believe that the success of this initiative was feasibly attained through the selected Change Management process; the UNOPS approach to Change Management.</p> <p>Opportunities for Improvement (EFQM 2017)</p> <ol style="list-style-type: none"> Despite already achieved positive effects, many people related changes are still at an early stage and therefore not fully integrated/comprehensive throughout the organisation. UNOPS may benefit from embedding these initiatives stronger into HR Strategy & Processes, while ensuring they are sustained, monitored and communicated with consistent actions. Cross Functional collaboration and communication could be further reviewed and strengthened. UNOPS might benefit from aligning interdepartmental themes or its terminology in a more precise and consistent way in various languages. 	
	6.2 What positive features identified are transferable or scalable, which are not and why?	6.2.1 How unique are these to the context in which they were implemented?	We believe that the lessons learned are very much applicable to the rest of the UN and should be highly transferable.	
		6.2.2 What generalizable lessons can be identified?	The UNOPS Approach for Managing Change follows industry practices on Change Management and we assume that other UN entities are following a similar approach. While the overarching framework remains	

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<i>(Adapted from overall Review Framework)</i>			<i>(After stating findings Indicate source by letter, corresponding to document list below)</i>	<i>(Include list of documents that may be applicable)</i>
			static, individual modifications and improvements may be made when required.	
	6.3 What has the organization learnt from this process?	6.3.1 Would the organization run the process the same way again, or do things differently? If so, how?		

Change Management Functions in the Organization

If information on organizational level change management initiatives is found while reading through documents, please note details/findings below

Review Question	Review Sub-Question	Additional Description	Key Findings
7. To what extent have change management functions been institutionalized?	7.1 Does the Participating Organization (PO) have a Change Management function – formalized or otherwise?	7.1.1 Is there a team – time-bound or fixed – working on CM across multiple initiatives (i.e. beyond a single time-bound change process)?	<p>People and change group (PCG) – fixed Change Facilitation team – time bound</p> <p>Leadership: PCG’s Director is a member of the Senior Management Group and reports to UNOPS Deputy Executive Director. The Director is supported by a Manager for “People functions” and a Manager for “Change functions”. It is funded from UNOPS management budget.</p>
	7.2 What are its objectives?	7.2.1 How was it established? When? What is its purpose? How sustainable is it?	<p>The Change Management structure, supports the design and delivery of many of the initiatives through PCG’s work stream approach. Within the majority of PCG projects, Change Management personnel and resources are fully integrated.</p> <p>Internal capacity in Change Management has been developed progressively since 2013 and a network of change managers has been developed throughout UNOPS. While Change Management covers areas beyond HR, in this instance, Change Management has been developed as a response to the requirement to transform the HR offering. Change Management skills and techniques have been systematically trained to UNOPS HR business partners. The implications of home grown capacity is the corporate memory, the ability to react quickly and effectively</p> <p>It evolved through the reconfiguration of the existing HR function in 2013 to encompass HR and organizational development:</p> <p>The following is listed as the purpose of the team:</p> <ol style="list-style-type: none"> 1. Leads UNOPS organizational design and policy making around organisational development and structures 2. Provide professional advisory services to UNOPS entities in identifying, planning and implementing changes through the facilitation of workshops and development of management tools tailored to clients’ needs; 3. Keeps track of ongoing and upcoming change initiatives while supporting senior management in coordinating strategic changes; 4. Guides the organisation in its journey to excellence, maintaining corporate quality certifications and managing risks; 5. Supports initiatives that drive institutional improvements and foster personnel engagement, such as UNOPS People Survey, Merit Awards and Merit Rewards; 6. Provides data analytics to several UNOPS entities, especially in regards to people data and corporate efficiencies;

- 7. and it **positions UNOPS as an active contributor to the change management and excellence communities** (private sector and academia) and to the UN-wide system by collaborating with change networks such as UNLOCK and thought leaders such as the EFQM.

7.3 How is it structured, staffed and funded?

7.3.1 How many staff, and at what grades? Who does it report to? How is it funded and to what levels?

UNOPS Change Management Team activities are distributed into 4 main functional areas: Organizational Design, Change Portfolio Management, Change Consulting and Excellence & Management Systems.

Structure: PCG functions was divided into streams including: **Talent Management, Outreach, Learning, HR policies** (under the People umbrella), **Change Management, Excellence & Quality Management** (under the Change umbrella).

Each of the streams has a Lead and a team of professionals assigned to it - some colleagues work on more than one stream, but are always primarily assigned to one of them.

22. UNOPS – Reform of Process and Project Quality

Overall comments	<ul style="list-style-type: none"> The case summary was completed by UNOPS. Further notes were added to the case summary from the interview and additional documentation. The information provides a good overview of the reform and clear change management objectives are outlined. There is also substantial information on the change management plan and its implementation. Case is considered complete.
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Review Question	Review Sub-Question	Sub-sub Question	Key Findings	Remarks
<i>(Adapted from overall Review Framework)</i>			<i>(After stating findings Indicate source by letter, corresponding to document list below)</i>	<i>(Include list of documents that may be applicable)</i>
REFORM/INITIATIVE OVERVIEW				
1. Details of the organizational reform/initiative (The 'What' question – what the initiative and reasoning behind it was?)	1.1 A brief summary of the reform/initiative.	1.1.1 What is its purpose? What are the objectives?	<p>The UNOPS Reform of Process & Project Quality is an organisation-wide initiative which sought to investigate and adopt external standards and benchmarks as recognised best practices in UNOPS critical functional areas.</p> <p><u>Purpose</u> To meet expectations of internal and external stakeholders and set it on a path towards organisational excellence.</p> <p>“By adopting externally recognised standards and practices, UNOPS has communicated a high level of ambition in its process and project quality, which meets and exceeded expectations from all of its stakeholders, both internal and external, and sets it on a path towards organisational excellence.”</p> <p><u>Objectives</u> 1. Standardisation across business processes by adopting externally recognised standards</p> <p>The compelling rationale for standardisation in, for example, project management was based on the diverse range of more than 1000 projects and programmes contained within the UNOPS portfolio in 2015-2016. In 2015-2016, UNOPS activities totalled \$2.8 billion of delivery across 121 countries. In 2017 alone UNOPS delivery stood at \$1.8 billion. In 2018, the number of projects is at 2179.</p>	

Review Question	Review Sub-Question	Sub-sub Question	Key Findings	Remarks
<i>(Adapted from overall Review Framework)</i>			<i>(After stating findings Indicate source by letter, corresponding to document list below)</i>	<i>(Include list of documents that may be applicable)</i>
			<p>2. Recognising similarities between the operations of UNOPS and other entities that have recognised the value of benchmarking</p> <p>The purpose of adapting external standards is to recognise the similarities between the operations of UNOPS and those of other entities that have also recognised the value of benchmarking. As such, the standards are flexible enough to remain relevant for UNOPS to adopt without significant adaptation.</p> <p>(EFQM report 2013, EFQM report 2017, IPMG Standards Management Framework, Programme Management Guidance, PQMS overview, Procurement Manual)</p>	
		1.1.2 When did it start? When did it end?	<p>2009-18</p> <p>Communities of practice were formed in 2009, with the bulk of the reform initiated from 2010 onwards, with the first European Foundation for Quality Management (EFQM) report being issued in 2013. While continuous improvement and organisational excellence demand an ongoing process of benchmarking, this Reform covers initiatives and standards implemented up to 2018.</p> <p>(Operational Instruction Ref. OLIPMG.2018.01, Project Management)</p>	
		1.1.3 What are the key elements/sub-initiatives?	<p>The key elements include standards set in the following areas:</p> <ol style="list-style-type: none"> 1. Project Management 2. Procurement 3. Quality Management 4. Environmental Management Systems 5. Transparency 6. Audit 7. Organisational Excellence <p>Within these initiatives, focus has been both on achieving the external benchmark standard as well as excelling to the point of being recognised certification trainers and or consultants.</p>	

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<i>(Adapted from overall Review Framework)</i>			<i>(After stating findings Indicate source by letter, corresponding to document list below)</i>	<i>(Include list of documents that may be applicable)</i>
			(EFQM report 2013, EFQM report 2017, IPMG Standards Management Framework, Programme Management Guidance, PMM manual, PQMS overview, Procurement Manual)	
		1.1.4 When and by whom was it approved?	The UNOPS Executive Director directed and drove the process throughout.	
		1.1.5 Was the reform evaluated? What were the achievements, results, and/or outcomes?	<ol style="list-style-type: none"> 1. The implementation of the initiatives in themselves demanded external review and benchmarking from the organisations holding the standards. Outcomes resulted in certification and accreditation as service providers, as well as awards, such as the recognition of 5-star organisational excellence as attributed by the European Foundation for Quality Management in 2017. 2. <u>EFQM report 2017</u> - UNOPS has a strong approach and a standardised application of project management, the methodology used is a recognised good practice. Tools and techniques are used effectively with organisation -wide implementation. 	
	<p>1.2 What were the underlying factors or drivers behind this reform/initiative?</p> <p>Where distinct or additional to broader drivers of change, what specific events or triggers signalled the start? Each of these will affect the approach, speed, scope, resources and adoption of change management. They can be both</p>	1.2.1 What were the drivers? The causes of the initiative, generally an overarching, longer-term shift affecting how the organization operates.	The application of external standards and practices across UNOPS was part of its turnaround strategy , and is arguably one of the most significant tactics that UNOPS used to drive improvements in the organization. This period during which this reform was implemented saw significant financial growth and increase in UNOPS portfolio , as it became recognised for excellence, particularly in the areas covered by this reform.	
		1.2.2 Was there a specific event that acted as a trigger to get it started? It may be internal or external. These might include funding depletion, reputational (fraud, mismanagement) or other.	The overarching objective to develop and grow within a framework of best practice, resulting in an ability to successfully meet expectations of UNOPS stakeholders, triggered the reform initiatives.	

Review Question	Review Sub-Question	Sub-sub Question	Key Findings	Remarks
(Adapted from overall Review Framework)			(After stating findings Indicate source by letter, corresponding to document list below)	(Include list of documents that may be applicable)
	expected or unexpected.			
PLAN OF CHANGE MANAGEMENT PROCESS				
2. Which change management approaches have been used in the <u>design</u> of the above reform or initiative? (The 'How' question on design – what did they set out to do?)	2.1 Describe the design or plan for change management in the initiative?	2.1.1 What were the specific objectives of change management within the design of the initiative? -	Objectives of the change impact assessment – <ul style="list-style-type: none">To capture and structure change initiative’s consequences, but also to identify possible mitigation steps needed for a successful implementationObtain a realistic understanding of how the introduction of oneUNOPS Projects will impact UNOPS as an organisation and key stakeholder groups in specificCapture the consequences of this change and what may need to be done/ modified to mitigate (potential) issuesIdentify who is responsible to carry on the tasks needed and include those tasks in the Project PlanTo capture possible impacts of change initiative on an organisation, departments, stakeholder groups, people etc.To identify a possible course of actions/activities, aimed at addressing the change impacts.To engage people and develop sense of change ownership.	The documentation on the change impact assessment is from 2018. But the reform started in 2009
		2.1.2 Did the approach to change management draw from established practices (Kotter, McKinsey, PWC, UNLOCK etc) or not? If so, how?	The individual standards require their own approaches according to their prescribed and established practices. However, the EFQM framework provided for an overarching set of principles, to assure a holistic approach across the reform initiatives. Specific initiatives, including the implementation of the framework for Project Management, has applied a Change Impact Assessment based on McKinsey’s 7 S framework (EFQM report 2017, OneUNOPS Projects CIA leading presentation)	
		2.1.3 Was a specific plan prepared outlining the change management process(es)? Who prepared this plan – done internally or by an	1. <u>Change Impact Assessment based on McKinsey’s 7S framework</u> High-level CIA is conducted at the beginning of a change implementation , but when the change solution is already reasonably well defined.	

Review Question	Review Sub-Question	Sub-sub Question	Key Findings	Remarks
<i>(Adapted from overall Review Framework)</i>			<i>(After stating findings Indicate source by letter, corresponding to document list below)</i>	<i>(Include list of documents that may be applicable)</i>
		<p>outside company? If external, please state who?</p> <p>Examples of elements of plan:</p> <ul style="list-style-type: none"> - change readiness assessment - definition of type and scope of change - Approach to engaging with staff and stakeholders - Institutional framework (governance, management, change management team, etc) - Defined role of leadership - Process plan (training, engagement etc) - Reflexive learning plan (monitoring and internal evaluation) 	<p>CIA plan-</p> <ol style="list-style-type: none"> 1. Identify information owners- Identify all information, owners and stakeholders who will help to identify change impacts 2. Capture key changes - Capture and describe the key changes a change implementation is bringing 3. Identify change impacts - Capture and describe impacts that a change implementation is bringing 4. Identify impacted stakeholder groups - Against each change impact, identify impacted categories (organisation, departments, stakeholder groups, people) 5. Assess Change Impacts - Assess impacts in terms severity for each impacted group using defined categories. 6. Capture Actions Required - Describe at a high level the key activities that may be required to ensure the change can be delivered <p>2. <u>UNOPS approach to Change Management</u></p> <ul style="list-style-type: none"> - Work with teams to help build on good practices - Collectively identify areas where change could lead to even better results - Share our experience of how to do change - Invite experts in specialised domains as needed - Support you in taking the ownership for successful delivery of improvements <ol style="list-style-type: none"> 7. Context and Rationale for Change 8. Visioning Future Success 9. Process Excellence 10. Business Modelling and Resourcing 11. Implementation Follow-up 12. Communications and Change Metrics <p>3. <u>Communication and Change Metrics</u></p> <p>4. <u>Project Management Manual</u></p> <p>Taking the implementation of the Project Management Manual / PM Tool as an example, the fact that this represented the full implementation of a</p>	

Review Question	Review Sub-Question	Sub-sub Question	Key Findings	Remarks
<i>(Adapted from overall Review Framework)</i>			<i>(After stating findings Indicate source by letter, corresponding to document list below)</i>	<i>(Include list of documents that may be applicable)</i>
			standard approach to project management resulted in a very detailed change management approach. (Change impact assessment for OneUNOPS Projects)	
	2.2 How did the triggers of the organizational reform or management initiative influence the change management approach?	2.2.1 What effect, if any, did the drivers or triggers of the reform have on the objectives and plan for change management?		
IMPLEMENTATION OF CHANGE MANAGEMENT PROCESS				
3. How have the change management approaches been adopted/ adapted and implemented? (The 'How' question on implementation)	3.1 What was the scope – breadth and depth of the change process?	3.1.1 Was it system-wide, organization, department etc.	Departmental but EFQM was organization wide. (EFQM report 2017)	
	3.2 How was the change management process led?	3.2.1 Who led the change management process? Who was the owner/sponsor of the change? What is their position in relation to management?	The change management process was led at the time by a change programme entity, which became institutionalised and part of PCG, the Director of which reports to the Executive Director. See question 7 for more details. (UNOPS Approach to Change Management)	
		3.2.2 Were consultants involved in implementation? If so, in what role?	It was led internally, with support from external expertise in each of the standards areas.	
		3.2.3 What was the size of the team? Where was the CM team located?	The Change Management Team has been in place since 2014 and has been the custodian of the EFQM Excellence model, performing and supporting self-assessments across the UNOPS organisation. With regards to the other standards implementation, the Change Management Team has designed several of the implementation approaches (e.g. for the implementation of the Project Management Manual and the delivery of the Project Management tool).	

Review Question	Review Sub-Question	Sub-sub Question	Key Findings	Remarks
<i>(Adapted from overall Review Framework)</i>			<i>(After stating findings Indicate source by letter, corresponding to document list below)</i>	<i>(Include list of documents that may be applicable)</i>
			At the time, the team was composed of some 12-14 individuals within UNOPS HQ. The team transferred from a programmatic function (temporary entity) into a permanent entity as change management because institutionalised into UNOPS. (Leading presentation for OneUNOPS Projects / EPPM implementation provides an example of a CM approach used for the Project Management tool)	
		3.2.4 Is there an institutionalized function for change management in the organization or was the function time-bound for this specific initiative? <u>If yes, please include information in question 7 as well.</u>	The entity started as a time-bound programme, focused primarily on bringing the reform of process and project quality into place, along with functional experts from the affected domains. This was followed by the institutionalisation of the function.	
		3.2.5 What mechanisms were put in place to oversee the change management process? Did it include the head of organization, the governing body, just senior managers, or other? What role was played by each?	Major changes have been communicated to the Executive Board.	
	3.3 How was the change management process structured?	3.3.1 Did the process have a definitive start and end?	The process formally started in 2010 and although improvements are continuously performed on an incremental basis, the finalisation of the EFQM assessment in 2017, where UNOPS was awarded 5 stars, can be viewed as the initial end state of the reform.	
		3.3.2 How long did it last?	Implementation has been continuous throughout the formal process duration.	
	3.4 How was it implemented?	3.4.1 Describe the implementation process (refer to the plan in 2.1.3)	Followed the UNOPS Approach to Change Management <u>UNOPS approach to Change Management</u> - Work with teams to help build on good practices	

Review Question	Review Sub-Question	Sub-sub Question	Key Findings	Remarks
<i>(Adapted from overall Review Framework)</i>			<i>(After stating findings Indicate source by letter, corresponding to document list below)</i>	<i>(Include list of documents that may be applicable)</i>
			<ul style="list-style-type: none"> - Collectively identify areas where change could lead to even better results - Share our experience of how to do change - Invite experts in specialised domains as needed - Support you in taking the ownership for successful delivery of improvements <ol style="list-style-type: none"> 1. Context and Rationale for Change 2. Visioning Future Success 3. Process Excellence 4. Business Modelling and Resourcing 5. Implementation Follow-up 6. Communications and Change Metrics <p>The approach involved a number of elements including the setting up of Communities of Practice to vision future success and collectively assess the range of standards and approaches, ultimately selecting the most relevant options.</p> <p>Many of the standards and initiatives have been implemented through manuals and processes within PQMS, as well as being part of the UNOPS Learning Zone, where trainings and certifications are provided and validated.</p>	
		3.4.2 What communication mechanisms were used?	The beginning of the change process witnessed a large number of communications initiatives such as communities of practice, workshops and topic related events. As the implementation progressed, it became part of formalised organisational structures. The Change Management Team was formed, as discussed.	
		3.4.3 How was the change initially framed and presented to staff?		
	3.5 How much reflexive learning took place during the process? Was it evaluated during or after?	3.5.1 What learning and adaptive management processes were put in place during or after the CM process?	Throughout the changes, PQMS has been updated to reflect the institutionalisation of the standards. The EFQM standard sought to assure learning throughout the process (EFQM report 2017)	

Review Question	Review Sub-Question	Sub-sub Question	Key Findings	Remarks
<i>(Adapted from overall Review Framework)</i>			<i>(After stating findings Indicate source by letter, corresponding to document list below)</i>	<i>(Include list of documents that may be applicable)</i>
RESOURCE IMPLICATIONS OF CHANGE MANAGEMENT PROCESS				
4. What have been the resource implications of change management?	4.1 How was the CM budgeted?	4.1.1 What was the source of financing- core resources/XB.	Personnel resources were found from within and funded from core budget.	
	4.2 What were the major cost elements and actual costs (where available)?	4.2.1 What were the cost elements – financial, human (non-financial), etc? (Actual cost breakdown if possible to estimate)	Adoption of standards, training etc. incurred financial costs	
RESULTS OF CHANGE MANAGEMENT PROCESS				
5. What are the results and critical success factors of the change process or approach?	5.1 What were the results of the change process?	5.1.1 What were the <u>short-term</u> outputs? How were they assessed? -	The adoption of standards and external benchmark approaches has had a significant impact on the financial bottom line of UNOPS and its overall performance, witnessed through the EFQM report in 2017. The longer term benefits remain to be seen, with UNOPS remaining optimistic that the approach is providing significant advantages to the organisation.	Outputs provided of overall reform and not change management processes. UNOPS did not want to distinguish between the two. (C)
		5.1.2 What were the <u>intermediate or long</u> outcomes? How were they assessed? Did they bring about the desired transformation? (linked back to objectives in 2.1.1)	If long term is to be understood with a five-year window, these changes have accompanied a fundamental transformation to the UNOPS organisation, witnessed by its ever increasing portfolio and financial bottom line. Standards have supported UNOPS in increasing quality, reducing risk and providing transparency and assurance to our stakeholders.	
	5.2 How did the process affect the results?	5.2.1 How did the change management results contributed to the reform results or outcomes and in what way? What is the value-add of the structured process, where used?		

Review Question	Review Sub-Question	Sub-sub Question	Key Findings	Remarks
<i>(Adapted from overall Review Framework)</i>			<i>(After stating findings Indicate source by letter, corresponding to document list below)</i>	<i>(Include list of documents that may be applicable)</i>
LESSONS FROM CHANGE MANAGEMENT PROCESS				
6. What lessons can be derived to guide future change management initiatives?	6.1 What are considered critical factors +/-	6.1.1 What do those involved, and those affected considered: (s) the key factors of success (t) factors that led to failure and the challenges and constraints to the change management process?	<ol style="list-style-type: none"> 1. An immediate example of success is in the training plans for the implementation of the Project Management tool in 2018. 2. The Change Impact Assessment resulted in the requirement to double down on Project Management expertise and subsequently shift the dates for training events and modify the content. 3. The change management approach is more about, sometimes imperceptibly, nudging and adjusting mind-sets and plans to ensure, inter alia, that the correct stakeholders are involved, the timelines are robust and communications are correctly focused. 4. Formal and recognised CM structures within an organisation 5. A CM network cutting across the organisation and beyond 6. A defined approach, process and tools 7. Management consultancy and analytical skills sets 8. Expertise of the internal organisation, from a cultural and technical perspective 9. Proximity to senior management, sponsorship and support from senior executives 10. Early involvement in any change initiatives 11. Communication 	
	6.2 What positive features identified are transferable or scalable, which are not and why?	6.2.1 How unique are these to the context in which they were implemented?	UNOPS has its own approach to Change Management These initiatives are not unique to organisations who have chosen to benchmark their performance against industry standards. (The UNOPS Approach to Change Management)	
		6.2.2 What generalizable lessons can be identified?	Applying an approach such as the UNOPS Approach to Change Management is scalable and applicable across organisations (The UNOPS Approach to Change Management)	
	6.3 What has the organization learnt from this process?	6.3.1 Would the organization run the process the same way again, or do things differently? If so, how?		

Change Management Functions in the Organization

More information in UNOPS Case Summary 1 on HR Transformation

Document Key

Document	Document Title	Document Source
C.	Interview notes	JIU

23. UNOPS – International Individual Contractor Agreement (IICA) Modality

Overall comments	<ul style="list-style-type: none"> The case summary was completed by UNOPS. Further notes were added to the case summary from the interview and additional documentation. The information provides a good overview of the overall reform and its change management elements. There are some insights into the results of change management, however the initiative is yet to be fully evaluated. Case is considered complete.
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Review Question	Review Sub-Question	Sub-sub Question	Key Findings	Remarks
<i>(Adapted from overall Review Framework)</i>			<i>(After stating findings Indicate source by letter, corresponding to document list below)</i>	<i>(Include list of documents that may be applicable)</i>
REFORM/INITIATIVE OVERVIEW				
1. Details of the organizational reform/initiative (The 'What' question – what the initiative and reasoning behind it was?)	1.1 A brief summary of the reform/initiative.	1.1.1 What is its purpose? What are the objectives?	<p>UNOPS is reforming the ICA contract modality to balance the flexibility required by the organisation with competitive compensation levels for international and national professionals. The ICA Enhancement Project is the latest ICA improvement effort, following its establishment in 2007 and a wave of major enhancements undertaken in 2014.</p> <p><u>Purpose</u> To gain efficiencies and reduce uncertainty among personnel regarding their contract extensions.</p> <p>People Management requires capacity to deal with people and not focus on contract admin in our offices: People Management is much more than contract management, by alleviating local offices of contract management work, HR practitioners can focus on getting HR work done by working closely with hiring managers.</p> <p><u>Objectives</u></p> <ol style="list-style-type: none"> To create ongoing IICA contracts, i.e. contracts with no end date To streamline the IICA fee administration across UNOPS. To reduce costs and the administrative burden of ICA administration by eliminating contract extensions and manual adjustments of fees 	
		1.1.2 When did it start? When did it end?	<p>2018-2018</p> <p>The IICA Enhancement Project started in early 2018, with the updates to the policy being implemented during the month of July 2018. The contract updates were finalised on 31 July 2018.</p>	
		1.1.3 What are the key elements/sub-initiatives?	The major initiatives included updates to the contract, modifying the duration from 1 year or shorter, to an indefinite duration or 'ongoing'	

Review Question	Review Sub-Question	Sub-sub Question	Key Findings	Remarks
<i>(Adapted from overall Review Framework)</i>			<i>(After stating findings Indicate source by letter, corresponding to document list below)</i>	<i>(Include list of documents that may be applicable)</i>
			contract duration. The Fee administration also changed, which included the introduction of step increases for LICA contracts.	
		1.1.4 When and by whom was it approved?	It was formally approved by the Executive Office in February 2018	
		1.1.5 Was the reform evaluated? What were the achievements, results, and/or outcomes?	<p>The People Survey Action Plan and the Gender Parity Action Plan identified the value of introducing an ongoing contract and fee administration.</p> <p>3500 people accepted their contract amendments within two weeks, which represented a significant success and acceptance of new terms and condition.</p> <p>The efficiency gains and cost savings have yet to be fully evaluated but the reduced workload for people managers is expected to be significant</p> <p>(People Survey Action Plan, Gender Parity Action Plan)</p>	
	<p>1.2 What were the underlying factors or drivers behind this reform/initiative?</p> <p>Where distinct or additional to broader drivers of change, what specific events or triggers signalled the start? Each of these will affect the approach, speed, scope, resources and adoption of change management. They can be both expected or unexpected.</p>	1.2.1 What were the drivers? The causes of the initiative, generally an overarching, longer-term shift affecting how the organization operates.	<ol style="list-style-type: none"> 1. The initial wave of changes to the modality provided for additional improvements to be made over time. 2. The People Survey Action Plan identified greater levels of personnel engagement to be gained via ongoing contracts. 3. The Gender Parity Action Plan also included elements in this direction. 4. The overarching review of standards and implementation, reports such as the EFQM report from 2017 also called for greater support to personnel contracts. <p>(People survey Action plan, Gender Parity Action Plan, EFQM report 2017)</p>	
		1.2.2 Was there a specific event that acted as a trigger to get it started? It may be internal or external. These might include funding depletion, reputational (fraud, mismanagement) or other.	It represents part of the continuous improvement journey for IICA personnel, not triggered by a specific event	

Review Question	Review Sub-Question	Sub-sub Question	Key Findings	Remarks
<i>(Adapted from overall Review Framework)</i>			<i>(After stating findings Indicate source by letter, corresponding to document list below)</i>	<i>(Include list of documents that may be applicable)</i>
PLAN OF CHANGE MANAGEMENT PROCESS				
<p>2. Which change management approaches have been used in the <u>design</u> of the above reform or initiative?</p> <p>(The 'How' question on design – what did they set out to do?)</p>	2.1 Describe the design or plan for change management in the initiative?	2.1.1 What were the specific objectives of change management within the design of the initiative?	<p>The UNOPS approach to change management was applied to this process, with a particular focus on communicating the change.</p> <ul style="list-style-type: none"> - Work with teams to help build on good practices - Collectively identify areas where change could lead to even better results - Share our experience of how to do change - Invite experts in specialised domains as needed - Support you in taking the ownership for successful delivery of improvements <p>(UNOPS Approach to Change)</p>	
		2.1.2 Did the approach to change management draw from established practices (Kotter, McKinsey, PWC, UNLOCK etc) or not? If so, how?	<p>The UNOPS approach to change was implemented for this reform, with a focus on visualising the change and applying communication methods, as well as process modelling.</p> <p>People survey conducted by PWC</p>	
		2.1.3 Was a specific plan prepared outlining the change management process(es)?	<p>UNOPS Change Management Approach</p> <ul style="list-style-type: none"> 13. Context and Rationale for Change 14. Visioning Future Success 15. Process Excellence 16. Business Modelling and Resourcing 17. Implementation Follow-up 18. Communications and Change Metrics 	
	2.2 How did the triggers of the organizational reform or management initiative influence the change	Who prepared this plan – done internally or by an outside company? If external, please state who?	<p>The initiative was designed, project managed and implemented by the Change Management Team on behalf of PCG and the Executive Office</p>	
		2.2.1 What effect, if any, did the drivers or triggers of the reform have on the objectives and plan for change management?	<p>The change management process was supporting a positive change story. As such, the emphasis was on ensuring successful uptake of the change, so rather about communications, building on trust and confidence in the positive aspects, ensuring the organisation was steered towards the change in a short period of time.</p>	

Review Question	Review Sub-Question	Sub-sub Question	Key Findings	Remarks
<i>(Adapted from overall Review Framework)</i>			<i>(After stating findings Indicate source by letter, corresponding to document list below)</i>	<i>(Include list of documents that may be applicable)</i>
	management approach?			
IMPLEMENTATION OF CHANGE MANAGEMENT PROCESS				
3. How have the change management approaches been adopted/ adapted and implemented? (The 'How' question on implementation)	3.1 What was the scope – breadth and depth of the change process?	3.1.1 Was it system-wide, organization, department etc.	This was an organisation-wide initiative, impacting all IICA personnel and their managers across UNOPS.	
	3.2 How was the change management process led?	3.2.1 Who led the change management process? Who was the owner/sponsor of the change? What is their position in relation to management?	The Change Management Team at UNOPS, under the remit of the Director of PCG, managed the project.	
		3.2.2 Were consultants involved in implementation? If so, in what role?	The process was led internally, with support from other elements of the Change Management Team and the Change network, as required.	
		3.2.3 What was the size of the team? Where was the CM team located?		
		3.2.4 Is there an institutionalized function for change management in the organization or was the function time-bound for this specific initiative? <u>If yes, please include information in question 7 as well.</u>	Yes	
		3.2.5 What mechanisms were put in place to oversee the change management process? Did it include the head of organization, the governing body, just senior managers,	The COG was informed throughout the process	

Review Question	Review Sub-Question	Sub-sub Question	Key Findings	Remarks
<i>(Adapted from overall Review Framework)</i>			<i>(After stating findings Indicate source by letter, corresponding to document list below)</i>	<i>(Include list of documents that may be applicable)</i>
		or other? What role was played by each?		
	3.3 How was the change management process structured?	3.3.1 Did the process have a definitive start and end?	January 2018 – 31 July 2018. The IICA modality will be subjected to further waves of change over time.	
		3.3.2 How long did it last?	The change management process took place at the same time as the project, as an integrated approach.	
	3.4 How was it implemented?	3.4.1 Describe the implementation process (refer to the plan in 2.1.3)	The People Survey Action Plan identified greater levels of personnel engagement to be gained via ongoing contracts. Coaching and training with HR partners, communications channels including webex sessions and blogs. The IICA enhancement project had its own intranet site with tailored info-sheets for managers and supervisors, HR practitioners, IICA contract holders, LICA contract holders and HR Admin updates.	
		3.4.2 What communication mechanisms were used?	The communications effort involved using different channels, 1. employing the Champion Approach, 2. leveraging the change network to pass the message and gain engagement, 3. Good senior leader sponsorship, 4. HR practitioner education in the changes and 5. ensuring an inclusive approach with early adopters and 6. working closely with project managers to ensure understanding of implications and changes in behaviour. Modalities: Webex, powerpoint presentations, emails, posters	
		3.4.3 How was the change initially framed and presented to staff?	The change was framed as an improvement to current personnel contracts and communications were used to gain trust and understanding among personnel and their managers in order to effect the change quickly and efficiently.	
	3.5 How much reflexive learning took place during the process? Was it evaluated during or after?	3.5.1 What learning and adaptive management processes were put in place during or after the CM process? (please specify when put in place in relation to the process)	Updates were made to PQMS to ensure institutionalised learning about the updated process. Further changes are being made to areas such as the development of new job descriptions, further PQMS updates	

Review Question	Review Sub-Question	Sub-sub Question	Key Findings	Remarks
<i>(Adapted from overall Review Framework)</i>			<i>(After stating findings Indicate source by letter, corresponding to document list below)</i>	<i>(Include list of documents that may be applicable)</i>
RESOURCE IMPLICATIONS OF CHANGE MANAGEMENT PROCESS				
4. What have been the resource implications of change management?	4.1 How was the CM budgeted?	4.1.1 What was the source of financing- core resources/XB. Implications.	The Change Management Team was the main resource for this change management engagement. The personnel are specialists, advisors and analysts in their own domains including Organisational Development, HR processes, internal management consulting and organisational excellence. Identifying the specific costs of these personnel can be achieved by viewing the annual fees or salaries, but this does not take into account their training, education and experience within the organisation, which cannot be easily costed in a relevant way.	
	4.2 What were the major cost elements and actual costs (where available)?	4.2.1 What were the cost elements – financial, human (non-financial), etc? (Actual cost breakdown if possible to estimate)		
RESULTS OF CHANGE MANAGEMENT PROCESS				
5. What are the results and critical success factors of the change process or approach?	5.1 What were the results of the change process? <i>(Is there evidence of sustainability of these changes? What is the degree to which organization is working differently and people are behaving differently? Degrees of result or proxies around these include cost reduction (staff and non-staff); service levels; reduced risks;</i>	5.1.1 What were the <u>short-term</u> outputs? How were they assessed?	Personnel were very content with the immediate results, as having ongoing contracts impacted on their quality of life, particularly in field locations. It also acted as a form of commitment from UNOPS to its employees. The responsiveness from UNOPS personnel with regards to the contract updates was reflective of a very positive communications story. 3500 people accepted their contract amendments within two weeks which represented a significant success and acceptance of new terms and condition.	
		5.1.2 What were the <u>intermediate or long</u> outcomes? How were they assessed? Did they bring about the desired transformation? (linked back to objectives in 2.1.1)	Long term effects would need to be measured as part of the People Survey, which considers engagement levels across UNOPS and will be considered as inputs to the following wave of IICA enhancements. The efficiency gains and cost savings have yet to be fully evaluated but the reduced workload for people managers is expected to be significant (People Survey Action Planning, 2017)	

Review Question	Review Sub-Question	Sub-sub Question	Key Findings	Remarks
<i>(Adapted from overall Review Framework)</i>			<i>(After stating findings Indicate source by letter, corresponding to document list below)</i>	<i>(Include list of documents that may be applicable)</i>
	<i>behavioural changes; improved collaboration etc.)</i>			
	5.2 How did the process affect the results?	5.2.1 How did the change management results contributed to the reform results or outcomes and in what way? What is the value-add of the structured process, where used?	The structured approach, which focused on selling the benefits and clearly articulating the process, resulted in a very quick response rate from all personnel, meaning that 3500 contracts were updated over a two-week period of time.	
LESSONS FROM CHANGE MANAGEMENT PROCESS				
6. What lessons can be derived to guide future change management initiatives?	6.1 What are considered critical factors +/-	6.1.1 What do those involved, and those affected considered: (u) the key factors of success (v) factors that led to failure and the challenges and constraints to the change management process?	The success of the change process was the way and frequency that the change was communicated. All parties fully understood their role and the change that was required and were able to 'get on board' and adopt new behaviours at the right time. The UNOPS Approach to change management describes the process, which should be considered for every change engagement. Effectively understanding the change that will be supported is critical, as early scoping allows for the most suitable elements of the approach to be selected. Having a toolbox of suitable techniques to apply	
	6.2 What positive features identified are transferable or scalable, which are not and why?	6.2.1 How unique are these to the context in which they were implemented?	The change approach was tailored to this project, as it required significant communications and messaging. Such an approach is still applicable to other change projects	
		6.2.2 What generalizable lessons can be identified?	Communication in change management is absolutely key to its success.	
	6.3 What has the organization learnt from this process?	6.3.1 Would the organization run the process the same way again, or do things differently? If so, how?		

Document Key

Document	Document Title	Document Source
A.	Delivering successful ERP through well managed organizational change: UNOPS (2017)	UNSSC website
B.	Delivering successful change with enterprise resource planning (ERP) systems (2017)	UNSSC website
C.	UNOPS People Change slides (2014)	UNOPS

24. UNOPS – OneUNOPS – Enterprise Resource Planning

Overall comments	<ul style="list-style-type: none"> The case summary was completed based on UNLOCK case studies and was validated by UNOPS and additional documents were provided. Comprehensive and clear change management processes are evident from the documents and interviews. There is substantial information available on lessons and key success factors that can be used to draw upon. Case is considered complete, but may follow-up on behavioural aspects of the reform in January/February 2019 with respect to the chapter of our study on behavioural factors/insights
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Review Question	Review Sub-Question	Sub-sub Question	Key Findings	Remarks
<i>(Adapted from overall Review Framework)</i>			<i>(After stating findings Indicate source by letter, corresponding to document list below)</i>	<i>(Include list of documents that may be applicable)</i>
REFORM/INITIATIVE OVERVIEW				
1. Details of the organizational reform/initiative (The 'What' question – what the initiative and reasoning behind it was?)	1.1 A brief summary of the reform/initiative.	1.1.1 What is its purpose? What are the objectives?	ERP systems enable organizations to automate and integrate business processes under a unified information sharing common set of data, allowing for specific functional applications – such as finance and accounting, human resources management and supply chain management, depending on the organization. The reform at UNOPS replaces the previous ERP system ‘Atlas’ with a new system ‘Unit4 Business World’. The new system would be called “oneUNOPS” (A.4, 5). The early stages of the reform focused on replacing elements of the previous ERP system ‘Atlas’, as of 2017 major organizational changes are still yet to come. The purpose of the reform was to provide greater IT system coverage from an earlier total of 61% to 86%. (A.4)	
		1.1.2 When did it start? When did it end?	2014 (A.4) – 2016 (A.5) Went live in 2016	
		1.1.3 What are the key elements/sub-initiatives?	The ERP focuses on the following functionalities (G): 1. Project Management 2. Procurement 3. HR 4. Finance	
		1.1.4 When and by whom was it approved?	The initiative had “high profile sponsorship from senior leadership” (A.5)	
		1.1.5 Was the reform evaluated? What were the	The reform met expectations in terms of timelines for going live and being on budget. The ERP system is still being implemented and assessments are	

Review Question	Review Sub-Question	Sub-sub Question	Key Findings	Remarks
<i>(Adapted from overall Review Framework)</i>			<i>(After stating findings Indicate source by letter, corresponding to document list below)</i>	<i>(Include list of documents that may be applicable)</i>
		achievements, results, and/or outcomes?	<p>ongoing, the most recent being that of Gartner in September 2018. To date, the reform was partially evaluated through</p> <p>a) Surveys – 70% of those surveyed responded that the new system was easy to use</p> <p>(b) Adoption assessments – these show that there are still many challenges to address but overall people are making increasing use of the system. (A. 10). Process adoptions as well as financial metrics were also assessed in the Gartner study, 2018.</p> <p>(c) Internal impact assessment - BIIP</p> <p>(d) External impact assessment - UN Board of Audit</p> <p>(e) Cyber Security Risk Assessment – IAIG</p> <p>(f) Fraud Risk Assessment – IAIG</p> <p><u>Gartner report:</u></p> <p>The strategic benefits have been realised</p> <ul style="list-style-type: none"> ▪ The number of business process supported has increased from 60% to 82% ▪ Management reporting requirements have been delivered to provide the users with the necessary insights and dashboards ▪ Process benefits has been realised <ul style="list-style-type: none"> ▪ Automation of business processes has enabled UNOPS to have more streamlined and efficient business processes, as compared to pre-2016 situation ▪ Processes efficiency has been improved for tasks that are conducted more than 45,000 times yearly (i.e. Request Staff Offering, Purchase Order Creation and Lead Generation) compared to pre-2016 situation ▪ The number of fraud risks identified in the Deloitte Audit stemming from the implementation of oneUNOPS has been reduced from 84 to 8 ▪ oneUNOPS now provides a capability to better identify and investigate anomalies, particularly financially related ones ▪ The financial business has been exceeded and a break-even point, compared to continued use of Atlas has moved from 2023 to 2021 	

Review Question	Review Sub-Question	Sub-sub Question	Key Findings	Remarks
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			<ul style="list-style-type: none">The implementation cost incurred with oneUNOPS are at the low end, compared to a global average of ERP implementations <u>Other achievements (J)</u> <ul style="list-style-type: none">Being able to do our own HR – saving moneyHaving control over the IT landscapeBringing the users into the process – opened up to the people in advance – need to be able to be in the process - But can only be done in the right environment – cannot be done in an organization which is not ready	
	1.2 What were the underlying factors or drivers behind this reform/initiative? Where distinct or additional to broader drivers of change, what specific events or triggers signalled the start? Each of these will affect the approach, speed, scope, resources and adoption of change management. They can be both expected or unexpected.	1.2.1 What were the drivers? The causes of the initiative, generally an overarching, longer-term shift affecting how the organization operates.	The two main drivers were: (f) The previous system ‘Atlas’ Peoplesoft-based ERP system platform only covered 34% of the process areas and an in-house system covered 27%; 39% of processes did not have any IT system coverage. (A.4) Atlas didn’t have any problems but UNOPS was not the main player in developing it. UNOPS was paying less but could not make many changes, long run it was not seen sustainable as UNOPS systems could not be integrated (J) (g) UNOPS Strategic Plan of 2014-2017 highlighted the need for an ERP system could support a more agile organization focused on excellence in business relationship management. (A.4)	
		1.2.2 Was there a specific event that acted as a trigger to get it started? It may be internal or external. These might include funding depletion, reputational (fraud, mismanagement) or other.	A 2012 study (organizational wide review of IT systems) found that UNOPS was suffering from a high degree of fragmentation of IT systems and data. (A.4)	
		PLAN OF CHANGE MANAGEMENT PROCESS		
2. Which change management approaches have been used in the	2.1 Describe the design or plan for change	2.1.1 What were the specific objectives of change management within the design of the initiative?	<u>UNOPS approach to Change Management</u> <ul style="list-style-type: none">Work with teams to help build on good practicesCollectively identify areas where change could lead to even better results	

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<u>design</u> of the above reform or initiative? (The 'How' question on design – what did they set out to do?)	management in the initiative?	Examples of specific objectives <ul style="list-style-type: none"> - Behaviour change to facilitate fuller adoption of new technology (e.g. UMOJA) - Empowerment of all staff to increase adoption of new policy - Improve communication of new roles and responsibilities - Enhance openness and transparency as part of an effort to increase accountability culture in an organization 	<ul style="list-style-type: none"> - Share our experience of how to do change - Invite experts in specialised domains as needed - Support you in taking the ownership for successful delivery of improvements <p>The training programmes had the following objectives:</p> <ul style="list-style-type: none"> • Build common understanding of the oneUNOPS processes, roles and activities. • Build used confidence for oneUNOPS functionality. • Build expertise in areas requested by office • Improve operational capacity • Improve organizational understanding • Improve cross-organizational collaboration • Understand and improve data quality • Enable better reporting • Enable better monitoring • Ensure that UNOPS personnel reap all benefits from oneUNOPS • Understand which functionality can be expected by Jan 2017 <p>Objectives of the other change management elements were to address the following:</p> <ol style="list-style-type: none"> 1. Issue of ownership 2. Change fatigue (in light of the several change initiatives within UNOPS) 3. Addressing political nature of decision making 4. Engagement and management of diverse groups of stakeholders 5. Continuous improvement (H) 6. To ensure everyone knows exactly how the change is going to affect them (H) 	
		2.1.2 Did the approach to change management draw from established practices (Kotter, McKinsey, PWC, UNLOCK etc) or not? If so, how?	Elements of the UNOPS approach to change management including learning needs assessment were adopted, based on the McKinsey 7S model.	

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		<p>2.1.3 Was a specific plan prepared outlining the change management process(es)?</p> <p>Who prepared this plan – done internally or by an outside company? If external, please state who?</p> <p>-</p>	<p>The McKinsey 7S model was adapted for UNOPS use.</p> <p>Used the following approaches: (A. 9)</p> <ol style="list-style-type: none"> 1. a change readiness assessment 2. a campaign approach to communication with a wide number of stakeholders 3. Establishment of a champions network 4. Comprehensive face-to-face and online training delivered <p><u>UNOPS approach to Change Management</u></p> <ol style="list-style-type: none"> 1. Context and Rationale for Change 2. Visioning Future Success 3. Process Excellence 4. Business Modelling and Resourcing 5. Implementation Follow-up 6. Communications and Change Metrics <p>The approach might have been formalised after the ERP implementation (H)</p>	
	2.2 How did the triggers of the organizational reform or management initiative influence the change management approach?	2.2.1 What effect, if any, did the drivers or triggers of the reform have on the objectives and plan for change management?	<p>PCG and ICT were heavily involved in providing user and IT requirements and change management perspectives throughout the design and implementation phases. The structure of this input was semi-formal and highly responsive to the complexity of the project, which saw significant challenges prior to its implementation.</p> <p>Based on the scope of the initiative, the focus of the change management approach was on training and communication, based on the fact that the reform was about the introduction of a new system and modified behaviours.</p>	
IMPLEMENTATION OF CHANGE MANAGEMENT PROCESS				
3. How have the change management approaches been adopted/ adapted and implemented?	3.1 What was the scope – breadth and depth of the change process?	3.1.1 Was it system-wide, organization, department etc.	Organization wide change (A. 4)	
	3.2 How was the change	3.2.1 Who led the change management process? Who	<ol style="list-style-type: none"> 1. Executive director was involved in communications. 2. The Director of PCG coordinated the HR and change related inputs 	

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(The 'How' question on implementation)	management process led?	was the owner/sponsor of the change? What is their position in relation to management?	<p>3. The BIIP project ran the training programme</p> <p>4. A champions network was established, where “every practice seconded their ‘best’ to the project as Process Coordinators” (A.9). These champions were involved in the development and delivery of the training programmes.</p>	
		3.2.2 Were consultants involved in implementation? If so, in what role?	No, BIIP led the training programmes and the surveys; PCG was involved in the user requirements and in supporting change management activities.	
		3.2.3 What was the size of the team? Where was the CM team located?	<p>The implementation of oneUNOPS was organised as part of the BIIP programme with a core team and process coordinators acting as business representation. This is a best practice to embedding process owner or their delegates directly in the program organisation.</p> <p>Other teams involved were:</p> <ul style="list-style-type: none"> - OneUNOPS champions - PCG - IT <p>There was no specific change management team dedicated to this reform, rather change management activities conducted by BIIP, PCG and IT.</p> <p>On Team structure for OneUNOPS (I)</p> <ul style="list-style-type: none"> ○ <u>Change team</u> (from PCG – help understand the rationale for change, lay the plan + ‘we should not just disappear, need to be visible) + change facilitator (from the functional areas – local to the project, helping and supporting the implementation; reiterating the change story – they remain there within the unit) ○ <u>Change network</u> – to supplement the change efforts – support the IICA – this network is being constantly expanded. Features of the network: <ul style="list-style-type: none"> ○ Focus on continuous improvement ○ Understanding change ○ Some are heads of offices – some support services ○ Come from all over the organization ○ They are certified internally and externally - externally by the American Association of change management (Mads at 	

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			UNDP was her deputy and did similar certification at UNDP)	
		3.2.4 Is there an institutionalized function for change management in the organization or was the function time-bound for this specific initiative?	There is an institutionalised change management function, which was involved in the programme. Since the programme, UNOPS has seen the value in further embedding and developing CM with a dedicated team.	
		3.2.5 What mechanisms were put in place to oversee the change management process? Did it include the head of organization, the governing body, just senior managers, or other? What role was played by each?	1. The BIIP steering committee covered technical system aspects as well as the change management activities. It was chaired by the Deputy Executive Director. 2. COG – Corporate Operations Group	
	3.3 How was the change management process structured?	3.3.1 Did the process have a definitive start and end?	The training and communications activities supported the project plan, which formally ended in Autumn 2016.	
		3.3.2 How long did it last?	3 years	
	3.4 How was it implemented?	3.4.1 Describe the implementation process (refer to the plan in 2.1.3)	To implement the CM process, the following steps were taken for each of the 4 challenges identified (underlined): (A. 9) 1. <u>Issue of ownership</u> : (a) Held Corporate Operations Group meeting to have all directors sign up and agree and sign up. (b) Performance management goal that related to support of directors to the ERP implementation (c) Every practice seconded their “best” to the project as “Process Coordinator” to link practise knowledge to ERP implementation. 2. <u>Change fatigue</u> (in light of the several change initiatives within UNOPS – restructuring of the regional offices, and relocation of the key functions from HQ to the field (a) Built urgency for change through town hall meetings, WebExes and tailored presentations. (b) Demonstrated that oneUNOPS success was the priority for senior management. Executive director involved in communications.	

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			<p>3. <u>Addressing political nature of decision making:</u> (a) Stakeholder assessment and engagement plan (b) Built bridges between groups/teams that find it difficult to cooperate; building on common benefits. (c) Strong accountability.</p> <p>4. <u>Engagement and management of diverse groups of stakeholders:</u> (a) Stakeholder assessment and engagement (b) Campaign based communication plan (c) oneUNOPS champion network (c) Individual relationship building with the key stakeholders (d) Workshop/training in the field.</p> <p>Other implementation processes were:</p> <p>5. <u>Training:</u> Around 15-20 two-day onsite training programmes were delivered at key offices, each one being tailored to that office's needs. Champions from nearby offices were invited to join these onsite trainings, so that they could in turn train their own offices. Combined with WebEx sessions and on-line programmes this approach worked well in spreading learning through the organization, reducing resistance.</p> <p>6. <u>Learning needs assessment survey</u> – to allow for targeted and relevant trainings</p> <p>7. <u>Week long training</u> provided to become champions- champions are a key component in a training programme to prepare for the launch of onUNOPS.</p> <p>More on the training and engagement process (H)</p> <p>8. ERP had 4 key functional areas – finance, HR, procurement and project management. Each of these had a functional lead – these were critical as they had expertise of working in the area</p> <p>9. Similarly, around 150 champions were selected from across the UNOPS offices (120 from the field and 40 from headquarters) based on the following criteria:</p> <ul style="list-style-type: none"> a. Geographic location – mapping was done to assess that there is someone to cover these areas depending on the country size b. Experience- at least 2 years of experience working with UNOPS c. Seniority – mid level seniority – someone at a positions such that he/she could help out all staff members and high enough to have authority (P4 P5 and above) 	

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			<ul style="list-style-type: none"> d. Also these champions had expertise in one or more of the functional areas e. The champions were nominated based on the above criteria by the regional offices and then validated by the headquarters f. Champions were selected based on criteria (above) but many did not meet the criteria. You cannot perform role of champion without operational knowledge and knowledge about change management. This is needed for credibility. This is important otherwise you readily get dismissed by staff g. The role of Champions was assessed in the performance assessment systems and those not performing were so informed when possible to do so, <p>10. They were then called for a 5-day training in Copenhagen. Training content included: 3 days on how to adapt to continuous changes as they come; 2 days on train the trainer. 300 people were trained via face to face method; WebEx with practitioners as well as sessions for updating knowledge and skills. The result of extensive training meant people are on board and limits resistance.</p> <p>11. ERP was rolled out after these trainings and was followed by a usability assessment, along with personal follow-ups with champions on the phone.</p> <p>12. The usability assessments included open-ended questions too that gave the users space to express any other concerns. The follow up phone calls also helped validate the results of the survey.</p> <ul style="list-style-type: none"> a. Based on the results of the assessment tailored training programme were developed and delivered for all offices b. Direct support was provided through WebEx c. The trainings of champions was tracked and updates were sent to the regional managers such that they could follow up in case anyone was not attending <p>13. The learning needs assessment tied to the functional areas. The focus as on gaps in know-how and on areas of concerns in doing the work. It was important to focus on the concerns of people and</p>	

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			to meet the expectations. The difference between this training approach and those normally done for projects is: a. The latter is focused on deliverables of training b. This training is focused on functional skills but also on soft skills and how to deal with uncertainty; 14. Change impact assessment exercise a. Initial assessment for rationale for change b. Taking note of the reluctance	
		3.4.2 What communication mechanisms were used?	Communication: (a) held Corporate Operations Group meeting for all directors (b) town hall meetings, WebExes and tailored presentations (c) Executive director was involved in communications (d) Campaign based communication plan Ensuring well-functioning channels to make staff concerns heard through training, oneUNOPS champions, calling them individually and tracking issues (H)	
		3.4.3 How was the change initially framed and presented to staff?	The reform was implemented stepwise, starting with features that were familiar to everyone using the previous ERP programme (Atlas). As of 2017, the reform had not been fully implemented.	
	3.5 How much reflexive learning took place during the process? Was it evaluated during or after?	3.5.1 What learning and adaptive management processes were put in place during or after the CM process? (please specify when put in place in relation to the process)	‘Around 90% of those involved as champions say they would like to continue this role, and approximately 70% indicated they felt confident to deliver further training to their colleagues. This represents a solid foundation from which to move forward’ (A.11) The training surveys were conducted after each session (C). The transition learning materials was included into the ongoing training and support. Post launch, there continued to be in-person training missions following for several months afterwards.	
	RESOURCE IMPLICATIONS OF CHANGE MANAGEMENT PROCESS			
4. What have been the resource implications of change management?	4.1 How was the CM budgeted?	4.1.1 What was the source of financing- core resources/XB. Implications.	The overall programme budget, which contained finances for training, developing training materials and communications activities.	
	4.2 What were the major cost elements and	4.2.1 What were the cost elements – financial, human (non-financial), etc? (Actual	A change coordinator position was budgeted as part of the project, which was a redeployment of existing UNOPS resources. No specific account was set up for the change activities.	

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	actual costs (where available)?	cost breakdown if possible to estimate)	<p>On costs of Change Management (I)</p> <ol style="list-style-type: none"> they would be different for a single project for an organization without a change function versus costs for developing a change function or for one with a change function cannot tell the overall costs on change management costs of the team 10-12 people + costs of the network 10-15% of someone's time (P4, P5 and some D1s) – around a million dollars per year Costs is not the only important factor, the change process could not have been successful with external management consultants 	
RESULTS OF CHANGE MANAGEMENT PROCESS				
5. What are the results and critical success factors of the change process or approach?	<p>5.1 What were the results of the change process?</p> <p><i>(Is there evidence of sustainability of these changes? What is the degree to which organization is working differently and people are behaving differently? Degrees of result or proxies around these include cost reduction (staff and non-staff); service levels; reduced risks; behavioural</i></p>	<p>5.1.1 What were the <u>short-term</u> outputs? How were they assessed?</p> <p>Examples of outputs (effective implementation of CM processes)</p> <ul style="list-style-type: none"> - Implementation of standards and practices - Staff being able to apply new work practices - Reduced time spent on processes (efficiency measure) 	<p><u>A. Usability assessment report by BIIP</u> – assessment divided into: (E)</p> <ol style="list-style-type: none"> Hypercare assessment – 8 champions Stabilization assessment – 165 champions Implementation assessment – all users <p>Phase 1 results: qualitative answers, generally positive, but a long 'wish list' of improvements</p> <p>Phase 2 results – key concerns: 1) Reporting and inaccurate data, 2) response time, 3) workflows</p> <p>Phase 2 results – key benefits: 1) better reporting / overviews, 2) integrated processes, 3) easier to use</p> <p>Phase 2 results: Sufficient communication & learning mat. Generally satisfied w/ implementation.</p> <p>Phase 2 results: Users were prepared for issues. Quicker support is desired.</p> <p>Phase 2 results: Positive for user-friendliness, but ~20% have challenges</p> <p><u>B. Gartner Report, 2016 (D)</u></p> <ul style="list-style-type: none"> Increased usability Reduced ICT costs <p><u>C. Post training surveys</u></p> <p>Positive responses on post training survey on the relevance of the training, difficulty level of the courses and quality of trainers. (C)</p>	

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	<i>changes; improved collaboration etc.)</i>		D. <u>Garter report, 2018 (N)</u> a. UNOPS has established a capability to change and improve the ERP system b. Processes have become more efficient compared to the pre 2016 situation c. The ERP Programme budget was improved by 3m USD	
		5.1.2 What were the <u>intermediate or long</u> outcomes? How were they assessed? Did they bring about the desired transformation?	Cultural change: UNOPS plans to conduct assessments of the degree to which culture has changed after the project's completion. Initial observations suggest the OneUNOPS implementation has been "not such a big deal" in comparison to, for example, the introduction of Atlas (the precious ERP system) (A. 10).	
	5.2 How did the process affect the results?	5.2.1 How did the change management results contributed to the reform results or outcomes and in what way? What is the value-add of the structured process, where used?		
LESSONS FROM CHANGE MANAGEMENT PROCESS				
6. What lessons can be derived to guide future change management initiatives?	6.1 What are considered critical factors +/-	6.1.1 What do those involved, and those affected considered: (w) the key factors of success (x) factors that led to failure and the challenges and constraints to the change management process?	1. Role of the champions - UNOPS change managers point to the vital role of "champions" as well as the training programme. The champions provided to be an effective way to engage people in the field and to build an ownership of the system. They were also closely involved in the development and delivery of the training programme (A.10). - The way champions talked and connected with staff and stayed with the continuous process of adoption - Continue to make sure staff from field were heard - Continue to fuel confidence in doing the work - Champions as Super Users to build confidence - champions must also be engaged in the operations besides also have skill set to promote change and provide substantive support. (not just hot air about need for change)	

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			<p>2. Change Management team</p> <ul style="list-style-type: none"> - UNOPS has an integrated Change Management entity within PCG, which has matured and grown in capacity following the implementation of this reform. - The role of the change facilitation team is also to synthesis lessons learnt and best practices in change management. (K.2) <p>3. Learning from previous experience:</p> <ul style="list-style-type: none"> - UNOPS appears to have benefited from experience gained during the implementation of the previous ERP system 'Atlas' - Regarding learning from the implementation of the previous ERP Atlas – Anna suggested that UNOPS has a high staff turnover and not sure if any lessons from Atlas' implementation were used or if it had a similar champion's network (H) - Lessons learnt were very carefully though through - The thinking now was more in terms of the business process and not ICT - Instead of hiring people from outside a core team was developed within UNOPS (when consultant for Atlas left, it was tough to manage) - The most important was the communication strategy – campaign communication was used - Asking people in the private sector on how things are done – UN needs to adapt – 'leadership courage and maturity' are extremely important - Effort by UNOPS to standardize their best practices. - UNOPS' assessment that its organisational culture was well conditioned to embrace the ERP system change. Built on prior learning, considerable effort was devoted using communications to encourage staff buy-in- <p>4. Role of leadership</p> <ul style="list-style-type: none"> - Benefitted from a high-profile sponsorship from senior leadership, while encouraging broad mobilization and engagement of staff, reinforced be intensive training activities, and targeted communications. 	

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			<ul style="list-style-type: none"> - Operational knowledge is extremely important for change management and to deal with people involved in the change for greater buy in and to ensure that the change management activities are taken seriously. Thus the he four functional leads related to the four areas were critical (H) - along with the functional leads they had a charismatic director – ‘with a right tone from the top and everything else falls in place’ (H) <p>5. Other factors</p> <ul style="list-style-type: none"> - UNOPS phased its implementation to manage staff’s fatigue in dealing with multiple change initiatives by starting with those elements that were largely replacements of the existing Atlas. - The implementation of oneUNOPS was organised as part of the BIIP programme with a core team and process coordinators acting as business representation. This is a best practice to embedding process owner or their delegates directly in the program organisation. However, a number of stakeholders did not experience the necessary involvement for their area to be sufficiently involved in design and improvement of the relevant processes. This has been thought to be a resource issue on both the side of the BIIP programme, and the involved business practices (D.6). - Copenhagen training of champions – an extra step by calling everyone – social dimension (J) - The launch and period immediately after (J) <ul style="list-style-type: none"> a. Tolerance and patience from change as everyone was involved with a little b. Everyone was clear how big the change was c. Informality around the voice of the programme - Change fatigue is not important – it is the leadership that is important - Not change management to the people but change management with the people <p>6. Communication – consistency in messages, focus on the benefits, and an effort to be objective. (A. 11)</p>	

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			<ul style="list-style-type: none"> - Gartner recommends and increased focus on transparency and communication around complaint/bug-list, development prioritization and releases to ensure the most heavily burden areas of UNOPS are engaged in the process. (D.6) <p>7. On training</p> <ul style="list-style-type: none"> - The received training was generally perceived to have been sufficient for using the system. However, the sessions were conducted several months before the go-live in January 2016, reducing the positive impact of training due to both changes in the system and by a long period of not using the system. (D.7) <p>8. Skills and experience of the lead (I)</p> <ul style="list-style-type: none"> - Country office experience – corporate change engagement - Experience working with corporates - Experience with corporate UN - Experience working in the UN system - Change management knowledge - In addition to the above five – communication and willing to engage in a conversation is important – sorting issues by talking through them. These five factors could also be levers that lead to credibility to the approach - Substantial experience in developing change <ul style="list-style-type: none"> a. People centric approach b. Strongly rooted in structure and process 	
	6.2 What positive features identified are transferable or scalable, which are not and why?	6.2.1 How unique are these to the context in which they were implemented?		
		6.2.2 What generalizable lessons can be identified?	<p>Lessons for future (H)</p> <p>a. The approach used an informal/practical developmental approach and integrated into the organizations A formalized change management approach might be helpful – to give it more structure. The champions approach was still informal.</p> <p>b. Benchmarking – a more detailed benefits realization plan would be helpful to see the impact better – the Gartner report was in place however, an in house and more detailed report could be better.</p>	

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			<p>c. If we had this, we would be in better position to highlight objectively the successes achieved.</p> <p>d. On Umoja implementation in the secretariat – it must be having different challenges based on the scale of implementation but having in-house expertise instead of hiring consultants was critical as it allows for closeness to ground realities. Consultants might not be able to understand the exact context. The importance for being anchored from within with a convincing rationale for change was critical.</p> <p>e. CM you could do all the right things but something external, example conflict between directors, organizational could create a risk for the organization. But readiness etc. should be able to take account of this. At the same time some projects could get lucky – even without the structured processes (J)</p> <p>On institutionalizing change management (I)</p> <ol style="list-style-type: none"> 1. The change process should not be too destabilizing 2. There should be a strong rationale for change 3. A clear process for change should be in place 4. Institutional fatigue should be closely considered 5. Need to move on and get results 6. The approach needs to be tailored to the requirements of the organization 7. Through the People and Change Group <ol style="list-style-type: none"> a. mainstreaming and managing change b. ensuring the sustainability of the change c. institutionalizing change 8. the impact of the change needs to be thought in terms of <ol style="list-style-type: none"> a. the individual b. personnel across the organization c. Internal resources vs. consultants – process owners and developers from UNOPS <p>Other lessons (H)</p> <ol style="list-style-type: none"> 1. Know what was going to be impacted 2. If you use consultants – this is good but make sure they are anchored inside the organization 	

Review Question	Review Sub-Question	Sub-sub Question	Key Findings	Remarks
<i>(Adapted from overall Review Framework)</i>			<i>(After stating findings Indicate source by letter, corresponding to document list below)</i>	<i>(Include list of documents that may be applicable)</i>
			<p>3. Institutionalizing change – ability to do more quickly and effectively (J)</p> <p>Lessons on CM team structure (I)</p> <ol style="list-style-type: none"> 1. It does not help change management team/members are present in some divisions or group, it needs to be for the whole organization. If it's only in one group, there would be different cultures within an organization 2. Need to be careful about who is hired – people with specific skill set that can quickly become part of UNOPS – they need to be matched with people with hard technical skills 3. Issues with hiring consultants to manage change: <ol style="list-style-type: none"> a. At UNDP there were cases where models/plans were developed by consultants but they left without implementation. There was no ownership of those plans b. Need to know and need to invest in solutions – need emphasis in building solutions c. Outside consultants should be used only to offer technical advice d. They are also very expensive, leaving limited funds for the implementation or later stages 	
	6.3 What has the organization learnt from this process?	6.3.1 Would the organization run the process the same way again, or do things differently? If so, how?		

Document Key

Document	Document Title	Document Source
A.	Delivering successful ERP through well managed organizational change: UNOPS (2017)	UNSSC website
B.	Delivering successful change with enterprise resource planning (ERP) systems (2017)	UNSSC website
C.	LCR evaluation – training course survey (2016)	UNOPS
D.	Preliminary benefits realisation report – Gartner (2016)	UNOPS
E.	Usability Assessment results (2016)	UNOPS
F.	OneUNOPS usability and learning needs assessment (2017)	UNOPS

G.	BIIP Steering Committee Report	UNOPS
H.	Interview 1 notes 2018	JIU
I.	Interview 2 notes 2018	JIU
J.	Interview 3 notes 2018	JIU
K.	Change Facilitation Team – TOR	UNOPS
L.	Communication and Training strategy 2018 – not used for oneUNOPS	UNOPS
M.	UNOPS ICT Communication strategy and plan 2017 – not used for oneUNOPS	UNOPS
N.	Benefits realisation report on UNOPS ERP Implementation – Gartner 2018	UNOPS

25. UNRWA – Health Reform

Overall comments	<ul style="list-style-type: none"> The case summary was completed by JIU based on the information provided by UNRWA. On the ‘plan’, ‘implementation’ and ‘results’ of the change management process, we have noted information based on the discussion with the health department and the additional documentation. The documents provided give a good overview of the reform and its implementation. There does not appear to be a comprehensive change management process, but facets of change activities were found, such as the use of change agents and a tailored communication and engagement strategy.
Themes for consideration in JIU report	<ul style="list-style-type: none"> Change agents – FHT coordinators Communication strategy

Review Question	Review Sub-Question	Sub-sub Question	Key Findings	Remarks
<i>(Adapted from overall Review Framework)</i>			<i>(After stating findings Indicate source by letter, corresponding to document list below)</i>	<i>(Include list of documents that may be applicable)</i>
REFORM/INITIATIVE OVERVIEW				
1. Details of the organizational reform/initiative (The 'What' question – what the initiative and reasoning behind it was?)	1.1 A brief summary of the reform/initiative.	1.1.1 What is its purpose? What are the objectives?	The purpose of the reform was to modernize the Agency’s primary health services, making them more people centred, efficient and comprehensive (A; B.4) Main outcome – Health status improved (K.5) Outputs – Service improvement through reduction of doctor’s workload, utilization of appointment system as demand control – Improvement in the rational use of antibiotics (K.5)	
		1.1.2 When did it start? When did it end?	2011-2017 (A; G.14) Oct 2011 – pilots in two health centres in the Gaza Strip and Lebanon.	
		1.1.3 What are the key elements/sub-initiatives?	The health reform is composed of two simultaneously implemented initiatives that complement each other (C.13) 1. <u>Family Health Team approach</u> – ‘person centred primary health care (PHC) package focused on providing a comprehensive and holistic care for the entire family through a multidisciplinary team of health professionals in a community setting, close to the client’ (A; B.5) (2011-2015) 2. <u>E-health</u> – An electronic medical record system for primary health care, with all patient records in electronic format, accessible from multiple service delivery points within the clinic, and able to generate aggregate reports for management use (C.13). Joint	

Review Question	Review Sub-Question	Sub-sub Question	Key Findings	Remarks
<i>(Adapted from overall Review Framework)</i>			<i>(After stating findings Indicate source by letter, corresponding to document list below)</i>	<i>(Include list of documents that may be applicable)</i>
			<p>product between UNRWA's health department and the Information System's Division (ISD). (D.15) (2010- ongoing)</p> <p>The family health team package would have the following components: (B.6-8)</p> <ol style="list-style-type: none"> 1. An essential package of PHC services 2. Family health team development 3. Standardized lists of infrastructure, equipment, medicines and supplies 4. System of family folders and an improved health information system 5. Registration of families with family health teams 6. Implementation of an appointment system 7. Referral and feedback system 8. Strengthening of field office support category 9. Coordination with other sectors and partners 	
		1.1.4 When and by whom was it approved?	Approved by the Director of Health in 2011.	
		1.1.5 Was the reform evaluated? What were the achievements, results, and/or outcomes?	<p><u>A. FHT</u></p> <p>A preliminary assessment of the pilot in Lebanon and West Bank suggested that the FHTs had 'potential to reduce waiting times and improve the quality and efficiency of care'. (I.1)</p> <p>'Several assessments were conducted in health centres implementing FHT found a very positive response to the approach from both staff and patients point of view.' (D.12)</p> <ol style="list-style-type: none"> 1. Patients appreciated having a personal doctor for their and perceived the health centres to be more organized and less congested. (D.13) 2. Improvement in the quality of services were observed: <ol style="list-style-type: none"> a. Decrease in the average number of daily medical consultations per doctor b. An increase in consultation time c. A decrease in antibiotics prescription rates d. Maternal and child health indicators remained at high levels 	

Review Question	Review Sub-Question	Sub-sub Question	Key Findings	Remarks
<i>(Adapted from overall Review Framework)</i>			<i>(After stating findings Indicate source by letter, corresponding to document list below)</i>	<i>(Include list of documents that may be applicable)</i>
			<p>e. Screening activities for NCD were strengthened</p> <p>3. Client flow analysis, satisfaction surveys and focus group discussions and Participatory Ranking Method with clients and staff revealed clear perception of improvements in the relationship between clients and staff, better working environment and higher quality of care. (D.13)</p> <ul style="list-style-type: none"> - Very high overall rates of satisfaction (K.9) <p><u>B. E-Health</u></p> <p>‘The e-health system helped in reducing the workload of health staff, and is subsequently improving the quality of health services by avoiding wrong entry or incomplete entry of data, and proper monitoring. It also helped in decreasing the patient’s waiting time, in increasing the doctor’s-patients contact time, thereby in realizing the quality of evidence-based planning and management.’ (D.15)</p> <p>The e-health-based monitoring system, developed in 2012, was evaluated and results of the evaluation were published in an international peer-reviewed journal. (D.15)</p>	
	1.2 What were the underlying factors or drivers behind this reform/initiative?	1.2.1 What were the drivers? The causes of the initiative, generally an overarching, longer-term shift affecting how the organization operates.	<p>1. The demographic transition – expanding and ageing population mean greater burden to treat non-communicable diseases that require expensive long term medications as well as hospitalization (B.2)</p> <p>2. Financial crisis – the global financial crisis has negatively impacted donor funding (B.3)</p> <p>3. Health Programme Review (2009-10) – that listed a number of challenges and opportunities for strengthening UNRWA. One of the challenges listed that need to be addressed was ‘closed organizational culture’ and the need to actively engage in health policy discussions and negotiations with the host country. (B.3)</p>	
	Where distinct or additional to broader drivers of change, what specific events or triggers signalled the start? Each of these will affect the approach, speed, scope, resources and adoption of change management. They can be both	1.2.2 Was there a specific event that acted as a trigger to get it started? It may be internal or external. These might include funding depletion, reputational	No specific trigger noted besides the above drivers.	

Review Question	Review Sub-Question	Sub-sub Question	Key Findings	Remarks
<i>(Adapted from overall Review Framework)</i>			<i>(After stating findings Indicate source by letter, corresponding to document list below)</i>	<i>(Include list of documents that may be applicable)</i>
	expected or unexpected.	(fraud, mismanagement) or other.		
PLAN OF CHANGE MANAGEMENT PROCESS				
<p>2. Which change management approaches have been used in the <u>design</u> of the above reform or initiative?</p> <p>(The 'How' question on design – what did they set out to do?)</p>	2.1 Describe the design or plan for change management in the initiative?	2.1.1 What were the specific objectives of change management within the design of the initiative?	<p>The main objective was to modernize the health services that required a change in the current functioning of the health department. The following objectives of change management were mentioned:</p> <ol style="list-style-type: none"> 1. To have a people-centred approach (B.6) 2. To deal with the closed organizational culture (highlighted in the Health Programme Review) (B.3) 3. To foster a partnership between patients and the provider (B.6) 	
		2.1.2 Did the approach to change management draw from established practices (Kotter, McKinsey, PWC, UNLOCK etc) or not? If so, how?	No specific approach to change management.	
		<p>2.1.3 Was a specific plan prepared outlining the change management process(es)?</p> <p>Who prepared this plan – done internally or by an outside company? If external, please state who?</p>	<p>A 10 step process was outlined to implement the overall reform, which involved some change management elements (underlined):</p> <ol style="list-style-type: none"> 1. <u>Engage health staff</u> 2. <u>Conduct situation analysis</u> 3. Create Family Health Teams (doctor, nurse and midwife) 4. Define tasks of team members for each health centre staff member 5. Distribute families to FHT 6. <u>Prepare patients and community</u> 7. Remodel health centre 8. Distribute medical records 9. <u>Train health centre staff</u> 10. Introduce appointment system 	
	2.2 How did the triggers of the organizational reform or management initiative influence the	2.2.1 What effect, if any, did the drivers or triggers of the reform have on the objectives and plan for change management?	Shifting disease burden was an important and convincing example for the health staff.	

Review Question	Review Sub-Question	Sub-sub Question	Key Findings	Remarks
<i>(Adapted from overall Review Framework)</i>			<i>(After stating findings Indicate source by letter, corresponding to document list below)</i>	<i>(Include list of documents that may be applicable)</i>
	change management approach?			
IMPLEMENTATION OF CHANGE MANAGEMENT PROCESS				
3. How have the change management approaches been adopted/ adapted and implemented? (The 'How' question on implementation)	3.1 What was the scope – breadth and depth of the change process?	3.1.1 Was it system-wide, organization, department etc.	The reform was part of the Health Department. The E-Health initiative was a joint product between the health department and the Information System's Division (ISD). (D.15)	
	3.2 How was the change management process led?	3.2.1 Who led the change management process? Who was the owner/sponsor of the change? What is their position in relation to management?	The planning document notes the appointment of a project manager to coordinate the implementation of various processes and hiring of multiple communication experts (B.15). The change management processes like the trainings and workshops were led by the FHT coordinator and assisted by the chief of field health program- They were also identified as strong change agents as they themselves were members of the refugee population and had good communication with the refugees. (K.5)	
		3.2.2 Were consultants involved in implementation? If so, in what role?	The change was carried out by in-house staff, no external support was used.	
		3.2.3 What was the size of the team? Where was the CM team located?	Two people with additional support staff depending on the coverage area.	
		3.2.4 Is there an institutionalized function for change management in the organization or was the function time-bound for this specific initiative? <u>If yes, please include information in question 7 as well.</u>	There was no specific change management function but teams were set up for trainings and communication.	
		3.2.5 What mechanisms were put in place to oversee the change management	<ul style="list-style-type: none"> - The director of health and his office was responsible for the oversight of the reform. - Department of Internal Oversight Services. 	

Review Question	Review Sub-Question	Sub-sub Question	Key Findings	Remarks
<i>(Adapted from overall Review Framework)</i>			<i>(After stating findings Indicate source by letter, corresponding to document list below)</i>	<i>(Include list of documents that may be applicable)</i>
		process? Did it include the head of organization, the governing body, just senior managers, or other? What role was played by each?	- External evaluations were done by researchers from Columbia University and some support was provided by DFID.	
	3.3 How was the change management process structured?	3.3.1 Did the process have a definitive start and end?	Same as the reform	
		3.3.2 How long did it last?	Same as the reform	
	3.4 How was it implemented?	3.4.1 Describe the implementation process (refer to the plan in 2.1.3)	<ol style="list-style-type: none"> 1. Technical preparation and training (B.10) 2. Teamwork preparation and training (B.10) 3. Reorganize health facility teams and services (B.11) 4. Develop and implement communication packages (B11) <p>The trainings would be carried out through a training of trainers' approach (B.14)</p>	
		3.4.2 What communication mechanisms were used?	<p><u>Beneficiaries:</u> During the pilot the change was communicated through poster, brochures, Friendship Committees, community outreach activities in mosques, kindergartens and Women's Centres. (C.14)</p> <p>Regular meetings with stakeholders to introduce the concept of FHT. Meeting with school principles to raise awareness about the approach.</p> <p><u>Staff:</u> Internal communications were led by the chief family health team coordinator. Workshops were held with staff members to communicate the new approach.</p> <p>The four key stakeholders were: Palestine refugees (beneficiaries), UNRWA staff (30000 in total, with three thousand in health), host governments and donors. (K.5)</p> <p>Tailored communication:</p> <ol style="list-style-type: none"> 1. Envisioning of "Fatima", a fictional refugee woman and her family to explain the family health team approach 	

Review Question	Review Sub-Question	Sub-sub Question	Key Findings	Remarks
<i>(Adapted from overall Review Framework)</i>			<i>(After stating findings Indicate source by letter, corresponding to document list below)</i>	<i>(Include list of documents that may be applicable)</i>
			2. Translated FHT to Arabic carefully, health and family have important notions within the Palestinian culture. (K.5)	
		3.4.3 How was the change initially framed and presented to staff?	There was initial resistance from staff members on hearing about the approach. This was overcome through workshops and trainings held by the FHT coordinator.	
	3.5 How much reflexive learning took place during the process? Was it evaluated during or after?	3.5.1 What learning and adaptive management processes were put in place during or after the CM process? (please specify when put in place in relation to the process)	There were no specific mechanisms put in place but the communication strategy and the trainings evolved based on the feedback from the staff members at the health centres and patients.	
4. What have been the resource implications of change management?	4.1 How was the CM budgeted?	4.1.1 What was the source of financing- core resources/XB. Implications.	The source of funding for the change management processes was same as that for the reform and was based on funding from USAID and Japan.	
	4.2 What were the major cost elements and actual costs (where available)?	4.2.1 What were the cost elements – financial, human (non-financial), etc? (Actual cost breakdown if possible to estimate)	No breakdown possible as the trainings and other processes related change management were taken up internally by the existing staff members.	
RESULTS OF CHANGE MANAGEMENT PROCESS				
5. What are the results and critical success factors of the change process or approach?	5.1 What were the results of the change process? <i>(Is there evidence of sustainability of these changes? What is the degree to which organization is working differently and people are behaving differently? Degrees of result or proxies around these include</i>	5.1.1 What were the <u>short-term</u> outputs? How were they assessed?	<ul style="list-style-type: none"> - ‘Staff also expressed improved professional satisfaction that resulted from having responsibility for the comprehensive health care of patients registered with their teams, as well as the opportunity to build relationships with patients over time.’ (D.13) - Patients appreciated having a personal doctor for their and perceived the health centres to be more organized and less congested. (D.13) <p>The assessments were made based on client flow analysis, satisfaction surveys and focus group discussions and Participatory Ranking Method with clients and staff. (D.13)</p>	
		5.1.2 What were the <u>intermediate or long</u> outcomes? How were they	Number of medical consultations, improvement in definition of accountability, shared workload, better patient=provider relationship	

Review Question	Review Sub-Question	Sub-sub Question	Key Findings	Remarks
<i>(Adapted from overall Review Framework)</i>			<i>(After stating findings Indicate source by letter, corresponding to document list below)</i>	<i>(Include list of documents that may be applicable)</i>
	<i>cost reduction (staff and non-staff); service levels; reduced risks; behavioural changes; improved collaboration etc.)</i>	assessed? Did they bring about the desired transformation? (linked back to objectives in 2.1.1)		
	5.2 How did the process affect the results?	5.2.1 How did the change management results contributed to the reform results or outcomes and in what way? What is the value-add of the structured process, where used?	Indicators helped visualized the impact of the reform process, which motivated to staff to move forward in the process.	
LESSONS FROM CHANGE MANAGEMENT PROCESS				
6. What lessons can be derived to guide future change management initiatives?	6.1 What are considered critical factors +/-	6.1.1 What do those involved, and those affected considered critical factors in success/ failure of the change management process?	Overcoming the resistance from staff was a critical factor.	
	6.2 What positive features identified are transferable or scalable, which are not and why?	6.2.1 What features seem to be key to a successful CM process?	The communication mechanisms were critical for the uptake and implementation of the FHT approach.	
		6.2.2 How unique are these to the context in which they were implemented?	The context is extremely unique due to the political landscape of UNRWA operations.	
		6.2.3 What generalizable lessons can be identified?		
	6.3 What has the organization learnt from this process?	6.3.1 Would the organization run the process the same way again, or do things differently? If so, how?		

Change Management Functions in the Organization

If information on organizational level change management initiatives is found while reading through documents, please note details/findings below

Review Question	Review Sub-Question	Additional Description	Key Findings	Gaps and Questions
7. To what extent have change management functions been institutionalized?	7.1 Does the Participating Organization (PO) have a Change Management function – formalized or otherwise?	7.1.1 Is there a team – time-bound or fixed – working on CM across multiple initiatives (i.e. beyond a single time-bound change process)?	No specific change management function or team identified. Members of the implementation team were also responsible for the change management processes. The team varied across regions of operation.	
	7.2 What are its objectives?	7.2.1 How was it established? When? What is its purpose? How sustainable is it?		
	7.3 How is it structured, staffed and funded?	7.3.1 How many staff, and at what grades? Who does it report to? How is it funded and to what levels?		

Document Key

Document	Document Title	Document Source
A.	Email from UNRWA with links to other documents	UNRWA
B.	Health Reform Strategy 2011	UNRWA
C.	Health Department Annual Report 2012	UNRWA
D.	Health Department Annual Report 2013	UNRWA
E.	Health Department Annual Report 2014	UNRWA
F.	Health Department Annual Report 2015	UNRWA
G.	Health Department Annual Report 2016	UNRWA
H.	Health Department Annual Report 2017	UNRWA
I.	Implementing the Family Health Team approach in UNRWA clinics	UNRWA
J.	UNRWA's e-health for 5 million Palestine refugees in the Near East 2018	UNRWA
K.	Governing Health Systems 2015	UNRWA

26. UNRWA – Education Reform

Overall comments	<ul style="list-style-type: none"> The case summary was completed by JIU and substantial information was provided by the Education department at UNRWA. The information provides a good overview of the reform and its implementation. There are elements of change management with substantial information on results and lessons that can be used to draw upon.
Themes for consideration in JIU report	<ul style="list-style-type: none"> Role of leadership Participatory planning approach Stakeholder engagement

Review Question	Review Sub-Question	Sub-sub Question	Key Findings	Remarks
<i>(Adapted from overall Review Framework)</i>			<i>(After stating findings Indicate source by letter, corresponding to document list below)</i>	<i>(Include list of documents that may be applicable)</i>
REFORM/INITIATIVE OVERVIEW				
1. Details of the organizational reform/initiative (The 'What' question – what the initiative and reasoning behind it was?)	1.1 A brief summary of the reform/initiative.	1.1.1 What is its purpose? What are the objectives?	<p>1.1.1. The education programme is aligned with the overall UNRWA vision:</p> <p>“For every Palestine refugee to enjoy the best possible standards of human development especially attaining his or her full potential individually and as a family and community member; being an active and productive participant in socio-economic and cultural life and feeling assured that his or her rights are being defended, protected and preserved” (A. 44,45).</p> <p>The purpose</p> <p>The purpose of the reform is on education as providing the means to achieve this overall vision, but with the concept of ‘human development’ and ‘attainment of full potential’ reflecting a more holistic perspective on quality education system (A.45)</p> <p>The vision of the reform was ‘An UNRWA education system which develops the full potential of Palestine refugees to enable them to be confident, innovative, questioning, thoughtful, tolerant and open minded, upholding human values and religious tolerance, proud of their Palestinian identity and contributing positively to the development of their society and the global community.</p>	

Review Question	Review Sub-Question	Sub-sub Question	Key Findings	Remarks
<i>(Adapted from overall Review Framework)</i>			<i>(After stating findings Indicate source by letter, corresponding to document list below)</i>	<i>(Include list of documents that may be applicable)</i>
			<p>Objectives of for the reform are the eight Outcomes, written in that genre, with a number of Outputs to achieve each outcome, as follows:</p> <ol style="list-style-type: none"> 1. Professional, qualified and motivated teaching force and empowered school ins place; 2. Equal access for all children to quality education, regardless of gender, abilities, disabilities, health conditions and socio economic status; 3. Relevant and quality TVET structure and programmes in place; 4. Curricular to support holistic approach to learning and personal development strengthened; 5. Evidence based policy making and informed decision making at all levels in place; 6. Effective educational governance system at all levels in place; 7. Education programme planning and management strengthened; 8. Partnerships, communication and use of educational ICTs strengthened; 	
		1.1.2 When did it start? When did it end?	1.1.2 The Education Reform Strategy covered the period 2011-2015 (Q) but the Reform is systemic, and will continue to be embedded, sustained and enriched through the current Medium Term Strategy (2016-21) and beyond.	
		1.1.3 What are the key elements/sub-initiatives?	<p>1.1.3 The reform was systemic with eight key areas of focus: four <u>substantive</u> areas and four <u>support</u> areas. In each substantive area achievements were targeted to be at three levels, Policy, Strategy/Structures, Capacity Development:</p> <ul style="list-style-type: none"> - Teacher Development and School Empowerment (Teacher Policy 2013) - Inclusive Education (Inclusive Education Policy 2013) - Technical and Vocational Training and Youth and - Curriculum and Student Assessment (including Human Rights, Conflict Resolution and Tolerance Education – HRCRT Policy 2012) <p>The four <u>support</u> areas (supporting programme delivery) are as follows:</p>	

Review Question	Review Sub-Question	Sub-sub Question	Key Findings	Remarks
<i>(Adapted from overall Review Framework)</i>			<i>(After stating findings Indicate source by letter, corresponding to document list below)</i>	<i>(Include list of documents that may be applicable)</i>
			<ul style="list-style-type: none"> - Research, Development and Educational Management Information System (EMIS) - Governance and Administration - Strategic Planning, Management and Projects; and - Partnerships, Communication and ICTs (All from A.46) Each of these areas of focus stated as an Outcome in the Education Reform Strategy and reflected in the LogFrame as such, with related Outputs and ‘activities’ at the three levels (as above) to achieve the Output.	
		1.1.4 When and by whom was it approved?	1.1.4. The Education Reform Strategy was formally endorsed by the Commissioner General, the UNRWA Management Team and the Advisory Committee (donors and Hosts) in 2011.	
		1.1.5 Was the reform evaluated? What were the achievements, results, and/or outcomes?	1.1.5. The reform has not been formally evaluated as such, but the measurement of its achievements was carried out regularly and rigorously through Indicators in the Common Monitoring Framework. <ul style="list-style-type: none"> - Indicators measured and reflected in the final report on the education reform looked at student dropout rates, student survival and student achievement – and here there have been gains across all (Q.1) - Across multiple dimensions the overall the outcomes related to education has led to improvements in the reform period 2012-2016– as in the harmonized results report (R,S,T,U,V) and the Reform Reports. Continued improvements against key indicators, in the 2017 and 2018 Annual Operational Report - Monitoring of Learning Achievements (MLA) Agency-wide ‘test’ 2016 show an increase in student mean scores (Q.1), but also in their Grade Performance levels, and a crucial narrowing of equity gap, and better achievement in Higher Order Thinking Skills. - The reform improved the overall cost efficiency of the education programme. The final Education Reform Report (2015) reported that coefficient of internal efficiency was at its highest since the Reform began (0.91). This means that the UNRWA education system became 	

Review Question	Review Sub-Question	Sub-sub Question	Key Findings	Remarks
<i>(Adapted from overall Review Framework)</i>			<i>(After stating findings Indicate source by letter, corresponding to document list below)</i>	<i>(Include list of documents that may be applicable)</i>
	<p>1.2 What were the underlying factors or drivers behind this reform/initiative?</p> <p>Where distinct or additional to broader drivers of change, what specific events or triggers signalled the start? Each of these will affect the approach, speed, scope, resources and adoption of change management. They can be both expected or unexpected.</p>	1.2.1 What were the drivers? The causes of the initiative, generally an overarching, longer-term shift affecting how the organization operates.	<p>more efficient with more students graduating on time; this exceeds the reform target of 0.90. Efficiency has improved further since that date.</p> <p>1.2.1. A comprehensive Education review by independent consultancy company - Universalia (A.27)</p> <ul style="list-style-type: none"> - The implications for the education programme of the Organisation Development (OD) process, which had been undertaken by UNRWA from 2006 onwards called for a different relationship between the Fields and the Headquarters, with a strategic direction provided by the latter. The Universalia review was critical of the education programme broadly for its management and pedagogic model, and the role of the education Headquarters with regard to strategic direction (2009/10). - Parental and community perception – anecdotal – that the education programme had declined in quality and that reform was needed. - Donor requests and priorities (A.14) 	
		1.2.2 Was there a specific event that acted as a trigger to get it started? It may be internal or external. These might include funding depletion, reputational (fraud, mismanagement) or other.	<p>1.2.2 In addition to the above, the recruitment of a new (UNESCO employed) Director of Education (Dr Caroline Pontefract) who was tasked with driving a reform.</p> <p>The reform sought to reflect on and build upon established practices and staff expertise and understanding, established roles, and programmes, and not to assume a tabula rasa approach.</p>	

Review Question	Review Sub-Question	Sub-sub Question	Key Findings	Remarks
<i>(Adapted from overall Review Framework)</i>			<i>(After stating findings Indicate source by letter, corresponding to document list below)</i>	<i>(Include list of documents that may be applicable)</i>
PLAN OF CHANGE MANAGEMENT PROCESS				
2. Which change management approaches have been used in the <u>design</u> of the above reform or initiative? (The 'How' question on design – what did they set out to do?)	2.1 Describe the design or plan for change management in the initiative?	2.1.1 What were the specific objectives of change management within the design of the initiative? Examples of specific objectives <ul style="list-style-type: none"> - Behaviour change to facilitate fuller adoption of new technology (e.g. UMOJA) - Empowerment of all staff to increase adoption of new policy - Improve communication of new roles and responsibilities - Enhance openness and transparency as part of an effort to increase accountability culture in an organization 	2.1.1 <ul style="list-style-type: none"> - Active engagement in ensuring a meaningful, contextualised implementation process. (A.62) - Strategic coherence of educational programme delivery. (A.63) - Changing the way in which teachers interact with their learners (A.64) - Changing the relationship within the education structures in the Field from supervisory to professional support. - Changing the relationship between the HQA Education Department and the Field Education programmes, to one of shared vision, and clear complementary roles and responsibilities. <p>Factors mentioned as key factors for sustainability:</p> <ul style="list-style-type: none"> - UNRWA sustaining change is accepted, supported and endorsed by all key stakeholders in all technical and financial aspects - A well-articulated UNRWA Education Reform Strategy including its core investment programmes - Pedagogic and organizational improvements are actively endorsed by GQ and Field offices - Direct service delivery education staff such as teachers and support staff are engaged in the reform process with clear roles and responsibilities - The success and sustainability of the reform outputs will depend substantially on the capacity and motivation of staff at all levels - Supportive local community will be crucial and here the programme's advocacy and communication strategy will play a key role - High quality, appropriate and feasible interventions in the education programme reform (A.68) 	
		2.1.2 Did the approach to change management draw from established practices (Kotter, McKinsey, PWC,	2.1.2 Yes from studies on educational change requiring systemic change (GIZ, IIEP); from the Director's own quite long experience of working in development – with DFID, African Development Bank and UNESCO with regard to change processes.	

Review Question	Review Sub-Question	Sub-sub Question	Key Findings	Remarks
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		UNLOCK etc) or not? If so, how?		
		2.1.3 Was a specific plan prepared outlining the change management process(es)?	2.1.3 Yes, the Education Reform Strategy was itself the plan outlining the change management process, this is explicitly stated in the Education Reform Strategy as is the engagement and evolving roles and responsibilities of the different cadres.	
		Who prepared this plan – done internally or by an outside company? If external, please state who?	<p>The Education Reform Strategy was produced over the period August 2010 to March 2011, led by the DE. It reflects the inputs and discussions of the UNRWA five Fields of operations from three Reform Strategy Workshops. The Workshops involved key stakeholders from all the Fields, including Deputy Directors, Chiefs of Education, Heads of EDCs, Deans of ESFs and other representatives from Field and Area level, as well as those from Human Resources and PCSU, HQ (Amman)</p> <p>Through the Education Reform key focus areas key were elaborated in policies (Teacher Policy, Inclusive Education Policy and HRCRT Policy) and then concretely translated into plans in the form of strategies (e.g. Inclusive Education Strategy).</p> <p>Annual Reform Implementation Plans were developed. The reform outcomes and outputs were also used to guide the development of the Gantt charts of each Education HQ Department and Field planning documents (HIPs/ FIPs, now ASRPs).</p> <p>Education Reform policies and strategies were developed in a similarly participatory process as the Education Reform Strategy itself, with the engagement of all education stakeholders and other programmes as needed, e.g. Protection for the Inclusive Education Policy and Strategy. This engagement was key to the change management process.</p>	
	2.2 How did the triggers of the organizational reform	2.2.1 What effect, if any, did the drivers or triggers of the reform have on the	2.2.1 The need to ensure that the Education programme aligned with the structures and responsibilities of the Fields and HQ was itself a challenge at times, with regards to the autonomy of the Field which	

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	or management initiative influence the change management approach?	objectives and plan for change management?	<p>had been a result of the OD process (although the OD process documentation describes quite clearly that OD was not about decentralisation but about complementarity in roles and responsibilities).</p> <p>Another trigger here, i.e. the HQ Education had not been providing strategic direction, meant that Policies, Strategies and Frameworks which were developed (always with all Fields and relevant Departments engaged) were not the norm in UNRWA and therefore there was some 'wariness' of this documentation at the higher levels. This was particularly with regard to fears that such documentation may have financial implications that, as a resource constrained Agency, we might be tied to.</p>	
IMPLEMENTATION OF CHANGE MANAGEMENT PROCESS				
3. How have the change management approaches been adopted/ adapted and implemented? (The 'How' question on implementation)	3.1 What was the scope – breadth and depth of the change process?	3.1.1 Was it system-wide, organization, department etc.	3.1.1. It was System wide, with the education programme playing a central role, but also there was education initiated system wide engagement of Protection, Legal, Health and Planning Departments.	
	3.2 How was the change management process led?	3.2.1 Who led the change management process? Who was the owner/sponsor of the change? What is their position in relation to management?	<p>3.2.1. The Director of Education, HQ A based, led the process and quality assured throughout. Key roles and functions for the change management process, with regard to the eight reform areas, were distributed across the Education Department, with its restructuring of Eight Units to reflect the eight elements of the reform.</p> <p>The Fields led on the overall contextualisation of the programmes, i.e. in terms of delivery modalities and used existing structures to implement. (The DE is a UNESCO funded staff member, and a member of the SMT in UNESCO, but crucially an UNRWA focused/placed Director, answerable to the Commissioner General and a member of his/her management team).</p> <p>In the change process all cadres had clear roles and responsibilities – from the HQ staff, to the Chief of the Field to the Area Education Officers, to the Education Specialists, to the School Principals to the teachers and School Counsellors to the parents and wider community. This engagement and responsibility was key to the change management process.</p>	

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		3.2.2 Were consultants involved in implementation? If so, in what role?	<p>3.2.2 But for the development of substance areas there was technical expertise sought from individual international consultants – hired as individuals throughout – in specific areas. The way in which the consultants worked was very key – this was alongside the Education team (which was always Agency wide), jointly facilitating workshops with the DE or others towards very tangible deliverables. In this way capacity of UNRWA staff was built, whilst deliverables were produced. Main areas of individual technical expertise were: Teacher Policy, Teacher Development, School Leadership, Human Rights education, Monitoring and Evaluation, Research Strategy and Research Studies, Curriculum Framework and Student Assessment were the main areas of technical support.</p> <p>All consultancies and their outputs were managed by the Education Department who themselves held the reins of the design and development and production of all deliverables.</p> <p>The overall implementation of the reform was led by the DE, the HQ education team and the Directors of the Fields and crucially the Fields' education cadre.</p>	
		3.2.3 What was the size of the team? Where was the CM team located?	3.2.3 As above, the change management process was led by the DE, but with the full participation and ownership of the Field Education Programmes from the very beginning of the design of the Education Reform Strategy and at all stages of implementation. All Field staff from the Chief Field Education Programme to Strategic Support Unit Heads and Coordinators, Heads of Education Development Centres, Area Education Officers, Education Specialists, School Principals, School Counsellors and teachers played key roles in the implementation of the Education Reform.	
		3.2.4 Is there an institutionalized function for change management in the organization or was the function time-bound for this specific initiative?	<p>No.</p> <p>The Education reform experience of reform did contribute to the overall Agency approach; most particularly with regard to engagement of stakeholders and accountability/enhanced rigour of planning and reporting, which has been led by planning (working the latter with the Department of Planning).</p>	

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<i>(Adapted from overall Review Framework)</i>			<i>(After stating findings Indicate source by letter, corresponding to document list below)</i>	<i>(Include list of documents that may be applicable)</i>
		3.2.5 What mechanisms were put in place to oversee the change management process? Did it include the head of organization, the governing body, just senior managers, or other? What role was played by each?	<p>3.2.5</p> <ul style="list-style-type: none"> - Reporting against CMF indicators aligned with Reform outcomes and outputs, including through Harmonised Results Reports on the programme and departmental reporting. These have evolved in to the Annual Operational Report (AOR) and include reporting on the Emergency Appeals; the AOR will continue through the current Medium Term Strategy (2016-21) - Education Reform Progress Reports (2012, 2013 and 2014) and Final Education Reform Report (2015) - Education Reform Strategy indicators in Log Frame - Monthly Field Education Programme reports to HQ - Activity Monitoring Reports (monthly reporting at the activity level during the first few years of implementation of the Reform e.g. number of staff trained on School Based Teacher Development, HRCRT Toolkit etc.) 	
	3.3 How was the change management process structured?	3.3.1 Did the process have a definitive start and end?	3.3.1. Yes, the Education Reform Strategy (ERS) begun officially 2011 and ran to 2015. However, the development of the Strategy, the restructuring of the department and the beginning of the development of deliverables took place in 2010. The ERS continued to be implemented into 2016 and then its policies, principles, practices, and some programmes were embedded in the UNRWA 2016-21 Medium Term Strategy (MTS).	
		3.3.2 How long did it last?	3.3.2 The funds lasted until 2015 end of year, but as below the reform itself continues to be embedded, sustained and built upon to date in 2018.	
	3.4 How was it implemented?	3.4.1 Describe the implementation process (refer to the plan in 2.1.3)	<p>Each substantive and support area of the reform activities included an Outcome, Outputs, Activities and a plan for management, partnerships, cross-cutting issues etc.</p> <ul style="list-style-type: none"> - For each substantive and support area of the reform a unit was established in HQA to lead on that reform component (requiring a restructuring of the Education Department). Each unit structured its planning (Gantt charts) and day to day work around achieving the Outcome and Outputs for its reform area, and led on spearheading this reform component in collaboration with the Fields. - At the Field level the professional support structure was enhanced to ensure more effective strategic and operational support to schools 	

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			<p>and teachers. Here, in each Field three Strategic Support Units were put in place through the Teacher Policy; these were a Quality Assurance Unit, Assessment Unit and Professional Development and Curriculum Unit in each Field.</p> <ul style="list-style-type: none"> - The Strategic Support Units play key role in leading and supporting the needed change to successfully implement, support, and sustain the principles, practices, and programmes of the Education Reform in the Fields. - Other structures were put in place or strengthened at the school level. For example, through the Inclusive Education Policy and Strategy, a Student Support Teams was established at the school level to provide support to children with additional learning, health or psychosocial needs, and disabilities. - School Parliaments were also strengthened in all schools, and at the area, Field and Agency levels, as part of the Human Rights, Conflict Resolution and Tolerance Programme. 	
		3.4.2 What communication mechanisms were used?	<ul style="list-style-type: none"> - Detailed reports of every workshop/forum related to the reform strands/programmes were produced and circulated to all HQ education staff and Fields - Fields provided monthly Activity Monitoring Reports to HQ during the first few years of the implementation of the reform – Fields continue now to provide monthly reports to HQ on their education programmes more broadly - Regular reports by the DE to UNRWA management on the reform and the implementation process - Chiefs of Education communication and engagement at the strategic level with regard to each key programmatic area - Education Reform newsletter - Press Releases on key reform achievements 	
		3.4.3 How was the change initially framed and presented to staff?	<p>3.4.1.</p> <ul style="list-style-type: none"> - It was not presented to the Education Staff as such, as they were engaged fully from the onset in determining what change was needed, based on the Universalia report and their own experiences. 	

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			<ul style="list-style-type: none"> - The staff worked together to develop a vision, a strategy with a goal and outputs also engaged the staff, with HQ Education Department playing a key (facilitated by the DE) role in the design of the ERS. - It was presented to the Management of UNRWA at various management meetings, plus short papers, and updates. - A Newsletter was produced for wide distribution across the Fields, and this gave a full update in both English and Arabic on the Reform progress. - Other presentations and inputs were given informally to all staff throughout, including UNRWA Induction, the DIOS Advisory Committee, other organisations etc. - The change process was emphasised at the beginning of every Education forum or workshop, i.e. the whole picture of the reform was given each time, in order to place the specifics of that forum or workshop within the overall reform and change management process. - Similarly, every communication to Fields e.g. for invitations for staff to be engaged in various developmental forum or workshop always showed how the forum or workshop related to the bigger reform change management process/agenda. 	
	3.5 How much reflexive learning took place during the process? Was it evaluated during or after?	3.5.1 What learning and adaptive management processes were put in place during or after the CM process? (please specify when put in place in relation to the process)	All reform policies, strategies and capacity development programmes were developed with HQ and Field education staff to enable a rigorous loop of engagement during the development process. Capacity development programmes were rigorously piloted and pre-tested with feedback from participants was also collected. New approaches, combining qualitative and quantitative data were developed, for example the Classroom Observation Study, Perceptual Survey and Monitoring Learning Achievement assessment.	
4. What have been the resource implications of	4.1 How was the CM budgeted?	4.1.1 What was the source of financing- core resources/XB. Implications.	4.1.1. Key donors for the overall reform were the Swiss Development Cooperation (\$2m), the French Government for the Education	

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change management?			Management Information System (EMIS) (\$2m) and Irish Aid for Research Strategy (\$200,000?) (Q.2)	
	4.2 What were the major cost elements and actual costs (where available)?	4.2.1 What were the cost elements – financial, human (non-financial), etc? (Actual cost breakdown if possible to estimate)	<p>The reform was mainly funded by the \$2-million-dollar Swiss Development Cooperation (SDC) project, ‘Implementation of UNRWA’s Education Reform Strategy’, which was finalized in December 2015 with all funds having been spent.</p> <p>The French Government provided \$2 million funding specifically for the Agency-wide Education Management Information System (EMIS).</p> <p>There was also key support from Irish Aid in the early phase of the Reform, namely for the development of the research strategy and then the subsequent Agency-wide research into classroom practices and reasons for student dropout, and some internal budget savings (staff savings) were also used in the early stages.</p> <p>The ongoing support of the United States Bureau of Population, Refugees, and Migration (BPRM) (USA) for Human Rights, Conflict Resolution and Tolerance (HRCRT) education has enabled the HQ Education Department to strengthen the existing programme – in line with the overall Education Reform, through the development and implementation of an HRCRT Policy, Strategy and Teacher Toolkit, as well as specific support to strengthening School Parliaments – with a culture of human rights, non-violent conflict resolution and tolerance now firmly in place in UNRWA schools.</p> <p>There has also been support to Inclusive Education, and since 2014 support from GIZ (Deutsche Gesellschaft für Internationale Zusammenarbeit) to strengthen psychosocial support provided to children. Funds were also received from Diakonia/NAD (and NGO) for inclusive education advocacy and awareness-raising activities.</p> <p>With regard to recurrent costs, the main cost is the sustained implementation of the Teacher Policy, which seeks to enhance the professionalization of the teaching and learning in the classroom –</p>	

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			through motivating and supporting teachers' professional development, ensuring appropriate education support at all levels. Its implementation however enables a much more effective deployment of the current teaching and educational support staff.	
RESULTS OF CHANGE MANAGEMENT PROCESS				
5. What are the results and critical success factors of the change process or approach?	5.1 What were the results of the change process? <i>(Is there evidence of sustainability of these changes? What is the degree to which organization is working differently and people are behaving differently? Degrees of result or proxies around these include cost reduction (staff and non-staff); service levels; reduced risks; behavioural changes; improved collaboration etc.)</i>	5.1.1 What were the <u>short-term</u> outputs? How were they assessed? Examples of outputs (effective implementation of CM processes) <ul style="list-style-type: none"> - Implementation of standards and practices - Staff being able to apply new work practices - 	The outputs for each substantive and support reform area were outlined in the Education Reform Strategy. For example, for <u>Inclusive Education</u> , the outputs were as follows. Output 1 Inclusive Education Policy and framework in place, Output 2 Systems to identify and respond to diverse needs of children strengthened, Output 3 Gender equity enhanced, Output 4 Healthy school environment supported, and Output 5 Psychosocial needs of children identified and addressed. These outputs were further broken down into specific actions/activities in the annual Reform Implementation Plans, each of the HQ Units Gantt charts and in the Field Education Programmes' annual plans (HIPs/FIPs – now ASRPs). These activities could then be assessed, and their contribution to the Output and thus to the Outcomes considered throughout.	
		5.1.2 What were the <u>intermediate or long</u> outcomes? How were they assessed? Did they bring about the desired transformation? (linked back to objectives in 2.1.1) Examples of specifically change management outcomes (changes in practice and behaviour) <ul style="list-style-type: none"> - Defined improvements in 	The achievements of the reform within the reform period are noted in the 2016 Reform Report. However, they continue to be monitored through the regular reporting systems of the Agency, through the Annual Operational Report and the report of 2018 (which for education looks at the academic year of 2016/17, showed continued progress – and this is despite the challenges the Agency has faced – conflict, politically and financially. The latest reports on achievement show: More children achieving at a higher level in Arabic and Maths, with highest achievement in Syria despite the conflict (Evidence: Monitoring Learning Achievement (MLA) results 2013/16) - Overall more children achieved at or above their grade level in Grade 4 and 8 Arabic and Maths in 2016 compared with 2013	

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		<p>accountability as a consequence of redefined and communicated roles and responsibilities</p> <ul style="list-style-type: none"> - Staff satisfaction levels - Client satisfaction levels 	<p>- Overall there was improvement in almost all content domains and cognitive levels (content domains refer to areas of Arabic and Maths, such as Geometry or Grammar, whilst cognitive levels refer to Knowing, Applying and Higher Order Thinking Skills)</p> <p>More children thinking critically (Evidence: Monitoring Learning Achievement (MLA) results 2013/16)</p> <p>- Overall there was improvement in almost all cognitive levels between the 2013 and 2016 MLAs (cognitive levels refer to Knowing, Applying and Higher Order Thinking Skills)</p> <p>More children expected to reach the last grade of the basic education cycle compared to 8 years ago (Evidence: Survival rate data)</p> <p>- 93.6% of boys and 96.3% of girls completed basic education in 2016/17 (compared to 89% and 94.1% respectively before the Reform in 2010/11)</p> <p>More children are receiving human rights, conflict resolution and tolerance education and taking part in elected School Parliaments</p> <p>More children having a positive perceptions of overall school environment and teaching practices (Evidence: Perceptual Survey findings 2013/16)</p> <p>- Overall stakeholders (students, teachers and School Principals) have more positive perceptions of UNRWA education in 2016 than in 2013. This success can hopefully be attributed to the Education Reform and its emphasis on enhancing the quality of learning through a coherent and integrated approach, as well as the commitment at the Field level.</p> <p>- 77% of survey responses were positive. In particular students and staff were positive about teaching practices in UNRWA schools, including human rights education and inclusive education practices, and about the overall safety and supportiveness of the environment in UNRWA schools.</p>	

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<i>(Adapted from overall Review Framework)</i>			<i>(After stating findings Indicate source by letter, corresponding to document list below)</i>	<i>(Include list of documents that may be applicable)</i>
			<p>- Students, teachers and School Principals in Gaza, Jordan and Syria are more positive towards the education service in 2016, both overall and with regards to the majority of subscales, and UNRWA's staff should be congratulated on this achievement.</p> <p>More trained teachers and more ongoing professional support</p> <p>More community engagement in supporting children's education (Parent-Teacher Associations in every school)</p> <p>More equitable education – two dimensions:</p> <p>1. Gender parity in access to education</p> <p>2. Increasing equity in student learning outcomes - closing the performance gap by reducing the number of children not achieving what is expected for their grade level (Evidence: Monitoring Learning Achievement (MLA) results 2013/16)</p> <p>- Overall the percentage of children at the Not Achieved level has decreased in Grade 4 Arabic and Maths, and Grade 8 Maths.</p> <p>Efficiency over the course of the Education Reform are due to reduced number of teachers (Evidence: Estimated savings from reduced number of teachers/increased class sizes)</p> <p>- If UNRWA had maintained the pre-Reform (2010/11) pupil-teacher ratio it would have required an additional 746 teachers. This represents a saving of \$8.5 million over the period 2010/11 – 2017/18.</p> <p>- Based on the class section ratios needed to maintain the average pre-Reform class size the saving is estimated at \$12.5 million over the period 2011/12 – 2017/18.</p> <p>Reduced cost per student (Evidence: Estimated savings from reduced number of teachers/increased class sizes)</p> <p>- The direct input cost per student was \$771.9 in 2013/14, falling to 769.37 in 2014/15 and rising to \$802 in 2015/16.</p> <p>Improved achievement despite larger class sizes representing true efficiency (Evidence: Reduction in class size at the same time as</p>	

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			<p>overall improvement in achievement in Grade 4 and Grade 8 Arabic and Maths (see MLA results above))</p> <p>- Average class size has increased from 36.28 in 2010/11 to 37.80 in 2017/18.</p> <p>It is however crucial that the reform principles, practices and policies continue to be embedded, sustained and built upon through the MTS period. This is reflected in the MTS and Education department works with the Fields and plans accordingly. The system is constantly strengthened through review, capacity development, but whilst emphasising the overall stability of the system, and working just to ensure that all the dots join up and everything – policies, strategies, programmes and structures - is functioning to its maximum intended impact. The challenges of the funding deficit in so doing, however, have to be acknowledged.</p>	
	5.2 How did the process affect the results?	<p>5.2.1 How did the change management results contributed to the reform results or outcomes and in what way?</p> <p>What is the value-add of the structured process, where used?</p>	<p>The value added of the structured process was:</p> <p>(i). The complete engagement of the Field education cadre and community, and other departments to some extent, in the design, and implementation of the reform.</p> <p>(ii) The systemic approach of the Education Reform reflected global evidence that educational reform cannot be achieved by concentrating on one element only, as articulated in the call to “strengthen education systems” (World Bank, 2010) and to “promote education in a holistic manner” (BMZ, 2010). Its systemic nature led to meaningful development at the three levels targeted–policy, strategy and capacity development – and across the interrelated eight programmatic areas (four substantive and four support).</p> <p>(iii) The rigour of the monitoring and evaluation and the additional value of the specific research studies and Research Briefs – Drop Out Study, Classroom observation study; Perceptual Survey; Monitoring and Learning Achievement study. The findings of these studies were quantified and were reflected in the M and E indicators</p>	

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			with baselines and targets. UNRWA staff led on the design, implementation and initial data capturing of these studies with targeted external expertise supporting them.	
LESSONS FROM CHANGE MANAGEMENT PROCESS				
6. What lessons can be derived to guide future change management initiatives?	6.1 What are considered critical factors +/-	6.1.1 What do those involved, and those affected considered critical factors in success/ failure of the change management process? Are these distinguishable from the reforms behind the change etc.	Critical factors in the success of the change management process of the reform were: <ul style="list-style-type: none"> - The coherent, systemic and holistic nature of the reform, addressing eight programmatic areas and at three levels – policy, strategy and capacity development - Framing all education programme forums, capacity development programmes, missions etc. in terms of the overall education reform to remind staff consistently how everything belongs to the bigger reform process - Rigour of reform design, monitoring and evaluation and reporting, including cross-referencing of all elements to ensure consistency with the reform vision, for example, ensuring that the Inclusive Education Policy and Strategy were fully reflected in the teacher development and School Principal development programmes (School Based Teacher Development and Leading for the Future) - Participatory engagement and co-design of the reform and all of its elements with all education stakeholders from the beginning of the process - Sharing lessons learned informally within the Agency at the initiative of the Education Programme or other programmes, to contribute to the success of other CM processes 	
		6.2.1 What features seem to be key to a successful CM process?	From the experience of the education reform the features key to a successful CM project are those described above in 6.1.1.	
	6.2 What positive features identified are transferable or scalable, which are not and why?	6.2.2 How unique are these to the context in which they were implemented?	The general features of the Education Reform that led to its success (systemic, holistic, multi-level – policy, strategy, capacity development, stakeholder ownership, strong monitoring and evaluation and accountability) are applicable in all contexts and based on best practice in education reform worldwide.	
		6.2.3 What generalizable lessons can be identified?	The lessons learned above would be the critical factors in success in any CM.	

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	6.3 What has the organization learnt from this process?	6.3.1 Would the organization run the process the same way again, or do things differently? If so, how?	The education department would run the process the same way again with one exception; the reform process would have begun with restructuring of the physical classrooms (furniture), where feasible, to support the type of teaching and learning that the reform aimed to achieve i.e. desks that could be arranged for group work, rather than front-facing individual desks. The impact of this would not have been on the practices themselves but on perceptions of the change taking place , this would have made a difference, perhaps, particularly to the perception of the management	

Change Management Functions in the Organization

If information on organizational level change management initiatives is found while reading through documents, please note details/findings below

Review Question	Review Sub-Question	Additional Description	Key Findings	Remarks
7. To what extent have change management functions been institutionalized?	7.1 Does the Participating Organization (PO) have a Change Management function – formalized or otherwise?	7.1.1 Is there a team – time-bound or fixed – working on CM across multiple initiatives (i.e. beyond a single time-bound change process)?	In education yes as we continue to work to embed all practices, whilst constantly reviewing their effectiveness and seeing the implications of new policies, context etc to the structures and systems put in place.	
	7.2 What are its objectives?	7.2.1 How was it established? When? What is its purpose? How sustainable is it?	Agency wide – please ask Planning. For education this links back to the Reform and the continued way of working through the MTS.	
	7.3 How is it structured, staffed and funded?	7.3.1 How many staff, and at what grades? Who does it report to? How is it funded and to what levels?	For Agency wide – please ask Planning. As explained throughout, i.e. for education. For Agency wide – please ask Planning.	

Document	Document Title	Document Source
A.	UNRWA Education Reform Strategy 2011-15, 2010	UNRWA
B.	UNRWA inclusive education policy, 2013	UNRWA
C.	UNRWA Teacher policy, 2013	UNRWA
D.	UNRWA HRCRT Policy, 2012	UNRWA
E.	Gantt Chart Curriculum	UNRWA
F.	Gantt Chart EIE	UNRWA
G.	Gantt Chart HRCRT	UNRWA
H.	Gantt Chart IE	UNRWA
I.	Gantt Chart RD	UNRWA
J.	Gantt Chart TVET	UNRWA
K.	UNRWA MTS (2016-2021), 2016	UNRWA
L.	Education Reform Implementation Plan, 2011	UNRWA
M.	HQ Action grid for 2018, 2018	UNRWA
N.	Education Reform Report, 2012	UNRWA
O.	Education Reform Report, 2013	UNRWA
P.	Education Reform Report, 2014	UNRWA
Q.	Education Reform Report, 2015	UNRWA
R.	Harmonised Results Report, 2012	UNRWA
S.	Harmonised Results Report, 2013	UNRWA
T.	Harmonised Results Report, 2014	UNRWA
U.	Harmonised Results Report, 2015	UNRWA
V.	Harmonised Results Report, 2016	UNRWA

27. UN-Women – Regional Architecture

Overall comments	<ul style="list-style-type: none"> The case summary was completed by the JIU and additional documentation was provided by UN-Women. The documents provide complete information on the Regional Architecture reform and how UN-Women looked to transform its structure increasingly to the field to better achieve its goals and objectives. However, there does not appear to have been a comprehensive change management process, but facets of change activities were found in its plan. There were also multiple communication mechanisms that were identified. The additional documents provided by UN Women were largely Executive Board meeting documents and responses to various audits and the 2016 evaluation of the Regional Architecture. The case is considered complete, but may follow up on any remaining issues in January/ February 2019.
Themes for consideration in JIU report	- Change mapping

Review Question	Review Sub-Question	Sub-sub Question	Key Findings	Remarks
<i>(Adapted from overall Review Framework)</i>			<i>(After stating findings Indicate source by letter, corresponding to document list below)</i>	<i>(Include list of documents that may be applicable)</i>
REFORM/INITIATIVE OVERVIEW				
1. Details of the organizational reform/initiative (The 'What' question – what the initiative and reasoning behind it was?)	1.1 A brief summary of the reform/initiative.	1.1.1 What is its purpose? What are the objectives?	<p>Based on goals of 2011-13 Strategic Plan (SP) and results of a field capacity assessment, an expansion to the field was a priority for UN-Women capacity, in order to give more presence and authority to ROs or COs and improve effectiveness (C, 8)</p> <p>It was designed to bring capacity closer to the field, empower staff at field level, reduce transaction costs, better distinguish higher level programmatic & operational oversight in HQ vs day-to-day oversight and support in the field, and improve overall efficiency and effectiveness (C, 8)</p> <p>The change process for the regional architecture was intended to move UN-Women from fragmented parts of other organizations to a more decentralised, dynamic and interconnected organisation (A, 10)</p>	
		1.1.2 When did it start? When did it end?	Was authorised and approved in early-2012 and was completed in 2014, which was aligned with the Strategic Plan. The last of the regional offices (in Istanbul) was opened in 2014.	

Review Question	Review Sub-Question	Sub-sub Question	Key Findings	Remarks
<i>(Adapted from overall Review Framework)</i>			<i>(After stating findings Indicate source by letter, corresponding to document list below)</i>	<i>(Include list of documents that may be applicable)</i>
		1.1.3 What are the key elements/sub-initiatives?	<p>Of the whole regional architecture reform, it entailed:</p> <ul style="list-style-type: none"> - Establishing 6 ROs - Establishing 6 multi-country offices - Transformation of 15 sub-regional offices into ROs, COs or multi-country offices - Moving of day-to-day managerial oversight functions from HQ to ROs - Transferring some technical and operational functions from HQ to ROs - Accompanying changes at HQ to support higher-level oversight and support to the field <p>(All from B, 5-6)</p> <p>It contains 3 main elements:</p> <p>a. Establishment of ROs</p> <ul style="list-style-type: none"> - Establishment of premises for locations without UN-Women plus where existing premises are inadequate for role as RO - Recruitment of full staffing complement – vary among regions - Assumption of oversight of COs and multi-country offices by regional director. - Programmatic and operational delegation of authority granted to regional director. - Training for staff <p>b. Delegation of authority to COs</p> <ul style="list-style-type: none"> - A country pre-audit & risk mitigation review - Minimum staffing requirements met for segregation of duties - Staff training & certifications (operations, accounting and procurement) - Delegation of authority docs completed and signed <p>c. Transformation of sub regional offices into multi-country or COs</p> <ul style="list-style-type: none"> - Undertaking of a functional analysis of office's new role - Alignment of staffing with the functional analysis - Cessation of operational support to COs where ROs capacity is in place <p>(All from B, 16)</p>	

Review Question	Review Sub-Question	Sub-sub Question	Key Findings	Remarks
<i>(Adapted from overall Review Framework)</i>			<i>(After stating findings Indicate source by letter, corresponding to document list below)</i>	<i>(Include list of documents that may be applicable)</i>
			These specific offices were as follows: 1. Eastern and Southern Africa in Q1 2013 2. West and Central Africa in Q1 2013 3. Americas and Caribbean in Q1 2013 4. Arab States in Q1 2013 5. Asia and Pacific in Q4 2012 6. Europe and Central Asia in Q2 2013 (All from B, 15)	
		1.1.4 When and by whom was it approved?	Was approved in accordance of the EB papers guidance and expectations (C, 8) in April 2012 (C, 8)	
		1.1.5 Was the reform evaluated? What were the achievements, results, and/or outcomes?	Yes, the reform was evaluated by the UN-Women Independent Evaluation Office in September 2016.	
	1.2 What were the underlying factors or drivers behind this reform/initiative? Where distinct or additional to broader drivers of change, what specific events or triggers signalled the start? Each of these will affect the approach, speed, scope, resources and adoption of change management. They can be both expected or unexpected.	1.2.1 What were the drivers? The causes of the initiative, generally an overarching, longer-term shift affecting how the organization operates.	One major driver related to the desire for the UN-Women to more effectively support the wider UN system in improving its gender equality, empowerment and rights of women and gender mainstreaming (B, 3) Core drivers also came from the goals of the 2011-13 SP and results of a previous filed capacity assessment (C, 8). Cost was an important factor in developing the regional architecture, by trying to streamline the number of offices and staff responsibilities within them (B, 8) Other drivers include: - Uneven capacity across the organisation - Overly centralised decision/approval mechanisms causing delays and increased costs - Limited decision-making authority for UN-Women representatives. Including of financial resources - Misaligned lines of reporting affecting effective oversight (All from B, 4)	
		1.2.2 Was there a specific event that acted as a trigger to get it started? It may be		

Review Question	Review Sub-Question	Sub-sub Question	Key Findings	Remarks
<i>(Adapted from overall Review Framework)</i>			<i>(After stating findings Indicate source by letter, corresponding to document list below)</i>	<i>(Include list of documents that may be applicable)</i>
		internal or external. These might include funding depletion, reputational (fraud, mismanagement) or other.		
PLAN OF CHANGE MANAGEMENT PROCESS				
<p>2. Which change management approaches have been used in the <u>design</u> of the above reform or initiative?</p> <p>(The 'How' question on design – what did they set out to do?)</p>	2.1 Describe the design or plan for change management in the initiative?	2.1.1 What were the specific objectives of change management within the design of the initiative?	<p>The regional architecture process is a CM response to the vision of the strategic plan, including results achieved through leveraging the capacities of the UN system as a whole (B, 18)</p> <p>One such example related to the technical capacity of UN-Women, particularly at field level and to expand the ease of engagement via technology (B, 4)</p> <p>The regional architecture created opportunities to strengthen and increase linkages for inter-agency coordination and resource mobilization at the local level.</p> <p>To improve internal communications and knowledge-sharing of the organisation between the various office levels (B, 4)</p>	
		2.1.2 Did the approach to change management draw from established practices (Kotter, McKinsey, PWC, UNLOCK etc) or not? If so, how?	Not evident from the documentation provided	
		<p>2.1.3 Was a specific plan prepared outlining the change management process(es)?</p> <p>Who prepared this plan – done internally or by an outside company? If external, please state who?</p>	<p>There is reference to the need to embed future change considerations in future SPs.</p> <p>There should also be the development of Strategic Notes in tandem with ROs sharing responsibility for reviewing, confirming or changing decisions (C, 18)</p> <p>There is also reference made to 'change mapping' which would help with planning as well as assessment of the initiative (C, 28)</p>	

Review Question	Review Sub-Question	Sub-sub Question	Key Findings	Remarks
<i>(Adapted from overall Review Framework)</i>			<i>(After stating findings Indicate source by letter, corresponding to document list below)</i>	<i>(Include list of documents that may be applicable)</i>
			<p>The 'organisational assessment analysis' provided a framework and used to explore enabling vs constraining factors (C, 29)</p> <p>Reference is also given to 'a number of supporting measures will be put in place, including capacity development for staff, accelerated recruitment, and the amendment and issuance of modified programme' (B, 2)</p> <p>Reference is also made to engaging Dalberg consulting to develop a regional architectural analysis and provide senior leaders with options for consideration, that might include change management elements.</p>	
	2.2 How did the triggers of the organizational reform or management initiative influence the change management approach?	2.2.1 What effect, if any, did the drivers or triggers of the reform have on the objectives and plan for change management?	<p>The desire for a revised regional structure would see staff and their roles alter somewhat, whilst also clarify others too (B, 8)</p> <p>The wider drivers arguably encourage more and clearer ways to communicate the intended changes and their effects, such as with peer reviews or joint decision-making on aspects of the change (B, 8)</p>	
IMPLEMENTATION OF CHANGE MANAGEMENT PROCESS				
3. How have the change management approaches been adopted/ adapted and implemented? (The 'How' question on implementation)	3.1 What was the scope – breadth and depth of the change process?	3.1.1 Was it system-wide, organization, department etc.	Was organisational-wide, emphasising the change in roles and responsibilities between HQ, ROs and COs (A, 10/11)	
	3.2 How was the change management process led?	3.2.1 Who led the change management process? Who was the owner/sponsor of the change? What is their position in relation to management?	Led by Senior management with frequent updates to the governing body.	
		3.2.2 Were consultants involved in implementation? If so, in what role?	Dalberg provided UN Women with an initial analysis and options for implementing the initiative. There is reference to advice being sought from other agencies, notably UNFPA, as well as external organisations (A, 10-11)	

Review Question	Review Sub-Question	Sub-sub Question	Key Findings	Remarks
<i>(Adapted from overall Review Framework)</i>			<i>(After stating findings Indicate source by letter, corresponding to document list below)</i>	<i>(Include list of documents that may be applicable)</i>
		3.2.3 What was the size of the team? Where was the CM team located?	Not evident from the documentation provided	
		3.2.4 Is there an institutionalized function for change management in the organization or was the function time-bound for this specific initiative? <u>If yes, please include information in question 7 as well.</u>	Not evident from the documentation provided	
		3.2.5 What mechanisms were put in place to oversee the change management process? Did it include the head of organization, the governing body, just senior managers, or other? What role was played by each?	UN Women, at the request of the Executive Board, established 12 performance indicators to monitor the progress of new architecture. The three areas that were monitored and reported on to the Board are: operationalization of regional offices; stronger, more responsive country offices; and improved efficiency and effectiveness of UN women.	
	3.3 How was the change management process structured?	3.3.1 Did the process have a definitive start and end?	Not evident from the documentation provided	
		3.3.2 How long did it last?	Not evident from the documentation provided	
	3.4 How was it implemented?	3.4.1 Describe the implementation process (refer to the plan in 2.1.3)	Not evident from the documentation provided	
		3.4.2 What communication mechanisms were used?	Staff representatives, nominated by staff, would help HQ with the development of guidelines of the change on HR (B, 17) Virtual 'communities of practice' will facilitate knowledge-sharing and learning effective learning (B, 10)	

Review Question	Review Sub-Question	Sub-sub Question	Key Findings	Remarks
<i>(Adapted from overall Review Framework)</i>			<i>(After stating findings Indicate source by letter, corresponding to document list below)</i>	<i>(Include list of documents that may be applicable)</i>
			Videoconferencing between HQ and regional directors and field staff (B, 10)	
		3.4.3 How was the change initially framed and presented to staff?	Not evident from the documentation provided	
	3.5 How much reflexive learning took place during the process? Was it evaluated during or after?	3.5.1 What learning and adaptive management processes were put in place during or after the CM process? (please specify when put in place in relation to the process)	The process would receive regular monitoring of the effectiveness of the regional architecture. There would also be continuous dialogue with the EB to consider lingering issues during the implementation (B, 18) Frequent peer participation and reviews, such as of staff to be involved in other field offices to learn about their similarities or differences (B, 10)	
4. What have been the resource implications of change management?	4.1 How was the CM budgeted?	4.1.1 What was the source of financing- core resources/XB. Implications.	Information not provided	
	4.2 What were the major cost elements and actual costs (where available)?	4.2.1 What were the cost elements – financial, human (non-financial), etc? (Actual cost breakdown if possible to estimate)	Initial setup costs of the regional architecture for additional 21 offices would be around \$7.1 million over 2012-13 - \$6.6 would staff costs - \$540,000 for other costs	
RESULTS OF CHANGE MANAGEMENT PROCESS				
5. What are the results and critical success factors of the change process or approach?	5.1 What were the results of the change process? <i>(Is there evidence of sustainability of these changes? What is the degree to which organization is working differently and people are behaving differently? Degrees of</i>	5.1.1 What were the <u>short-term</u> outputs? How were they assessed? Examples of outputs (effective implementation of CM processes) - Implementation of standards and practices - Staff being able to apply new work practices	Outputs as listed by the Corporate Evaluation included: - To obtain more decentralised decision-making mechanisms depending on the country - Increases UN-Women capacity via regional initiatives to better achieve country-specific needs - Even capacity at all levels by recruiting new senior leaders - Consistent internal communication and knowledge-sharing (All from C, 11) Based on the results of the evaluation, UN-Women is currently reviewing its global presence, that is to say, responsibilities for and differences in programme delivery and operations among regional	

Review Question	Review Sub-Question	Sub-sub Question	Key Findings	Remarks
<i>(Adapted from overall Review Framework)</i>			<i>(After stating findings Indicate source by letter, corresponding to document list below)</i>	<i>(Include list of documents that may be applicable)</i>
	<i>result or proxies around these include cost reduction (staff and non-staff); service levels; reduced risks; behavioural changes; improved collaboration etc.)</i>	- Reduced time spent on processes	offices, multi-country offices, country offices and programme presence. UN-Women will be developing policy and guidance along with a tool to assess country differentiated presence typology and make any appropriate structural adjustments in line with the Strategic Plan 2018-2021.	
		5.1.2 What were the <u>intermediate or long</u> outcomes? How were they assessed? Did they bring about the desired transformation? (linked back to objectives in 2.1.1)	Intermediate outcomes: <ul style="list-style-type: none"> - Overall strengthened capacity of the organisation - Effective delivery of results at national level - Strengthened ability to draw upon regional and national experience to address its mandate (All from C, 11) Long term outcomes include: <ul style="list-style-type: none"> - Elimination of discrimination against girls and women (C, 11)	
	5.2 How did the process affect the results?	5.2.1 How did the change management results contributed to the reform results or outcomes and in what way? What is the value-add of the structured process, where used?	Not evident from the documentation provided	
LESSONS FROM CHANGE MANAGEMENT PROCESS				
6. What lessons can be derived to guide future change management initiatives?	6.1 What are considered critical factors +/-	6.1.1 What do those involved, and those affected considered critical factors in success/ failure of the change management process? Are these distinguishable from the reforms behind the change etc.	UN Women saw its ability to include civil society organisations in decision-making platforms (C, 9) Full-funding wasn't realised so there were challenges in meeting all stakeholders needs and intended level of presence in countries (C, 9) There were also limitations depending on the type or location of field offices (C, 10) Internal communications have not been adequately developed (C, 86)	

Review Question	Review Sub-Question	Sub-sub Question	Key Findings	Remarks
<i>(Adapted from overall Review Framework)</i>			<i>(After stating findings Indicate source by letter, corresponding to document list below)</i>	<i>(Include list of documents that may be applicable)</i>
	6.2 What positive features identified are transferable or scalable, which are not and why?	6.2.1 What features seem to be key to a successful CM process?	Sufficient and transparent communication between HQ, field offices and between the staff of each office	
		6.2.2 How unique are these to the context in which they were implemented?	There are a few other organisations that have implemented decentralising, regionalising initiatives so likely to be some similarities, though depends on the size and scope of the organisation.	
		6.2.3 What generalizable lessons can be identified?	Increasing and moving towards a more decentralised structure will help with more communication and effective responses to stakeholders needs (C, 10)	
	6.3 What has the organization learnt from this process?	6.3.1 Would the organization run the process the same way again, or do things differently? If so, how?	Not evident from the documentation provided	

Change Management Functions in the Organization

If information on organizational level change management initiatives is found while reading through documents, please note details/findings below

Review Question	Review Sub-Question	Additional Description	Key Findings	Gaps and Questions
7. To what extent have change management functions been institutionalized?	7.1 Does the Participating Organization (PO) have a Change Management function – formalized or otherwise?	7.1.1 Is there a team – time-bound or fixed – working on CM across multiple initiatives (i.e. beyond a single time-bound change process)?	Not evident from the documentation provided	
	7.2 What are its objectives?	7.2.1 How was it established? When? What is its purpose? How sustainable is it?	Not evident from the documentation provided	
	7.3 How is it structured, staffed and funded?	7.3.1 How many staff, and at what grades? Who does it report to? How is it funded and to what levels?	Not evident from the documentation provided	

Document Key

Document	Document Title	Document Source
A.	UNW.2012.5 Report of the Under-Secretary-General Executive Director on the regional architecture review	UN-Women
B.	UNW.2012.10 Report of the Under Secretary General Executive Director on the regional architecture	UN-Women
C.	2016 Corporate Evaluation of Regional Architecture UN Women_FINAL	UN-Women

28. WFP – Fit For Purpose

Overall comments to WFP	<ul style="list-style-type: none"> The case summary was completed by JIU based on documentation review and additional information provided by WFP The documents provide a good overview of the reform, its elements, and the evaluation of it. From the information provided, there is evidence of change management, in particular the establishment of an Innovation and Change Management Division, and clear evidence of elements of change management from the diagnostic work, the people strategy and elsewhere. However, there were weaknesses from which lessons could be drawn going forwards. The evaluation points to a lack of continuity in communication, lack of a project team (pros and cons) and lack of clearly defined results ex-ante. The case is considered complete, but we may follow-up in January/ February 2019 on any remaining issues.
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Review Question	Review Sub-Question	Additional Description	Key Findings	Remarks
<i>(Adapted from overall Review Framework)</i>		<i>(Definition and/or details required)</i>	<i>(After stating findings Indicate source by letter, corresponding to document list below)</i>	<i>(Include list of documents that may be applicable)</i>
REFORM/INITIATIVE OVERVIEW				
1. Details of the organizational reform/initiative (The 'What' question – what the initiative and reasoning behind it was?)	1.1 A brief summary of the reform/initiative.	1.1.1 Description - What is the objective?	Organizational, cultural, process, and systematic changes WFP needed to implement in order to deliver food assistance more effectively (A.5) Organizational strengthening initiative (A)	
		1.1.2 When did it start? When did it end?	Fit for Purpose began April 2012. (B.2) Fit for Purpose ended with the implementation of the new Strategic Plan in 2017. (A.5)	
		1.1.3 What is its purpose?	WFP wished to improve their efficiency and effectiveness by making broad organizational and cultural changes, in order to meet the changing demands of complex emergencies and shift to food assistance instead of food aid. (B.2, A.6, A.8)	
		1.1.4 What are the key elements/sub-initiatives?	There were 8 objectives of Fit for Purpose, with specific investment projects and other related actions falling under each objective. The objectives were: Putting the People We Serve (and Country Offices) at the Centre, People (staff), Partnerships, Programmes, Accountability and Funding, Focusing Energy and Resources on priorities, Providing Evidence of and Accountability for Results (A) Sub-Initiatives: <ul style="list-style-type: none"> Organizational Design and Realignment (ODR) 	

Review Question	Review Sub-Question	Additional Description	Key Findings	Remarks
<i>(Adapted from overall Review Framework)</i>		<i>(Definition and/or details required)</i>	<i>(After stating findings Indicate source by letter, corresponding to document list below)</i>	<i>(Include list of documents that may be applicable)</i>
			<ul style="list-style-type: none"> People Strategy (A.16, para 32) [confirmed by WFP to be part of Fit for Purpose Process] <p>(Implemented between Jan 2013 and Oct 2016)</p>	
		1.1.5 When and by whom was it approved?	Fit for Purpose's objectives came from the Framework for Action (issued by Executive Director in 2012).	
		1.1.6 Was the reform evaluated? What were the achievements, results, and/or outcomes?	<p>Yes – reviewed in 2017 (summarized in Doc B, p.13-14)</p> <p>The review found there would have been some benefit in establishing an overall project team which would have required senior managers to be more explicit about overall results expected from fit for purpose¹ and have more control over finding. However, project team would have diluted line managers' responsibilities for achieving the goals.</p> <p>The review noted the following benefits of Fit for Purpose:</p> <ul style="list-style-type: none"> In many respects, the approach to Fit for Purpose matched WFP's way of working: it provided managers with clear incentives and resources to act, and promoted a multifaceted approach in which activities were undertaken in parallel. The shift to six focus areas in May 2015 helped to target action in the critical areas needed to bring Fit for Purpose to a conclusion, and provided direct support for development of the Integrated Road Map. <p>The review also identified areas where Fit for Purpose actions could have been managed better:</p> <ul style="list-style-type: none"> Internal communications. The Secretariat provided the Board with extensive reports on Fit for Purpose actions through annual management plans and Annual Performance Reports² However, WFP staff were not always aware of the wide range of actions rooted in Fit for Purpose that were carried out over the past four years. Internal communications at the start of the process were not followed by detailed progress reports, leaving some staff 	

Review Question	Review Sub-Question	Additional Description	Key Findings	Remarks
<i>(Adapted from overall Review Framework)</i>		<i>(Definition and/or details required)</i>	<i>(After stating findings Indicate source by letter, corresponding to document list below)</i>	<i>(Include list of documents that may be applicable)</i>
			<p>with the impression that the Fit for Purpose initiative had somehow petered out.</p> <ul style="list-style-type: none"> • Reporting on the results of investments. Under Fit for Purpose, WFP improved the way its investments are justified and presented for approval from the Strategic Resource Allocation Committee; later Fit for Purpose investment cases contain significantly more information about the purpose and intended results of the investment. However, there is still no standard process for reporting to senior management on the results and impacts of individual investments, as distinct from the annual performance and accountability process for all staff and the process for preparing the Annual Performance Report. This issue was also raised in the external review. • Scaling back of other work. Fit for Purpose generated many new priorities for action, including through the BPR recommendations. However, insufficient attention was devoted at all levels to scaling back other work to make space for Fit for Purpose implementation, and some smaller country offices have been overwhelmed by change initiatives. • Sequencing. Some WFP staff members have questioned the sequencing of actions in Fit for Purpose. For example, staff reported that important actions for developing systems for CBTs and automating critical transaction processes could have been initiated sooner. <p>¹ Many of the initial Fit for Purpose proposals lacked detailed plans, including milestones. This issue was addressed through a small investment in developing a common approach to the preparation of all WFP's investment cases from 2015.</p> <p>² Fit for Purpose initiatives have been subject to a higher level of transparency and external reporting than past initiatives. Extensive reporting on Fit for Purpose in Annual Performance Reports included detailed reports on each initiative in 2013 and 2015.</p> <p>WFP/EB.1/2017/11-C 14</p>	

Review Question	Review Sub-Question	Additional Description	Key Findings	Remarks
<i>(Adapted from overall Review Framework)</i>		<i>(Definition and/or details required)</i>	<i>(After stating findings Indicate source by letter, corresponding to document list below)</i>	<i>(Include list of documents that may be applicable)</i>
	<p>1.2 What were the underlying factors or drivers behind this reform/initiative?</p> <p>Where distinct or additional to broader drivers of change, what specific events or triggers signalled the start? Each of these will affect the process, speed, scope, resources and adoption of CM. They can be both expected or unexpected.</p>	<p>1.2.1 What were the drivers? The causes of the initiative, generally an overarching, longer-term shift affecting how the organization operates.</p>	<ul style="list-style-type: none"> • Changes in service delivery environment – there are now more and longer lasting emergency operations (B.1) The frequency and severity of disasters is expected to increase because of population growth, exacerbated by climate change. Emergency responses like those traditionally carried out by WFP will remain a necessity but the need for ongoing action on prevention and resilience will become even more acute to help vulnerable populations cope with disasters (C.7). • WFP has also shifted from a focus on food aid to food assistance and needed to update its policies and operations accordingly. (A.8) • Host countries increasingly leading the coordination of humanitarian and development responses, and programmes will need to reflect that. (C.6) • Governments are seeking – and donors are supporting – larger programme grants that support government plans, rather than project funding. • Donors are increasingly asking for value for money and demanding more accountability. The financial crisis has put financial pressure on many governments that are looking for ways to cut costs; and are increasingly asking development agencies to demonstrate their cost effectiveness. • Donors want to understand more fully the impact of their projects. They are not merely satisfied by input reporting but want to see results from input to output and from output to impact. This increasing demand for accountability from donors requires stronger monitoring and evaluation as well as project reporting. 	
		<p>1.2.2 Was there a specific event that acted as a trigger? It may be internal or external. These might include funding depletion, reputational (fraud, mismanagement) or other.</p>	<p>Major Change in Service Delivery Environment / Executive Director realized WFP “may need strengthening to respond better to the complex challenges facing it”. A rapid organizational assessment was completed and Fit for Purpose was designed to address the findings of the assessment. The assessment was completed by an external team, McKinsey, and an internal team, Organizational Development Team (A.6)</p> <p>There was not a specific event.</p>	

Review Question	Review Sub-Question	Additional Description	Key Findings	Remarks
<i>(Adapted from overall Review Framework)</i>		<i>(Definition and/or details required)</i>	<i>(After stating findings Indicate source by letter, corresponding to document list below)</i>	<i>(Include list of documents that may be applicable)</i>
PLAN OF CHANGE MANAGEMENT PROCESS				
<p>2. Which CM processes have been used in the design of the above reform or initiative?</p> <p>(The 'How' question on design – what did they set out to do?)</p>	2.1 Describe the CM processes used in the initiative.	2.1.1 What were the specific objectives of change management within the design of the initiative?	<p>There was not a specific set of change management objectives. The reform had many elements (58 'one off' elements, Doc B.3) including establishing a 'global change team' to coordinate different elements, and in particular around innovation.</p> <p>That said, of the main the objectives of 'fit for purpose', the 'people' objective perhaps is closest to CM in terms of the focus on practices and behaviours, namely:</p> <p><i>"People. WFP is people-centred, investing in staff capability and performance within a culture of commitment, communication and accountability" (B.p3)</i></p>	
		2.1.2 Did the approach to change management draw from established practices (Kotter, McKinsey, PWC, UNLOCK etc) or not? If so, how?	<p>The origin was a rapid organisational assessment diagnostic completed by McKinsey, sent to the organisational development team (ODT) which adapted the McKinsey model to fit better the WFP context.</p> <p>The diagnostic (Doc C) covered context a) degree and speed of change in strategic focus; b) rethinking organizational structure; c) human resources / talent management / strategic leadership; d) monitoring, evaluation, learning; e) sustaining cultural and organizational health</p>	
		<p>2.1.3 Was a specific plan prepared outlining the change management process(es)?</p> <p>Who prepared this plan – done internally or by an outside company? If external, please state who?</p> <p>-</p>	<p>There was no specific change management plan. However, there were a number of initiatives and actions within the reform that are pertinent or akin to a plan, namely:</p> <ul style="list-style-type: none"> a) Diagnostic (ROAD) – elements of readiness type assessment – looking at what type of change and speed of change; possible goals; culture and capacity issues b) People Strategy – 2014 – focused not only on traditional 'HR' but also on 'strengthening WFP's performance management culture' (D.3); 'defining WFP common values and behaviours (D.3) <i>Focus on common values and behaviours – "embedded systemically through the workforce" – broad consultation</i> c) Building skills and capacities of national staff 	

Review Question	Review Sub-Question	Additional Description	Key Findings	Remarks
<i>(Adapted from overall Review Framework)</i>		<i>(Definition and/or details required)</i>	<i>(After stating findings Indicate source by letter, corresponding to document list below)</i>	<i>(Include list of documents that may be applicable)</i>
			<p>d) Establishment of Staff Wellness Division (2015) guided by wellness strategy</p> <p>However, note evaluation finding: Many of the initial Fit for Purpose proposals lacked detailed plans, including milestones. This issue was addressed through a small investment in developing a common approach to the preparation of all WFP's investment cases from 2015. (B.13-14)</p>	
	2.2 How did the triggers of the organizational reform or management initiative influence the CM process?	2.2.1 Do the triggers effect the type of change process? If so, how? What are the implications of this?	With the arrival of the new Executive Director in 2012, there was a desire to take a snapshot of the organisation and decide where to take it forward which triggered the initiatives.	
IMPLEMENTATION OF CHANGE MANAGEMENT PROCESS				
3. How have the CM processes been adopted/ adapted and implemented? (The 'How' question on implementation)	3.1 What was the scope – breadth and depth of the change process?	3.1.1 Was it system-wide, organization, department etc.	Organization-wide	
	3.2 How was the CM process led?	3.2.1 Who led the CM process? Who was the owner/sponsor of the change? What is their position in relation to management?	<p>“...WFP decided to manage Fit for Purpose through existing management channels. Rather than creating a separate project team to drive forward change, management focused on the approval of a range of investments aligned with a set of overarching priorities. In the early stages, support for CM was provided to the Chief of Staff.</p> <p>Subsequently, in 2014, a small change team was established under the Deputy Executive Director, which moved to the Innovation and Change Management Division in 2015. However, this did not operate as a project management team with direct powers to intervene on the actions being taken by other WFP managers.” (A.55; B.2)</p> <p>Leader of the Innovation and Change Management Division was D2 and reporting to ED/Chief of Staff</p>	
		3.2.2 Were consultants involved in implementation? If so, in what role?	Internally. Reason was to ensure oversight and adherence to work plans and budget. The implications were increased transparency, better budget discipline and ability to document impact overtime.	

Review Question	Review Sub-Question	Additional Description	Key Findings	Remarks
<i>(Adapted from overall Review Framework)</i>		<i>(Definition and/or details required)</i>	<i>(After stating findings Indicate source by letter, corresponding to document list below)</i>	<i>(Include list of documents that may be applicable)</i>
		3.2.3 What was the size of the team? Where was the CM team located?	Innovation and Change Management Team. 2-3 people working specifically with change coordination and a team of 5-7 working on supporting direct implementation of initiatives. All the resources are in HQ.	
		3.2.4 Is there an institutionalized function in the organization or was it time-bound for this specific initiative? <u>If yes, please include information in question 7 as well.</u>	There is an Innovation and Change Management Division (A.55)	
		3.2.5 What mechanisms were put in place to oversee the change management process? Did it include the head of organization, the governing body, just senior managers, or other? What role was played by each?	<p>The Fit for Purpose process was monitored by Innovation and Change Management division and monitoring reports were submitted to the Leadership group (Executive Director, ASGs and Chief of Staff) on a regular basis.</p> <p>There was no clear link from the outset of the initiative between the CM process used and the nature and goals of the initiatives. However, under the leadership of INC a process was developed where focus areas were established and funding allocated to initiatives under the various focus areas. In several cases the Innovation and Change Management division was directly tasked to support the initiatives.</p>	
	3.3 How was the CM process structured?	3.3.1 Did the process have a definitive start and end?	The CM process and most initiative dates were the same, 2012-17	
		3.3.2 How long did it last?	Approximately 4 and half year in 2 distinct phases.	
	3.4 What were the process elements of the change? How were they managed and implemented?	3.4.1 Describe the implementation process (refer to the plan in 2.1.3)	<p>In the first phase of Fit for Purpose, the role of the change management team was focused primarily on monitoring, whereas in the second phase, a more rigid process to monitor progress and implementation tracking was established.</p> <p>The Change Management process used:</p> <ul style="list-style-type: none"> • Internal communications • Communications with the Executive Board 	

Review Question	Review Sub-Question	Additional Description	Key Findings	Remarks
<i>(Adapted from overall Review Framework)</i>		<i>(Definition and/or details required)</i>	<i>(After stating findings Indicate source by letter, corresponding to document list below)</i>	<i>(Include list of documents that may be applicable)</i>
			<ul style="list-style-type: none"> Regular reviews to senior management Progress update collection from implementing units WFP's leadership group (ED and ASGs) were expected to present updates within their respective areas Workshops were done within individual workstreams 	
		3.4.2 What communication mechanisms were used to support reform?	<p>Mechanisms were used to share information with staff?</p> <ul style="list-style-type: none"> All staff meetings conducted by ED Annual discussions at Global Management Meetings (top 150 managers) WFP intranet posting (a specific page was created) <p>Review finding: Following internal communications at the beginning of the initiative, staff were not aware of the actions rooted in Fit for Purpose that were taking place. (A.56) Internal communications at the start of the process were not followed by detailed progress reports, leaving some staff with the impression that the Fit for Purpose initiative had somehow petered out (B.13-14)</p>	
		3.4.3 How was the change initially framed and presented to staff?	The main message of Fit for Purpose from the beginning was 'taking the organization from Good to Great'. A sub-message was around the 'centre of gravity of the organization shifting to the Country Offices'	
	3.5 How much reflexive learning took place during the process? Was it evaluated during or after?	3.5.1 What learning and adaptive management processes were put in place during the CM process?	<p>Overall</p> <p>General Staff Survey (GSS) included questions related to Fit for Purpose (A.19)</p> <p>Since 2013 WFP has been tracking progress on the management results of: people, partnerships, processes and systems, programmes, and accountability and funding (A)</p> <p>Are any of the management results that are being tracked related to the CM process? All WFP results are reported in the yearly Annual Performance Plan, including the results of the CM process by agreement with the Executive Board.</p>	

Review Question	Review Sub-Question	Additional Description	Key Findings	Remarks
<i>(Adapted from overall Review Framework)</i>		<i>(Definition and/or details required)</i>	<i>(After stating findings Indicate source by letter, corresponding to document list below)</i>	<i>(Include list of documents that may be applicable)</i>
		3.5.2 What learning and adaptive management processes were put in place after the CM process?	Fit for Purpose became a pilot for the Integrated Road Map – so there was learning taken from one to the other	
RESOURCES OF CM PROCESS				
4. What have been the resource implications of CM?	4.1 How was the CM process budgeted?	4.1.1 What was the source of financing- core resources/XB. Implications.	<p>Overall \$4.5 million (7%) of the total funds for Fit for Purpose were used specifically on the CM and organizational design. (A.9)</p> <p>Through Management Plans, 58 one-off investments funded Fit for Purpose. Additional funding came from the budget setting process for recurring programme support and administrative costs. (A. Annex 1)</p>	
	4.2 What were the major cost elements and actual costs (where available)?	4.2.1 What were the cost elements – financial, human (non-financial), etc? (Actual cost breakdown if possible to estimate)	<p>Support for Organizational Work Streams</p> <ul style="list-style-type: none"> 2013- 1,202,140 USD and 2014- 350,000 USD included: in-depth scoping, collected and analysed baseline data, developed work plans, CM advise and direct analytic support, tracked progress, decision documents/reports related to work stream issues (A.60) <p>Global Change Team</p> <ul style="list-style-type: none"> 2014- 244,750 USD; 2015- 349,620 USD; 2016- 359,029 USD Included: project planning and past performance, supported definition of WFP's Corporate Focus Areas and Outputs, designed IT system and process to coordinate initiatives in country offices, regular updates on projects (A.67) <p>Human Costs:</p> <ul style="list-style-type: none"> Largest reassignment process in WFP history- 100 senior staff and 450 international professional staff (A.12) <p>In many cases, staff time costs were built into budget for individual initiatives. In general, non financial costs were not centrally reported or tracked. Also no further breakdowns are available.</p>	Were there other non-

Review Question	Review Sub-Question	Additional Description	Key Findings	Remarks
<i>(Adapted from overall Review Framework)</i>		<i>(Definition and/or details required)</i>	<i>(After stating findings Indicate source by letter, corresponding to document list below)</i>	<i>(Include list of documents that may be applicable)</i>
RESULTS OF CM PROCESS				
5. What are the results and critical success factors of the change process?	5.1 What were the results of the change process?	5.1.1 What were the <u>short-term</u> outputs? How were they assessed?	See section 1.1.6 – some of the outputs assessed in the evaluation are CM related	
	<i>(Is there evidence of sustainability of these changes? What is the degree to which organization is working differently and people are behaving differently? Degrees of result or proxies around these include cost reduction (staff and non-staff); service levels; reduced risks; behavioural changes; improved collaboration etc.)</i>	5.1.2 What were the <u>intermediate or long</u> outcomes? How were they assessed? Did they bring about the desired transformation? (linked back to objectives in 2.1.1)	See section 1.1.6 – some of the outcomes assessed in the evaluation are CM related	
	5.2 Did the quality of the process effect the quality of the result(s)? If so, how?	5.2.1 How did the change management results contributed to the reform results or outcomes and in what way? What is the value-add of the structured process, where used?	Establishing a dedicated team would have led to more control over funds management and more specific expected results. However, by leaving more of the responsibility with the managers, the managers felt more accountability for the results and invested more resources than they would have otherwise done (A.55)	
LESSONS FROM CM PROCESS				
6. What lessons can be derived to	6.1 What are considered critical factors +/-	6.1.1 What do those involved, and those affected considered critical factors in	Overall Areas that could have been managed better: - Establishing a project team could have led to more explicit expectations	

Review Question	Review Sub-Question	Additional Description	Key Findings	Remarks
<i>(Adapted from overall Review Framework)</i>		<i>(Definition and/or details required)</i>	<i>(After stating findings Indicate source by letter, corresponding to document list below)</i>	<i>(Include list of documents that may be applicable)</i>
guide future CM initiatives?		success/ failure of the change process? Are these distinguishable from the reforms behind the change etc.	<ul style="list-style-type: none"> - Communications to staff throughout the project, instead of only after the initial roll out - Reporting to senior management on the results of investments - Reducing staff workload to allow time for new tasks related to the changes - Implementing changes in an order to benefit staff quickly. (A.55-56) 	
	6.2 What has the organization learned from this process? Include both + and -	6.2.1 What are the commonalities and differences in the CM processes adopted by the UN system organizations?	Fit for Purpose's outcomes served as a pilot for WFP's new initiative- Integrated Road Map (A.55)	
	6.3 What positive features identified are transferable or scalable, which are not and why?	6.3.1 What features that seem to be key to a successful CM process?	<ul style="list-style-type: none"> • The key success of the change management process was that initiatives owners were held accountable through-out the process; This resulted in maintained focus on results and better implementation. • In addition, unspent resources were analysed and reallocated. The process for resource allocation was done via a standardised template and was challenged through the resource allocation committee (including overview of predefined milestones). • People management is everyone's responsibility – engagement and collaboration of staff in all locations is critical for embedding change (D.6) 	
		6.3.2 How unique are these to the context in which they were implemented?	Normally, in high rotation environment, it is difficult to maintain momentum in the change process, however with the new system in place we were able to keep the focus high also in transition periods.	
		6.3.3 What generalizable lessons can be identified?	It is important to have clear rules of the game established before any fund allocation is made and a clear vision has been established. It is also important to have dedicated change management structure in place from the onset tailored on the organisational culture.	

CM Functions in the Organization

Review Question	Review Sub-Question	Additional Description	Key Findings	Outstanding Issues
7. To what extent have CM functions been institutionalized?	7.1 Does the Participating Organization (PO) have a CM function – formalized or otherwise?	7.1.1 Is there a team – time-bound or fixed – working on CM across multiple initiatives (i.e. beyond a single time-bound change process)?	Innovation and Change Management Division overall objective is to successfully establish a platform for supporting and accelerating innovations across the organization, well-functioning change management principles and processes, and to provide direct execution support for key transformational change initiatives in WFP	
	7.2 What are its objectives?	7.2.1 How was it established? When? What is its purpose? How sustainable is it?	A Global Change Team was initially established in 2014. Following an organization restructuring in 2015, the Innovation and Change Management Division (INC) was created, subsuming the Global Change Team. At the time both teams were created, it was widely recognised that the various change initiatives taking place in each division could be better aligned and coordinated on the corporate level in order to avoid duplications and harvest synergies.	
	7.3 How is it structured, staffed and funded?	7.3.1 How many staff, and at what grades? Who does it report to? How is it funded and to what levels?	The Change Management Team within the Innovation and Change Management Divisions consists of one team leader at the P5 level reporting to the D2 director of the Division and depending on the workload of the team consultants are hired on an ad-hoc basis. The core funding for the team are allocated from the regular PSA budget and through investment cases when needed. An additional ‘Change Management Execution’ team exists to support other divisions with implementation services, including project management office tasks. Funded entirely through cost recovery / extrabudgetary allocations.	

Document Key

Document	Document Title	Document Source
A.	Review of Fit for Purpose Organization-Strengthening Initiative	WFP sent
B.	Summary Review of Fit for Purpose Organization-Strengthening Initiative WFP/EB.1/2017/11-C	JIU found
C.	World Food Programme Rapid Organizational Assessment Diagnostic, Final Report, June 2012, McKinsey&Company (confidential)	WFP sent
D.	WFP/EB.1/2016/4-E – WFP Update on People Strategy, Exec Board Regular First Session, 8-10 Feb 2016	JIU found

29. WFP – Integrated Road Map

Overall comments to WFP	<ul style="list-style-type: none"> The case summary was completed by JIU based on documentation review and additional information provided by WFP The documents provide a good overview of the transformation – the pilot, the evaluation, and the ongoing work. However, while there is a lot of evidence of ‘change’ there’s little evidence in the material provided of ‘change management’ in terms of specific, targeted efforts to change practices, culture and behaviour as part of the reform. It may be that this comes as part of the full roll-out in 2019, but is not evident from the documents around the pilot. The case summary is considered complete
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Review Question	Review Sub-Question	Additional Description	Key Findings	Remarks
<i>(Adapted from overall Review Framework)</i>		<i>(Definition and/or details required)</i>	<i>(After stating findings Indicate source by letter, corresponding to document list below)</i>	<i>(Include list of documents that may be applicable)</i>
REFORM/INITIATIVE OVERVIEW				
1. Details of the organizational reform/initiative (The 'What' question – what the initiative and reasoning behind it was?)	1.1 A brief summary of the reform/initiative.	1.1.1 Description - What is the objective?	<p>The Integrated Road Map initiative seeks to create sustainable solutions, bridge the humanitarian-development nexus, and improve efficiency and effectiveness. This will be accomplished by aligning the strategic plan (2017-2021), policy on country strategic plans, country portfolio budget structure, and the corporate results framework. (F.1)</p> <p>“Implementation of the Integrated Road Map is the largest transformation for WFP in the last 20 years. The Integrated Road Map provides a new business model for WFP, requires a full re-configuration of WFP’s information technology system, and demands a change in culture throughout the organization, with a focus on performance, transparency and maximizing value for money. The opportunities the Integrated Road Map brings to WFP are significant, with substantial benefits to be realized once the transformation is complete. The results-oriented framework is holistic and comprehensive, but flexible enough to enable WFP to respond swiftly to crises and scale-up while providing a foundation to strengthen the humanitarian–development nexus within country contexts.” (Source: F p.1)</p>	
		1.1.2 When did it start? When did it end?	The four components of the Integrated Road Map were approved in November 2016, and implementation started in the beginning of 2017. (F.2)	

Review Question	Review Sub-Question	Additional Description	Key Findings	Remarks
<i>(Adapted from overall Review Framework)</i>		<i>(Definition and/or details required)</i>	<i>(After stating findings Indicate source by letter, corresponding to document list below)</i>	<i>(Include list of documents that may be applicable)</i>
			The initiative is still ongoing. In 2017, 12 pilot country offices had moved to IRM. (F.7) [Update: by July 2018 70 of 82 country offices had moved to the IRM]	
		1.1.3 What is its purpose?	Aligning WFP's strategic, programmatic, financial and reporting structures to increase the organization's ability to deliver on SDGs, prioritising 2 and 17 (A.2)	
		1.1.4 What are the key elements/sub-initiatives?	<ul style="list-style-type: none"> • strategic plan (2017-2021) • policy on country strategic plans • country portfolio budget structure • the corporate results framework <p>Up to the end of 2016 the four components were managed as separate interrelated initiatives. From the beginning of 2017 they were managed as a single, integrated initiative.</p>	
		1.1.5 When and by whom was it approved?	Approved by the executive board in November 2016	
		1.1.6 Was the reform evaluated? What were the achievements, results, and/or outcomes?	<p>Evaluation of pilot country strategic plans carried out in 2018. Report found (Doc H.9-10):</p> <ul style="list-style-type: none"> • Adopting CSPs as the framework for planning, managing and delivering WFP's contributions to the achievement of zero hunger was a significant step forward. That said, CSPs have not yet made WFP more effective in achieving its gender equality goals and tackling other cross-cutting issues. So far, there is no evidence that CSPs have improved WFP's capacity to respond to sudden onset emergencies. However, the structure of CSPs may strengthen long-term efforts to build resilience and tackle the root causes of vulnerability. • CSPs have not yet resulted in the expected gains from the increased transparency and accountability that the framework offers, specifically a move to more flexible and predictable funding. The development of an effective performance management system has not kept pace with the other components of the IRM. Such a system is necessary if WFP is to demonstrate the benefits of the CSP approach with a view to influencing donor behaviour in the long term. 	

Review Question	Review Sub-Question	Additional Description	Key Findings	Remarks
<i>(Adapted from overall Review Framework)</i>		<i>(Definition and/or details required)</i>	<i>(After stating findings Indicate source by letter, corresponding to document list below)</i>	<i>(Include list of documents that may be applicable)</i>
			<ul style="list-style-type: none"> It is impossible to say whether a more gradual reform process would have made a stronger contribution to achieving the intended organizational outcomes in the long term. But the high speed at which the elements of the IRM have been implemented has heightened the challenges of coordination, staff capacity strengthening, learning and the application of lessons learned. These challenges have not been fully overcome. This has led to increased transaction costs and a heavy burden at all levels of the organization. In responding to national needs, WFP recognizes that one size does not fit all: CSPs need to be flexible and diverse in implementing the Strategic Plan (2017–2021) in multiple, shifting circumstances. A major positive feature of the CSP process has been the ability to better align WFP work with national priorities The task of introducing and stabilizing CSPs and their supporting systems is far from complete, and multiple adjustments lie ahead. If 2017 was the year of learning, 2018 represents the finalization of the roadmap and the beginning of the journey. By the end of 2019, all countries will have moved to the CSP framework, and by the end of 2020 the first CSP cycle will be completed. All of this is taking place against a backdrop of uncertainty and change in the humanitarian context, donor strategies and United Nations reform. Years of intensive, focused commitment at all levels of the organization will therefore be needed to achieve the goals of the IRM and the CSP policy. 	
	<p>1.2 What were the underlying factors or drivers behind this reform/initiative?</p> <p>Where distinct or additional to broader drivers of change, what</p>	<p>1.2.1 What were the drivers? The causes of the initiative, generally an overarching, longer-term shift affecting how the organization operates.</p>	<ul style="list-style-type: none"> Change in service delivery environment- more, longer lasting humanitarian emergencies (F.11) Full alignment of WFP's corporate Strategic Plan with the SDGs- focused on 2 and 17 (A.2) - Political/SDGs- push to bridge humanitarian development nexus (F.1) Address limitations in the current Financial Framework which was designed in the 1990s to support food aid delivery through a project-based model (D). 	

Review Question	Review Sub-Question	Additional Description	Key Findings	Remarks
<i>(Adapted from overall Review Framework)</i>		<i>(Definition and/or details required)</i>	<i>(After stating findings Indicate source by letter, corresponding to document list below)</i>	<i>(Include list of documents that may be applicable)</i>
	specific events or triggers signalled the start? Each of these will affect the process, speed, scope, resources and adoption of CM. They can be both expected or unexpected.		<ul style="list-style-type: none"> Consolidation of fragmented project based approach into one, single planning framework 	
		1.2.2 Was there a specific event that acted as a trigger? It may be internal or external. These might include funding depletion, reputational (fraud, mismanagement) or other.	<p>No specific triggers identified.</p> <p>“The change was triggered by major external factors (2030 Agenda) as well as internal imperatives, with a major impact on the organization” (comment from WFP, but these are drivers in A433 project sense)</p>	No specific triggers identified, rather a set of factors / drivers that led to it.
APPROACH TO CM PROCESS				
2. Which CM processes have been used in the design of the above reform or initiative? (The 'How' question on design – what did they set out to do?)	2.1 Describe the CM processes used in the initiative.	2.1.1 What were the specific objectives of change management within the design of the initiative?	No evidence of specific <u>change management</u> objectives.	
		2.1.2 Did the approach to change management draw from established practices (Kotter, McKinsey, PWC, UNLOCK etc) or not? If so, how?	The change process was internally led and used approaches that have successfully been used to implement major changes within WFP in the past. The change was coordinated by an IRM implementation team including staff with significant experience of implementing major changes within WFP and elsewhere. Additional support was provided by the Management Support Unit.	
		2.1.3 Was a specific plan prepared outlining the change management process(es)? Who prepared this plan – done internally or by an outside company? If external, please state who? -	<p>The Change Management approach included:</p> <ul style="list-style-type: none"> Executive Director sponsorship with the Deputy Executive Director leading the project supported by IRM implementation team and a Management Support Unit (from the Innovation and Change Management division and consultants from the Boston Consulting Group) Executive level Steering Committee comprising Department heads and Regional Directors Regular governance meetings with Deputy Regional Directors, HQ Divisional Directors Piloting approach to prove the solution and the implementation process and transfer knowledge to the regional teams before starting the wider rollout Deputy Regional Directors leading the change within their regions 	Elements of change management – but no overall change management plan.

Review Question	Review Sub-Question	Additional Description	Key Findings	Remarks
<i>(Adapted from overall Review Framework)</i>		<i>(Definition and/or details required)</i>	<i>(After stating findings Indicate source by letter, corresponding to document list below)</i>	<i>(Include list of documents that may be applicable)</i>
			<ul style="list-style-type: none"> Multi-channel communications led by the corporate communications team with active participation of pilot Country Directors in regular communication events Frequent informal consultations with the Executive Board and more than 100 bilateral meetings with Member States Organizational alignment workstream (led by HR) Manuals website providing consolidated guidance and templates Support structure set up with regional bureau teams providing the first line of support to country offices, backed up by HQ support team Online training courses plus face-to-face training of country office staff in regional bureaux 	
	2.2 How did the triggers of the organizational reform or management initiative influence the CM process?	2.2.1 Do the triggers effect the type of change process? If so, how? What are the implications of this?	The change was triggered by major external factors (2030 Agenda) as well as internal imperatives, with a major impact on the organization. This led to the adoption of the comprehensive change management process outlined in 2.1.1 with the change sponsored by the Executive Director and led by the Deputy Executive Director.	Not evident that there is a comprehensive <u>change management</u> process as we have defined it (around behaviours, culture, practice), more just a comprehensive <u>change</u> process.
IMPLEMENTATION OF CM PROCESS				
3. How have the CM processes been adopted/ adapted and implemented? (The 'How' question on implementation)	3.1 What was the scope – breadth and depth of the change process?	3.1.1 Was it system-wide, organization, department etc.	Organization-wide change impacting almost all areas of WFP with broader impacts (e.g. partners)	
	3.2 How was the CM process led?	3.2.1 Who led the CM process? Who was the owner/sponsor of the change? What is their position in relation to management?	<p>The initiative was sponsored by the Executive Director and led by the Deputy Executive Director. Deputy Regional Directors played a key role in leading the change within their regions.</p> <p>CM leaders were appointed in country offices. (F.31)</p> <p>The Secretariat will oversee the pilots and ensure updates are made before a larger roll-out (C.17)</p>	

Review Question	Review Sub-Question	Additional Description	Key Findings	Remarks
<i>(Adapted from overall Review Framework)</i>		<i>(Definition and/or details required)</i>	<i>(After stating findings Indicate source by letter, corresponding to document list below)</i>	<i>(Include list of documents that may be applicable)</i>
		3.2.2 Were consultants involved in implementation? If so, in what role?	No. The change was led internally. This approach has been used to successfully to implement previous major changes. It created strong accountability for the change that would probably not have been possible if it had been led externally.	
		3.2.3 What was the size of the team? Where was the CM team located?	The team managing the change was partly located in Rome HQ and partly in the Regional Bureaux. Approximately [100] staff were involved in the change effort.	Managing the change, but not change management per se.
		3.2.4 Is there an institutionalized function in the organization or was it time-bound for this specific initiative? <u>If yes, please include information in question 7 as well.</u>	The main IRM implementation team is a temporary structure set up to manage the project including staff seconded from other areas. The project team will be disbanded once the implementation is completed. High level change management support was provided by the Innovation and Change Management division.	See Section 7 of Initiative 1 for details on the Innovation and Change Management Division
		3.2.5 What mechanisms were put in place to oversee the change management process? Did it include the head of organization, the governing body, just senior managers, or other? What role was played by each?	External governance: 12 informal consultations and 4 formal Executive Board discussions during 2017 and 2018. Internal governance: IRM Steering Committee comprising WFP executive staff (Department heads and Regional Directors). Lower level governance bodies including Deputy Regional Directors and HQ Divisional Directors.	This is to oversee the reform rather than change management per se.
	3.3 How was the CM process structured?	3.3.1 Did the process have a definitive start and end?	The change process started with piloting during 2017 and completion of the transition during 2018 and 2019. The full transformation benefits will take longer to realise with the organisation continuing to change after the completion of the transition.	
		3.3.2 How long did it last?	Ongoing	
	3.4 What were the process elements of the change? How were	3.4.1 Describe the implementation process (refer to the plan in 2.1.3)	“organizational readiness support to country offices is ongoing” (F.31)	

Review Question	Review Sub-Question	Additional Description	Key Findings	Remarks
<i>(Adapted from overall Review Framework)</i>		<i>(Definition and/or details required)</i>	<i>(After stating findings Indicate source by letter, corresponding to document list below)</i>	<i>(Include list of documents that may be applicable)</i>
	they managed and implemented?		<p>“Cross-functional joint learning has proved beneficial for increasing awareness of each function’s role and synergies in end-to-end processes” (F.32)</p> <p>Given the extent of the organizational transformation required, and the cross-cutting impact on WFP departments, functions, regional bureaux and country offices, the decision was taken to integrate the four components into a single initiative for the start of the implementation phase.</p> <p>The IRM implementation team included work teams for:</p> <ul style="list-style-type: none"> • Training • Support • Cutover coordination • Organisational alignment • Partner engagement • Communications <p>Milestones and budget were tracked by the Management Support Unit.</p>	
		3.4.2 What communication mechanisms were used to support reform?	<p>“The Secretariat has found that open and regular communication through multiple media such as newsletters, online space, meetings, field visits, and IRM national champions is key to sensitizing staff and facilitating buy-in for the IRM” (F.31)</p> <p>“Online self-learning materials have been made available to all staff” (F.32)</p> <p>“In line with the People Strategy, guidance and training on the design and implementation of CSPs will be provided to staff.” (C.21)</p>	
		3.4.3 How was the change initially framed and presented to staff?	Messaging was developed by the Corporate Communications team and was framed as an initiative that supports WFP’s overall vision.	
	3.5 How much reflexive learning took place during the	3.5.1 What learning and adaptive management	Lessons learned have been collected from countries in wave 1A and 1B during support missions, workshops, and regularly scheduled dialogues. Country office staff were asked to provide honest	

Review Question	Review Sub-Question	Additional Description	Key Findings	Remarks
<i>(Adapted from overall Review Framework)</i>		<i>(Definition and/or details required)</i>	<i>(After stating findings Indicate source by letter, corresponding to document list below)</i>	<i>(Include list of documents that may be applicable)</i>
	process? Was it evaluated during or after?	processes were put in place during the CM process?	feedback. The lessons learned were shared with member states. (F. 9-10 and Annex 1)	
		3.5.2 What learning and adaptive management processes were put in place after the CM process?	Not applicable (CM process still ongoing) (WFP remark) Management Response to the Evaluation (Doc I) demonstrated that management agreed or partially agreed with all the evaluation recommendations, suggesting learning from the pilots.	Arguable, given that adaptive learning is about learning within. The management response to the evaluation is a positive example
RESOURCES OF CM PROCESS				
4. What have been the resource implications of CM?	4.1 How was the CM budgeted?	4.1.1 What was the source of financing- core resources/XB. Implications.	The initiative was partly funded from resources allocated for corporate investments and partly from reprioritisation of existing resources.	
	4.2 What were the major cost elements and actual costs (where available)?	4.2.1 What were the cost elements – financial, human (non-financial), etc.? (Actual cost breakdown if possible to estimate)	Were there non-financial costs of the CM process? i.e. the human costs of restructuring or having to learn a new process? Additional effort required from staff during the transition period.	
RESULTS OF CM PROCESS				
5. What are the results and critical success factors of the change process or process?	5.1 What were the results of the change process? <i>(Is there evidence of sustainability of these changes? What is the degree to which organization is working differently and people are behaving differently? Degrees of result or proxies around these include cost reduction (staff</i>	5.1.1 What were the <u>short-term</u> outputs? How were they assessed?	The short-term outputs included transition of country offices to the IRM framework (new structure) and related changes to systems, processes, procedures and policies. Some transformation results are already visible as a result of the transition and other transformational changes will take longer and will be realised more gradually.	
		5.1.2 What were the <u>intermediate or long</u> outcomes? How were they assessed? Did they bring about the desired transformation? (linked back to objectives in 2.1.1)	Planned long-term outcomes include: Improved alignment with national policies and priorities, including national SDG targets. Strengthened harmonisation with United Nations entities and processes. Maintaining and enhancing emergency response capacity. Better links between humanitarian and development work. Predictability and flexibility of resource allocation.	

Review Question	Review Sub-Question	Additional Description	Key Findings	Remarks
<i>(Adapted from overall Review Framework)</i>		<i>(Definition and/or details required)</i>	<i>(After stating findings Indicate source by letter, corresponding to document list below)</i>	<i>(Include list of documents that may be applicable)</i>
	<i>and non-staff); service levels; reduced risks; behavioural changes; improved collaboration etc.)</i>		Improved visibility and communication. Strengthened approach to gender equality and other cross-cutting issues. Reduced transaction costs. Stronger and broader partnerships. Enhanced performance management, reporting and accountability, with a stronger focus on results.	
	5.2 Did the quality of the process effect the quality of the result(s)? If so, how?	5.2.1 How did the change management results contributed to the reform results or outcomes and in what way? What is the value-add of the structured process, where used?	The change management approach adopted allowed the organisation to build a strong momentum behind the change and to successfully implement the changes quickly. Strategically and programmatically speaking, the value-add of substantial investments in the re-positioning of WFP in a given country through a thorough, inclusive and consultative design process resulted in a better standing and branding of the organization, as reflected by clear and comprehensive country portfolios with longer planning horizons (up to 5 years).	
LESSONS FROM CM PROCESS				
6. What lessons can be derived to guide future CM initiatives?	6.1 What are considered critical factors +/-	6.1.1 What do those involved, and those affected considered critical factors in success/ failure of the change process? Are these distinguishable from the reforms behind the change etc.	Not applicable (CM process still ongoing)	
	6.2 What has the organization learned from this process? Include both + and -	6.2.1 What are the commonalities and differences in the CM processes adopted by the UN system organizations?	Not applicable (CM process still ongoing)	
	6.3 What positive features identified are	6.3.1 What features that seem to be key to a successful CM process?	Not applicable (CM process still ongoing)	

Review Question	Review Sub-Question	Additional Description	Key Findings	Remarks
<i>(Adapted from overall Review Framework)</i>		<i>(Definition and/or details required)</i>	<i>(After stating findings Indicate source by letter, corresponding to document list below)</i>	<i>(Include list of documents that may be applicable)</i>
	transferable or scalable, which are not and why?	6.3.2 How unique are these to the context in which they were implemented?	Not applicable (CM process still ongoing)	
		6.3.3 What generalizable lessons can be identified?	Not applicable (CM process still ongoing)	

Document Key

Document	Document Title	Document Source
A.	The Integrated Road Map in Brief	Organization sent
B.	WFP Strategic Plan (2017-2021)	Organization sent
C.	Policy on Country Strategic Plans	Organization sent
D.	Financial Framework Review	Organization sent
E.	Corporate Results Framework (2017-2021)	Organization sent
F.	WFP/EB.A/2017/5-A/1, Report to Executive Board, 12-16 June 2017, Update on the Integrated Road Map	Organization sent
G.	IRM Events	Organization sent
H.	WFP/EB.2/2018/7-A, Report to Executive Board, 26-29 November 2018, Summary evaluation report of the strategic evaluation of the pilot country strategic plans (2017–mid-2018)	Organization sent
I.	WFP/EB.2/2018/7-A/Add.1, Report to Executive Board, 26-29 November 2018, Management response to the recommendations set out in the summary report on the strategic evaluation of the pilot country strategic plans (2017–mid-2018)	Organization sent

30. FAO – Revised Policy for International Consultants

Overall comments	<ul style="list-style-type: none"> - The case summary was completed by FAO. Further information was added based on an interview and additional documentation. - Given the substantial number of consultants working for FAO, the revised policy was used as a way to influence the culture of the organization, towards a more open and merit based one with greater flexibility. - The information below provides a good overview of the reform and the change management objectives. There does not appear to have been a comprehensive change management process, but facets or change activities were found, mostly in the context of communications and trainings. - The case is considered complete.
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Review Question	Review Sub-Question	Sub-sub Question	Key Findings	Remarks
<i>(Adapted from overall Review Framework)</i>			<i>(After stating findings Indicate source by letter, corresponding to document list below)</i>	<i>(Include list of documents that may be applicable)</i>
REFORM/INITIATIVE OVERVIEW				
1. Details of the organizational reform/initiative (The 'What' question – what the initiative and reasoning behind it was?)	1.1 A brief summary of the reform/initiative.	1.1.1 What is its purpose? What are the objectives?	<p>Introduction and implementation of a revised policy for the recruitment and employment of international consultants.</p> <p>The purpose of the revised policy was to streamline and rationalize the procedures involving the selection and employment of international consultants.</p> <p>The revised policy allows the Organization to attract and manage best talents available in the global market, reinforcing the technical capacity of the Organization.</p>	
		1.1.2 When did it start? When did it end?	August 2017 – September 2018	
		1.1.3 What are the key elements/sub-initiatives?	<ul style="list-style-type: none"> • Institutionalization of an open, merit-based and competitive selection process • Standardization of minimum requirements • Use of rosters • Use of a new recruitment platform • Additional level of internal controls and compliance in different phases of recruitment and employment 	
		1.1.4 When and by whom was it approved?	The revised policy for the recruitment and employment of international consultants was approved by the Office of the Director-General in July 2017	
		1.1.5 Was the reform evaluated? What were the	The reform was evaluated and the outcomes showed that the Organization <u>successfully introduced and implemented the revised policy</u> : currently all the selection processes for international consultants follow the same procedures	

Review Question	Review Sub-Question	Sub-sub Question	Key Findings	Remarks
(Adapted from overall Review Framework)			(After stating findings Indicate source by letter, corresponding to document list below)	(Include list of documents that may be applicable)
		achievements, results, and/or outcomes?	in HQ and in all Decentralized Offices; all hiring offices are using the new recruitment platform and the internal controls mechanisms are in place. Managers and employees recognise the benefit of the new policy and recognise the revised procedures as the standard ones.	
	1.2 What were the underlying factors or drivers behind this reform/initiative?	1.2.1 What were the drivers? The causes of the initiative, generally an overarching, longer-term shift affecting how the organization operates.	The Organization continues to rely on international consultants for the delivery of its programme of work in all locations and the Independent Assessment of FAO’s Technical Capacity observed that there has been a considerable increase of the use of international consultants in the latest years, contributing to the reinforcement of the technical capacity of the Organization. Therefore, senior management identified the review of the policy of the recruitment and employment of international consultants as one of the main priorities of the Organization. Member states wanted procedures that are similar to professional staff (A.1)	
		1.2.2 Was there a specific event that acted as a trigger to get it started? It may be internal or external. These might include funding depletion, reputational (fraud, mismanagement) or other.	An internal audit review of the various aspects of the recruitment and employment of International consultants led to the identification of a number of shortcomings and bad practices that needed to be addressed.	
PLAN OF CHANGE MANAGEMENT PROCESS				
2. Which change management approaches have been used in the <u>design</u> of the above reform or initiative? (The 'How' question on design)	2.1 Describe the design or plan for change management in the initiative?	2.1.1 What were the specific objectives of change management within the design of the initiative?	The Organization focused the CM process on the following areas: <ul style="list-style-type: none">• people• culture• education• principles/visions <ol style="list-style-type: none">1. Change in the process and technology and change in the mind-sets – the need for greater flexibility (A)2. To change the culture that professional positions are not the same as consultants (A)3. To give merit the same importance by line managers and to tell them that diversity is important (A)	

Review Question	Review Sub-Question	Sub-sub Question	Key Findings	Remarks
<i>(Adapted from overall Review Framework)</i>			<i>(After stating findings Indicate source by letter, corresponding to document list below)</i>	<i>(Include list of documents that may be applicable)</i>
– what did they set out to do?)		2.1.2 Did the approach to change management draw from established practices (Kotter, McKinsey, PWC, UNLOCK etc) or not? If so, how?	<ul style="list-style-type: none"> - The Organization elaborated a structured approach to introduce the revised policy, following the main actions suggested by the Kotter approach. FAO recognised the need to elaborate a well-structured approach based on previous experiences, where some of the key elements were neglected. - The Organization adapted the Kotter approach to the corporate work environment and to the needs of the initiative. In particular, FAO immediately introduced the new policy, formalizing the change at the beginning of the process and not at the end. Nevertheless, the Organization, following the other steps of the approach, in one year (from August 2017 to August 2018) introduced further measures to sustain and institutionalize the change. - Use of Kotters – partially and not in the same order (A) <ul style="list-style-type: none"> o Sense of urgency – shown in the audit o Communicating the positive side of change o Obtaining senior management endorsement by convincing senior managers 	
		2.1.3 Was a specific plan prepared outlining the change management process(es)? Who prepared this plan – done internally or by an outside company? If external, please state who?	The Organization adopted a specific macro level work-stream on change management supporting other work-streams of reform/management strategy.	
	2.2 How did the triggers of the organizational reform or management initiative influence the change	2.2.1 What effect, if any, did the drivers or triggers of the reform have on the objectives and plan for change management?	The triggers of the initiative dictated tight deadlines from the introduction of the revised policy to the full implementation. To meet this goal, the standard change process was adapted to apply more online tools and resources.	

Review Question	Review Sub-Question	Sub-sub Question	Key Findings	Remarks
<i>(Adapted from overall Review Framework)</i>			<i>(After stating findings Indicate source by letter, corresponding to document list below)</i>	<i>(Include list of documents that may be applicable)</i>
	management approach?			
IMPLEMENTATION OF CHANGE MANAGEMENT PROCESS				
3. How have the change management approaches been adopted/ adapted and implemented? (The 'How' question on implementation)	3.1 What was the scope – breadth and depth of the change process?	3.1.1 Was it system-wide, organization, department etc.	The change process involved all departments and all offices in the Organization, in HQ and in the Decentralized Offices.	
	3.2 How was the change management process led?	3.2.1 Who led the change management process? Who was the owner/sponsor of the change? What is their position in relation to management?	The Office of Human Resources (OHR) led the change process in liaison with FAO senior management. The change management was led internally, as the revised policy, its goals and implications could be well assessed and addressed only by internal staff, with a deep knowledge of the Organization and its informal mechanisms.	
		3.2.2 Were consultants involved in implementation? If so, in what role?		
		3.2.3 What was the size of the team? Where was the CM team located?	The CM team was located in HQ within the Office of Human Resources and was composed by 5 people.	
		3.2.4 Is there an institutionalized function for change management in the organization or was the function time-bound for this specific initiative? <u>If yes, please include information in question 7 as well.</u>	The CM team was created for this initiative.	
		3.2.5 What mechanisms were put in place to oversee the change management process?	The Organization informed the internal governance body about the introduction and implementation of the revised policies and about the measures adopted following the CM process, asking their support to	

Review Question	Review Sub-Question	Sub-sub Question	Key Findings	Remarks
<i>(Adapted from overall Review Framework)</i>			<i>(After stating findings Indicate source by letter, corresponding to document list below)</i>	<i>(Include list of documents that may be applicable)</i>
		Did it include the head of organization, the governing body, just senior managers, or other? What role was played by each?	communicate across the Organization the purposes and the benefits of the initiatives.	
	3.3 How was the change management process structured?	3.3.1 Did the process have a definitive start and end?	The process has definitive start and end: August 2017 – September 2018	
		3.3.2 How long did it last?	One year	
	3.4 How was it implemented?	3.4.1 Describe the implementation process (refer to the plan in 2.1.3)	<ul style="list-style-type: none"> • in person and online training • communications through corporate channels (articles, interviews, FAQs, bulletins, PPT presentations) • workshops/informative meetings • training and informative material available online and in different languages • Transparency - Prepare and post informal information depending on people if they want to read (A) • Face to face presentations – addressing concerns that how the change affects their work (A) • Iterative process – relaxing provisions – there was some flexibility that gave it a positive response – change in favour of adoption of the new policy (A) • Using middle layer of staff as change agents – learnt from previous experiences (A) 	
		3.4.2 What communication mechanisms were used?	<ul style="list-style-type: none"> • Articles in the corporate intranet page • Emails 	
		3.4.3 How was the change initially framed and presented to staff?	The staff were informed by a formal administrative circular, followed by a series of articles in the corporate intranet page. The staff were informed by the urgency to introduce the new policy, its benefits and the transitional measures to allow a smoothly implementation.	
	3.5 How much reflexive learning took place during the process? Was	3.5.1 What learning and adaptive management processes were put in place during or after the CM	The CM team received constant feedback from different stakeholders and the CM process was adjusted during the year to increase its effectiveness based on this feedback.	

Review Question	Review Sub-Question	Sub-sub Question	Key Findings	Remarks
<i>(Adapted from overall Review Framework)</i>			<i>(After stating findings Indicate source by letter, corresponding to document list below)</i>	<i>(Include list of documents that may be applicable)</i>
	it evaluated during or after?	process? (please specify when put in place in relation to the process)	The senior members of the CM team continue to receive constant feedback through formal and informal channels. Their seniority allows them to escalate proposals or adjustment measures to the senior management when needed.	
RESOURCE IMPLICATIONS OF CHANGE MANAGEMENT PROCESS				
4. What have been the resource implications of change management?	4.1 How was the CM budgeted?	4.1.1 What was the source of financing- core resources/XB. Implications.	The CM process was funded through Regular Programme funds.	
	4.2 What were the major cost elements and actual costs (where available)?	4.2.1 What were the cost elements – financial, human (non-financial), etc? (Actual cost breakdown if possible to estimate)	The major costs originated from the implementation of the new recruitment platform and the human resources dedicated to the CM process. In one year, they worked for the CM process an average of 30% of their time.	
RESULTS OF CHANGE MANAGEMENT PROCESS				
5. What are the results and critical success factors of the change process or approach?	5.1 What were the results of the change process?	5.1.1 What were the <u>short-term</u> outputs? How were they assessed?	<p>Number of requests for information: The Organization passed from an average on 100 requests per day to 5 requests per day, mainly related to specific situations. The decrease of the requests for waiver demonstrates that the change has been assimilated into the corporate culture and now managers and staff are familiar with the new process, they know how to implement it in their work plan and recognize its benefit.</p> <ul style="list-style-type: none"> - Units moving forward with the process - Waivers to the policies – frequent at the beginning and now very rare - Benefits still need to be seen of the increase in diversity, merit, quality of consultants, competitive recruitment process and regional knowledge - Satisfaction among member states <p>(A)</p>	
		5.1.2 What were the <u>intermediate or long</u> outcomes? How were they assessed? Did they bring about the desired transformation?	<p>Expected outcomes: Organization value (organizational effectiveness criteria)</p> <ul style="list-style-type: none"> - Credibility – open organization – apply and compete - Efficiency – qualifications are checked only once- one system - Diversified and gender balanced workforce <p>(A)</p>	

Review Question	Review Sub-Question	Sub-sub Question	Key Findings	Remarks
<i>(Adapted from overall Review Framework)</i>			<i>(After stating findings Indicate source by letter, corresponding to document list below)</i>	<i>(Include list of documents that may be applicable)</i>
		(linked back to objectives in 2.1.1)		
	5.2 How did the process affect the results?	5.2.1 How did the change management results contributed to the reform results or outcomes and in what way? What is the value-add of the structured process, where used?	The structured process allowed the Organization to implement the change smoothly, without causing disruption of work.	
LESSONS FROM CHANGE MANAGEMENT PROCESS				
6. What lessons can be derived to guide future change management initiatives?	6.1 What are considered critical factors +/-	6.1.1 What do those involved, and those affected considered: (y) the key factors of success (z) factors that led to failure and the challenges and constraints to the change management process?	The main elements of success of the CM process were the well-defined communication campaign, the easy-to-use training courses and informative material, the constant collection of feedback from the different stakeholders that facilitate the introduction of transitional measures. <ul style="list-style-type: none"> • Well-structured communication plan • Online tools • Involvement of all stakeholders • Collection of feedback 	
	6.2 What positive features identified are transferable or scalable, which are not and why?	6.2.1 How unique are these to the context in which they were implemented?	These features are common in CM process.	
		6.2.2 What generalizable lessons can be identified?	This CM process is similar to the ones adopted by the UN system organizations. The intensive use of online tools and material can speed up the CM process and allow a better coverage in all decentralized offices.	
	6.3 What has the organization learnt from this process?	6.3.1 Would the organization run the process the same way again, or do things differently? If so, how?		

Change Management Functions in the Organization

If information on organizational level change management initiatives is found while reading through documents, please note details/findings below

Review Question	Review Sub-Question	Additional Description	Key Findings	Gaps and Questions
7. To what extent have change management functions been institutionalized?	7.1 Does the Participating Organization (PO) have a Change Management function – formalized or otherwise?	7.1.1 Is there a team – time-bound or fixed – working on CM across multiple initiatives (i.e. beyond a single time-bound change process)?	The functions have been entrusted to the Deputy Director of the Office of Human Resources (OHR), assisted by a junior P-2 HR Officer. The team is attached to the office of the Director, OHR.	
	7.2 What are its objectives?	7.2.1 How was it established? When? What is its purpose? How sustainable is it?	The team was established in September 2018, when the Deputy Director took up the duty. Both members are funded through regular programme funds. The main purpose of the team is to support OHR and the Organization in implementing the major forthcoming changes related to the HR management policies.	
	7.3 How is it structured, staffed and funded?	7.3.1 How many staff, and at what grades? Who does it report to? How is it funded and to what levels?	There is one D-1 part-time and one P-2 part-time.	

Document Key

Document	Document Title	Document Source
A.	Interview notes	JIU
B.	170 th Session Finance Committee 2018	FAO
C.	173 rd Session Finance Committee 2018	FAO

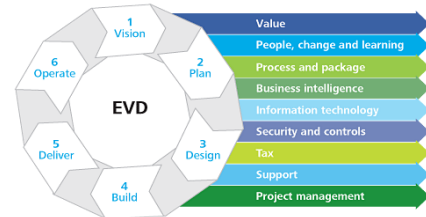
31. FAO – Global Resource Management System (GRMS)

Overall comments	<ul style="list-style-type: none"> The case summary was completed by FAO and additional information was added. The information provides a strong recognition of the importance of change management and outlines clear elements focused on communications for managing resistance and supporting project management processes. Information is also provided on the costs of change management and its resource implications. There are, however some gaps around the definition and measurement of expected and actual changes in practices and behaviours. Case is considered, but may follow up on behavioural aspects of the reform in January/ February 2019 with respect to the chapter of our study on behavioural factors/insights.
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Review Question	Review Sub-Question	Sub-sub Question	Key Findings	Remarks
<i>(Adapted from overall Review Framework)</i>			<i>(After stating findings Indicate source by letter, corresponding to document list below)</i>	<i>(Include list of documents that may be applicable)</i>
REFORM/INITIATIVE OVERVIEW				
1. Details of the organizational reform/initiative (The 'What' question – what the initiative and reasoning behind it was?)	1.1 A brief summary of the reform/initiative.	1.1.1 What is its purpose? What are the objectives?	<p>The GRMS Programme combined 3 major scope elements:</p> <ol style="list-style-type: none"> 1. <u>The implementation of IPSAS</u> (International Public Sector Accounting Standards) compliant processes and systems, which required the replacement and replacement of the FAS (Field Accounting System), which only supported the cash-based accounting method. 2. <u>The upgrade of the ERP</u> platform to Oracle Release 12 which included technical, functional, and integration elements with an overarching goal of reducing the amount customizations and retire bespoke applications. 3. The modernisation of the travel system or replacement of the ATLAS Travel system to provide improved IPSAS compliant travel management processes, systems, and controls. <p><u>Purpose:</u> Provide IPSAS compliant processes, address a technology obsolescence risk and provide a global platform in support of administrative system delivery. Harmonisation of UN-System accounting standards and practices to ensure consistency and transparency among UN agencies' Financial Statements</p> <p>Improving the way we work together as an organization (A.3)</p>	

			<p>Laying foundations for continuous improvement – GRMS provides FAO with the system, processes and capabilities to introduce further improvements in an effective and efficient manner (A.3)</p> <p>The new solution was also to provide for enhanced access to corporate information that will help manager make more informed decisions. The change was also positioned in a way to empower field offices in their ability to be more self-sufficient and autonomous to deliver programmes</p>	
		1.1.2 When did it start? When did it end?	<p>IPSAS implementation in FAO started in 2006 and ended in 2014 with the first IPSAS-compliant financial statements.</p> <p>The GRMS Programme officially started in December 2010 and completed ahead of schedule in June 2013.</p>	
		1.1.3 What are the key elements/sub-initiatives?	<ul style="list-style-type: none"> • Upgrade of Oracle eBusiness Suite from 11i to R12 • Replacement of the ATALS travel platform by a new IPSAS compliant Oracle-based travel system • Elimination of customisations of the previous ERP platform with an objective to eliminate as many of them as possible • Replacement on the non-IPSAS compliant Field Accounting System (FAS) • New and improved processes for asset valuation and management, inventories, goods and services in-kind and accrued expenses • Introduction of a new Non-staff contract management tool • Introduction of a time management module • Introduction of payroll for locally managed personnel • Access to a world class procurement platform globally 	
		1.1.4 When and by whom was it approved?	<p>IPSAS implementation was approved by the FAO Finance Committee at its 115th Session in September 2006. In October 2010 the GRMS project was approved by the Director-General and supported by the Finance Committee. The budget was presented and approved in February 2011 by the Governing bodies.</p>	
		1.1.5 Was the reform evaluated? What were the achievements, results, and/or outcomes?	<p>The anticipated results were achieved and presented to management and FAO Governing bodies. Progress towards achieving the goal of issuing IPSAS compliant Financial Statements was monitored throughout the project, until its completion culminating in the Organization's first IPSAS compliant financial statements being produced for the financial year 2014 and which obtained an unqualified audit opinion from the External Auditors. The Reform was audited by both FAO's Internal audit and by the External auditors.</p>	

	1.2 What were the underlying factors or drivers behind this reform/initiative? Where distinct or additional to broader drivers of change, what specific events or triggers signalled the start? Each of these will affect the approach, speed, scope, resources and adoption of change management. They can be both expected or unexpected.	1.2.1 What were the drivers? The causes of the initiative, generally an overarching, longer-term shift affecting how the organization operates.	The three main drivers were: <ol style="list-style-type: none"> 1. Technology obsolescence from the current ERP vendor causing business continuity risk from the loss of technical support from the vendor. 2. The need to comply with the UN General Assembly decision "<i>to approve the adoption by the United Nations of the International Public Sector Accounting Standards</i>" in resolution 60/283, section IV, of 7 July 2006. 3. The improvement in administrative service efficiency and quality through improved administrative systems 	
		1.2.2 Was there a specific event that acted as a trigger to get it started? It may be internal or external. These might include funding depletion, reputational (fraud, mismanagement) or other.	<p>In November 2005 HLCM approved the United Nations system-wide adoption of IPSAS by 1 January 2010. On 7 July 2006, the United Nation General Assembly adopted resolution 60/283 approving the adoption of IPSAS by the UN.</p> <p>The GRMS Programme was born as a result of the high level of complexity in managing two large initiatives as separate projects that could impact each other in terms of scope and access to resource, which led to resource contention and conflicting priority.</p> <p>In the summer of 2010, it became clear that organisational priorities had to be realigned and set in a way that would ensure the delivery of these two overarching initiatives: IPSAS and the Upgrade of the ERP supported by the Oracle eBusiness Suite 11i.</p>	
PLAN OF CHANGE MANAGEMENT PROCESS				
2. Which change management approaches have been used in the <u>design</u> of the above reform or initiative? (The 'How' question on design – what did they set out to do?)	2.1 Describe the design or plan for change management in the initiative?	2.1.1 What were the specific objectives of change management within the design of the initiative? -	<p>Objectives planned for the change management and communication function: (B.38)</p> <ul style="list-style-type: none"> • to support the achievement of the Programme's objectives • to ensure that information is widely and consistently communicated to achieve strategic aims • Lead assessment of communication needs of key stakeholders • Proactively identify and respond to change management and communication requirements and opportunities • Establish processes, standards and templates for Programme and Project change management and communications <p>Objectives of change management identified from the documentation:</p> <ol style="list-style-type: none"> 1. The change will need to be communicated and benefits will need to be clearly spelt out. 2. The new operational model underlying the Programme will need to be endorsed and supported at all levels in the organization, and the 	

			<p>resources required to effectively implement the new processes will need to be made available. New roles, responsibilities, processes and procedures will need to be defined, documented and disseminated.</p> <p>3. Informally addressing issues at the country level.</p>	
	<p>2.1.2 Did the approach to change management draw from established practices (Kotter, McKinsey, PWC, UNLOCK etc) or not? If so, how?</p>	<p>Yes, Kotter’s model with adaptation from the Deloitte approach used for the ‘WINGS II programme’ were used and adapted to derive the overall change management strategy.</p> <p>All the High-level Deliverable Descriptions– the major outputs of the Project – and the Intermediate Deliverable Descriptions – the functional and technical deliverables required to produce the High-level deliverables – were prepared based on the input provided at numerous planning workshops by the stakeholders, key users and suppliers. The same workshops also identified the activities, the users and stakeholder resources, and the quality checking methods required to ensure that the Deliverables are produced in accordance with the agreed quality criteria.</p> <p>Approaches were adapted to fit two other methodologies. Links were created to the PRINCE2 project management method that was used at that time to ensure change management was present throughout the various phases of the project. It was also inspired by the Deloitte EVD (Enterprise Value Delivery) method that was used by WFP for the WINGS II programme.</p> <p>The enterprise value delivery methodology included a focus on people, change and learning as one of the components.</p> <p>Enterprise value delivery (EVD) methodology</p>  <p>The rationale was a recognition that an ERP deployment of this magnitude required a strong change management approach to ensure success since it’s likely the most important factor affecting such endeavours.</p>		

		<p>2.1.3 Was a specific plan prepared outlining the change management process(es)?</p> <p>Who prepared this plan – done internally or by an outside company? If external, please state who?</p> <p>-</p>	<p>There was a macro level work-stream assigned to change management that handled all aspects of change from stakeholder's engagement, change impact assessments, organisation changes and impacts, training and communications. The following components were found in the planning document:</p> <ol style="list-style-type: none"> 1. Build, organizational readiness and system tests (May 2012) This phase represents all resources and effort required to build the solution according to the design specifications. This includes the elaboration of policies, procedures, user documentation, training materials, construction of technical objects and preparation for organizational change management. In other words, this phase includes building the system with all of its supporting documentation (policies, procedures), the satisfactory completion of unit, integration, and performance testing and preparing the organization to receive the proposed solution (Organizational change management) before moving to the user acceptance test phase. (B.28) 2. Communication strategy and plan The communication plan will be articulated following the Programme plan, in support of the various phases. It will start with a general awareness campaign, possibly expanding on the existing IPSAS communication activities. It will include communication at all levels, from management to end users, in headquarters and in the field. It will include targeted sessions, working groups, a website, ad hoc and regular communication through bulletins, articles, blogs etc. <p>A Communication Plan, fully articulating the specific activities and associated resources will be developed by the PMO Communication office as a first priority. (B.47)</p>	
	2.2 How did the triggers of the organizational reform influence the change management approach?	2.2.1 What effect, if any, did the drivers or triggers of the reform have on the objectives and plan for change management?	<p>The drivers definitely influenced the change process and helped reduce the amount of effort spent to reach consensus due to the sense of urgency that had been established and supported by senior management.</p>	
IMPLEMENTATION OF CHANGE MANAGEMENT PROCESS				
3. How have the change management	3.1 What was the scope – breadth and	3.1.1 Was it system-wide, organization, department etc.	<p>The change was wide and deep and involved the entire organization globally.</p>	

approaches been adopted/ adapted and implemented? (The 'How' question on implementation)	depth of the change process? 3.2 How was the change management process led?	3.2.1 Who led the change management process? Who was the owner/sponsor of the change? What is their position in relation to management?	<p>The true leader of the change management process was the project sponsor, the DDG for Operations.</p> <p>At the design phase FAO leaned on the PRINCE2 methodology to establish what is referred to as the Design Authority, which is essentially the individual accountable in making the decision on how a process will ultimately be architected from a system, process, and organisation perspective. This individual was supported by senior management and the change management lead assigned to the initiative to ensure decisions were made and integrated within the overall programme of work.</p> <p>The change management was lead internally by a team. The reason was the need to understand both the UN Culture and the organisation while having good experience with change management. The team was called the change management and communication team. It was under the Programme Manager (B.33).</p> <p><u>Governance Structures:</u> The governance structures presented in the PID were endorsed with the following modifications:</p> <ul style="list-style-type: none"> • The Program Manager should be identified in the structure as responsible for the Program Management Office; Change Management and Communication Function; Implementation Management Unit and Resource Management Function. • The Program Manager should have a direct reporting line to the Program Steering Group. • The Program Manager should also have a reporting line to the Chair of the PEB. <p>(B.62)</p>	
		3.2.2 Were consultants involved in implementation? If so, in what role?	<p>The team was composed largely by independent international consultants that had experience with the UN, gained with the WINGS II WFP ERP programme and with other international expert with experience within the UN/FAO and the technology being contemplated to address the scope of the initiative.</p> <p>Deloitte was not involved as the integrator. However, former consultants (including from Deloitte) did participate in the engagement as well as consultants from other firms (KPMG, Oracle, PwC and Accenture).</p>	

		3.2.3 What was the size of the team? Where was the CM team located?	<p>The GRMS project team had an average size of approximately 100 project team members, which peaked to over 150 for the quality assurance and deployment phase.</p> <p>The CM team was on average about 13 team members and peaked to nearly 40 members during deployment.</p>	
		3.2.4 Is there an institutionalized function for change management in the organization or was the function time-bound for this specific initiative?	Time-bound	
		3.2.5 What mechanisms were put in place to oversee the change management process? Did it include the head of organization, the governing body, just senior managers, or other? What role was played by each?	<p>Yes, the governance body was kept appraised of progress and the Programme Executive Board was engaged with regular progress meetings where key issues, decisions and risks were discussed and addressed.</p> <p>Regular updates on the GRMS programs was provided to the governance bodies at every Finance Committee essentially twice per year until the project closed.</p>	
	3.3 How was the change management process structured?	3.3.1 Did the process have a definitive start and end?	Yes, it started with the beginning of the project and continued until the final delivery with a handover to operations. It was structured to follow the major phases of the programme delivery and deliverables were weaved into the overall program of work to manage the degree and overall impact of the change.	
		3.3.2 How long did it last?	Approximately 30 months.	
	3.4 How was it implemented?	3.4.1 Describe the implementation process (refer to the plan in 2.1.3)	<ul style="list-style-type: none"> The change management was present at all stages of the project, from formulation, planning, design, build, quality assurance, deployment and stabilisation. The change management team was active in <u>diagnosing change impacts</u> in the earlier stages of the programme while they took a more active role in building the tools, job aids, and training materials to ensure a smooth deployment globally. 	

			<ul style="list-style-type: none"> At every stage of the project the change management and programme management team were actively involved <u>in managing resistance</u> to change while building a strong change support network. The approach <u>was derived from</u> Kotter's approach to change management. <ol style="list-style-type: none"> The end of support for the current platform and the organisational commitments to be IPSAS compliant made to our governing bodies were used to raise the sense of urgency The support of senior management was obtained and a Programme Executive Board was formed to drive the change agenda with senior executives of the organisation, including the Deputy Director General for Operation, the Assistant Director General of Corporate Services, the Director of the Office of strategy and planning, the Director of finance and the Director of the Information Technology Division. A vision was established and the project prioritised and communicated widely. A formal communication team and project management office established to ensure all stakeholders were informed. The programme manager was empowered by the management team to drive the programme delivery agenda. Winning conditions were established and resources allocated to the programme, which allowed the consolidation of improvements in support of a continuous improvement agenda. A strong deployment team was put in place in the later part of the project to ensure change could be communicated and supported globally, ensuring the institutionalisation of the new approach to administrative process delivery in FAO. 	
		3.4.2 What communication mechanisms were used?	<p>Many tools and processes were used:</p> <ul style="list-style-type: none"> The project made extensive use of Webex as a communication/demonstration technology to reach all users, which were distributed globally. Job aids using the Oracle User Productivity Kit (Oracle UPK) were developed for all impacted roles and process areas. A process documentation framework was also used to document the degree of change (e-Guide) enabled by Industry Print V4, a proprietary Deloitte tool from the WINGS II project, which was instrumental in supporting the development of training guides/tools. <u>As a form of incentive, the deployment team was formed from change agents that were identified through the project, which provide</u> 	

			<p><u>them an opportunity to visit colleagues in various country locations giving them a greater sense of purpose and contribution.</u></p> <ul style="list-style-type: none"> • The programme used a few internal events, usually staff funded to keep the team united. No retreats were done. • A number of external audits were performed for the programme <p>Several communications were used in support of the reform.</p> <ul style="list-style-type: none"> • Presentations done to staff by the Deputy Director-General for Operations and the Assistant Director-general, Corporate Services Department. • Presentations to governing bodies • Information sessions to staff and managers about the upcoming changes and impacts on their operations • A web site was also created for the project to help disseminate information http://intranet.fao.org/grms • E-mails were sent to targeted stakeholder groups • Many webinars were also conducted 	
		3.4.3 How was the change initially framed and presented to staff?	<p>The change was positioned as the introduction of new administrative capabilities that would eliminate manual low value added work, which will provide for more time to focus on more important higher value activity. Examples included:</p> <ul style="list-style-type: none"> • The introduction of electronic approvals via e-mail, eliminating the need for paper approval or the need to be logged into the ERP platform to provide approvals • Eliminate the paper payment request form, which was replaced by an electronic version <p>We also reinforced the fact that IPSAS compliance was in fact be easily achieved with minimal additional effort.</p> <p>The new solution was also to provide for enhanced access to corporate information that will help manager make more informed decisions.</p> <p>The change was also positioned in a way to empower field offices in their ability to be more self-sufficient and autonomous to deliver programmes.</p>	
	3.5 How much reflexive learning took place during the process? Was it evaluated during or after?	3.5.1 What learning and adaptive management processes were put in place during or after the CM process? (please	<p>Learning was embedded throughout the programme at all levels. There was specific programmes developed for the implementation team, the quality assurance processes and the following deployment activities.</p> <p>This took several forms:</p>	

		specify when put in place in relation to the process)	<ul style="list-style-type: none"> • Self-learning • Formal classroom for more difficult topics (train the trainer sessions) • The deployment relied on a job-aids and classroom training but was carried primarily using on the job training which was delivered by leaving the deployment team (between 1 and 2 people) at the deployment site/country between 1 or 4 weeks depending on size and complexity of operation. • These various events / channels were all designed with feedback loops that were reintegrated as part of process / job design to ensure maximum adoption could be achieved. • The Change management team was accountable in tracking the suggestions, which were turned into adaptations when appropriate. • Feedback sessions at the end of learning and design. • Pilot were also conducted for the various process and roles to collect feedback. • The project also had a “suggestion box” for improvements which were reviewed regularly throughout the various phases of the project. 	
RESOURCE IMPLICATIONS OF CHANGE MANAGEMENT PROCESS				
4. What have been the resource implications of change management?	4.1 How was the CM budgeted?	4.1.1 What was the source of financing- core resources/XB. Implications.	The programme was funded by the Member Nations (FAO Regular program budget) and more specifically from the Capital Expenditure Facility.	
	4.2 What were the major cost elements and actual costs (where available)?	4.2.1 What were the cost elements – financial, human (non-financial), etc? (Actual cost breakdown if possible to estimate)	<p>The cost for Change Management for the programme was about USD 4.5M (about 12% of the budgetary envelope) paid by the programme. We know that other costs can also be attributed, which we estimate to be approximately 8%, however these costs were not captured.</p> <p>We assume the total costs likely represented approximately 20% of the programme or USD 7.5 M</p> <p>The total costs for the complete project were USD 38.5 million from 2011 to 2013. (B.18)</p>	
RESULTS OF CHANGE MANAGEMENT PROCESS				
5. What are the results and critical success	5.1 What were the results of the change process?	5.1.1 What were the <u>short-term</u> outputs? How were they assessed? -	<ul style="list-style-type: none"> - New improved processes for assets, inventory, accruals and world-wide access to FAO's ERP, GRMS. - The results were measured by tracking the degree and nature of change impacts raised by business operations. 	

factors of the change process or approach?			<ul style="list-style-type: none"> - Essentially, the amount of impacts reported after a major phase either after design, build, testing and UAT was indicators used to manage the change process. - Every office and country was formally assessed using questionnaire at the end of every deployment to ensure adoption met expectations. 	
		5.1.2 What were the <u>intermediate or long</u> outcomes? How were they assessed? Did they bring about the desired transformation? (linked back to objectives in 2.1.1) -	<ul style="list-style-type: none"> - IPSAS compliant Financial Statements. FAO has consistently received an unqualified audit opinion on the annual accounts it has issued for the period 2014 to 2017. - The longer-term outcomes were assessed by being able to operate the business with the operating model using the new resource plan and organisational structure. - A benefits realization assessment was performed which broadly covered these aspects. - The level of client satisfaction is monitored by an annual survey. 	
	5.2 How did the process affect the results?	5.2.1 How did the change management results contributed to the reform results or outcomes and in what way? What is the value-add of the structured process, where used?	Yes. The more resistance to change the more change management was required which in the end prolonged the benefits realisation window. This in the case of GRMS could be attributed to the misalignment of expectations in terms of anticipated benefits vs the agreed scope of work. This was more apparent with the travel management processes in the case of GRMS where initial goals and benefits lacked precision and alignment with the overall corporate strategy.	
LESSONS FROM CHANGE MANAGEMENT PROCESS				
6. What lessons can be derived to guide future change management initiatives?	6.1 What are considered critical factors +/-	6.1.1 What do those involved, and those affected considered: (aa) the key factors of success (bb) factors that led to failure and the challenges and constraints to the change management process?	+ A formal change management team, process and methodology. + Support from senior management + Visible action from management on the importance of the initiative “-“ Important to have clear definition of the expected benefits and drivers of sub initiatives to maintain alignment with programme goals “-“ Important to keep a change management capacity to cover the benefits realisation period to ensure timely capture of benefits The most important factor to a successful CM process was being able to answer the simple question of “What’s in it for me?” When putting yourself in the shoes of the person going through the change and asking this very simple question helped drive the right messages to the various stakeholders while keeping the overall goals and objectives of the programme in alignment.	

			<p>This is a very scalable factor which applies to the simplest and most complex change.</p> <p>What is less transferable / scalable are the actual detailed change management tools and approaches which depend greatly on the availability of resources.</p> <p>If we accept that change management represents approximately 10-15% of the effort of an actual project, then the approach to be used will differ greatly based on the size and complexity of the change in question. In other words, not all changes could afford to have a deployment team of 40 people to provide assistance to the global deployment of new administrative processes. It's important to diagnose early the degree of change to ensure an appropriate change management process can be selected and adapted to the need of the initiative.</p>	
6.2 What positive features identified are transferable or scalable, which are not and why?	6.2.1 How unique are these to the context in which they were implemented?		The overall CM process can be shared, but the actual CM approaches and tools need to be considered and aligned to the context of the initiative.	
	6.2.2 What generalizable lessons can be identified?		<p>Change management in the UN shares many attributes with other organisations, such as the need to create a sense of urgency, gain support at all levels of the organisation, and need for a change agent network, strong communication and management of the change.</p> <p>What is different or requires more attention than a traditional public sector organisation is:</p> <ul style="list-style-type: none"> • The Global operating model of the UN • The cultural diversity and a need to adapt messages and communications • The multi-language aspects <p>However, one needs to recognise when these differences actually need to be considered in the change management process or challenged when used as an excuse not make a change.</p> <p>Change management is the single most important factor to consider when deploying new processes and tools. It will make or break a project.</p> <p>A sub-optimal process change will survive with good change management but even the best process improvements will fail without change management.</p>	

Document Key

Document	Document Title	Document Source
A.	Global RMS Programme – Presentation of the programme, 2012	FAO
B.	IPSAS/R12 Programme – Programme Initiation Document	FAO
C.	Your guide to successful ERP journey Deloitte	FAO
D.	GRMS Value Assessment 2018	FAO
E.	GRMS Test Strategy 2011	FAO

32. FAO – Risk Management and Internal Control Measures

Overall comments	<ul style="list-style-type: none"> The case summary was completed by FAO and later notes were added from an interview. The information provides substantial details regarding the reform process and on some good practices and lessons learnt. There does not appear to have been a comprehensive change management process, however, a post factum analysis indicates elements of change management that were considered during implementation. The case is considered complete, we may follow-up regarding any specific issues in January/ February 2019.
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Review Question	Review Sub-Question	Sub-sub Question	Key Findings	Remarks
<i>(Adapted from overall Review Framework)</i>			<i>(After stating findings Indicate source by letter, corresponding to document list below)</i>	<i>(Include list of documents that may be applicable)</i>
REFORM/INITIATIVE OVERVIEW				
1. Details of the organizational reform/initiative (The 'What' question – what the initiative and reasoning behind it was?)	1.1 A brief summary of the reform/initiative.	1.1.1 What is its purpose? What are the objectives?	Internal control implementation and improvement as well as risk management are ongoing activities since the past few years. FAO decided a few years ago, however, to focus efforts on an implementation of structured internal controls management and ERM <ul style="list-style-type: none"> To optimise internal controls throughout the organization, focusing effort in key areas of risk To identify, manage and report on risk in a structured manner, providing better information for decision-making, more strategic use of resources to manage key risks and cost savings through better planning for risk management Increase awareness globally and empower the decentralized offices by making them accountable – linked to the devolution of power to the field offices (A) 	
		1.1.2 When did it start? When did it end?	2016-2019 While several key steps have been taken over the years, such as the development of an Internal Control Framework and a Risk Policy with relevant tools, the specific stepping up of the effort started late 2016. It is currently still ongoing, with an expected completion of the key initiatives by the end of 2019.	
		1.1.3 What are the key elements/sub-initiatives?	1. Strengthening internal controls through the implementation of formal internal control reporting throughout the organization, with relevant follow up of implementation of control weaknesses and supported by awareness raising and capacity building	

Review Question	Review Sub-Question	Sub-sub Question	Key Findings	Remarks
<i>(Adapted from overall Review Framework)</i>			<i>(After stating findings Indicate source by letter, corresponding to document list below)</i>	<i>(Include list of documents that may be applicable)</i>
			2. Strengthened risk management through implementation of structured risk identification, management and reporting 3. Improved fraud risk awareness and management Most of these components were already implemented at FAO.	
		1.1.4 When and by whom was it approved?	The Internal Controls Board of FAO oversees the efforts and has approved the different steps of the initiatives	
		1.1.5 Was the reform evaluated? What were the achievements, results, and/or outcomes?	No formal evaluation has been performed or is planned at this point. Progress in internal controls implementation will be measured as part of annual reporting as well as regular audits of, in particular, country offices. Strengthening of formal risk management is currently initiating roll out with planned completion in 2019 and results cannot yet be evaluated	
	1.2 What were the underlying factors or drivers behind this reform/initiative? Where distinct or additional to broader drivers of change, what specific events or triggers signalled the start? Each of these will affect the approach, speed, scope, resources and adoption of change management. They can be both expected or unexpected.	1.2.1 What were the drivers? The causes of the initiative, generally an overarching, longer-term shift affecting how the organization operates.	<ul style="list-style-type: none"> The observation of some recurring weaknesses, in particular in decentralised locations, contributed to the decision for specific focused action to strengthen internal controls and risk management Dialogue with Member states - This was further emphasised through increased discussion in governing bodies and evolution of best practice within the UN calling for internal control reporting to stakeholders Importance for FAO - For the specific efforts to strengthen fraud risk management, the awareness of how also small scale fraud may impact the trust in the organization from all stakeholders 	
		1.2.2 Was there a specific event that acted as a trigger to get it started? It may be internal or external. These might include funding depletion, reputational (fraud, mismanagement) or other.	There were no specific events triggering action on general internal control and risk management. As regards the strengthening of fraud risk management, the 2016 JIU report on fraud prevention, detection and response clearly highlighted requirements for action.	

Review Question	Review Sub-Question	Sub-sub Question	Key Findings	Remarks
<i>(Adapted from overall Review Framework)</i>			<i>(After stating findings Indicate source by letter, corresponding to document list below)</i>	<i>(Include list of documents that may be applicable)</i>
PLAN OF CHANGE MANAGEMENT PROCESS				
<p>2. Which change management approaches have been used in the <u>design</u> of the above reform or initiative?</p> <p>(The 'How' question on design – what did they set out to do?)</p>	2.1 Describe the design or plan for change management in the initiative?	2.1.1 What were the specific objectives of change management within the design of the initiative?	<p>The three sub initiatives have been implemented with attention to:</p> <ul style="list-style-type: none"> • Ensuring continuing management buy-in and support • Clear communication with all involved through a combination of intranet articles, group meetings, and direct support for increased awareness. • Communication has been further reinforced through capacity building and learning through clear guidance material as well as dedicated eLearning • The initiatives have been designed and implemented respecting the organizational structures and hierarchies, clearly empowering the management of each function and emphasising accountability lines 	
		2.1.2 Did the approach to change management draw from established practices (Kotter, McKinsey, PWC, UNLOCK etc) or not? If so, how?	<p>No formal approach was utilised, however several of the Kotter 8 step change model, in practice, used:</p> <ul style="list-style-type: none"> • A sense of urgency was created by emphasizing the attention of governing bodies and stakeholders to these matters and highlighting specific shortfalls and related risks • Support from key stakeholders was guaranteed both early on and throughout the process • Communication focused on the potential for positive change as a result of the initiatives • Steps of the process, such as the first Statement of Internal Control have been clearly emphasised as short term wins with management and external stakeholders • FAO is building on the initial steps by implementing further improvements, which also helps to anchor the changes in the organizational culture 	Applied post factum – comparing what they had done to the Kotter's model (A)
		<p>2.1.3 Was a specific plan prepared outlining the change management process(es)?</p> <p>Who prepared this plan – done internally or by an outside company? If external, please state who?</p>		

Review Question	Review Sub-Question	Sub-sub Question	Key Findings	Remarks
<i>(Adapted from overall Review Framework)</i>			<i>(After stating findings Indicate source by letter, corresponding to document list below)</i>	<i>(Include list of documents that may be applicable)</i>
	2.2 How did the triggers of the organizational reform or management initiative influence the change management approach?	2.2.1 What effect, if any, did the drivers or triggers of the reform have on the objectives and plan for change management?	No comments	
IMPLEMENTATION OF CHANGE MANAGEMENT PROCESS				
3. How have the change management approaches been adopted/ adapted and implemented? (The 'How' question on implementation)	3.1 What was the scope – breadth and depth of the change process?	3.1.1 Was it system-wide, organization, department etc.	The implementation of the three initiatives will be organization wide	
	3.2 How was the change management process led?	3.2.1 Who led the change management process? Who was the owner/sponsor of the change? What is their position in relation to management?	The corporate sponsor of the change management process is the Internal Controls Board, which is chaired at DDG level (the Deputy Director General of Operations), and includes ADGs of Technical Cooperation and Corporate Services, Directors of Office of Strategy, Planning and Resources Management, IT Division and Office of Support to Decentralised Offices. The work on implementation of internal control reporting and strengthening of ERM has been led by the Office of Strategy, Planning and Resource Management while the work to strengthen fraud risk prevention and management has been led by the office of the Deputy Director General of Operations	
		3.2.2 Were consultants involved in implementation? If so, in what role?	The work has been led internally and carried out by internal resources within the relevant offices, rather than a standalone CM team	
		3.2.3 What was the size of the team? Where was the CM team located?	The work has been managed by existing resources The initiatives have been managed as part of the existing corporate structures and staffing with progress monitored by the Internal Controls Board	
		3.2.4 Is there an institutionalized function for change management in	No	

Review Question	Review Sub-Question	Sub-sub Question	Key Findings	Remarks
<i>(Adapted from overall Review Framework)</i>			<i>(After stating findings Indicate source by letter, corresponding to document list below)</i>	<i>(Include list of documents that may be applicable)</i>
		the organization or was the function time-bound for this specific initiative?		
		3.2.5 What mechanisms were put in place to oversee the change management process? Did it include the head of organization, the governing body, just senior managers, or other?	The FAO governing bodies receive reporting on progress of implementation of the three initiatives	
	3.3 How was the change management process structured?	3.3.1 Did the process have a definitive start and end?	No, as the initiatives are managed within the existing structures and resources and are part of ongoing improvement efforts	
		3.3.2 How long did it last?		
	3.4 How was it implemented?	3.4.1 Describe the implementation process (refer to the plan in 2.1.3)	1. Use of focal points to improve reach and create enthusiasm 2. Pilot – gathered feedback – being flexible in the beginning – certain regions needed more support	
		3.4.2 What communication mechanisms were used?	The initiatives have been implemented through a combination of intranet communication, direct communication by the staff directly involved as well as through a system of focal points throughout the organization and management engagement/follow up. eLearning has been developed to reinforce concepts and improve capacity throughout the organization	
		3.4.3 How was the change initially framed and presented to staff?	The communication of the initiatives has been carried out through the intranet as well as through the reporting lines, and framed as a management improvement	
	3.5 How much reflexive learning took place during the process? Was it evaluated during or after?	3.5.1 What learning and adaptive management processes were put in place during or after the CM process? (please specify when put in place in relation to the process)	The first year experience of the internal control reporting initiative, the first one to be implemented, was evaluated through a feedback process from colleagues involved as well as external audit. The feedback and recommendations were taken into consideration in the process improvements for the second year of reporting.	
			The risk management roll out will also be done in a similar manner, with the first phase informing the design of the second phase	

Review Question	Review Sub-Question	Sub-sub Question	Key Findings	Remarks
<i>(Adapted from overall Review Framework)</i>			<i>(After stating findings Indicate source by letter, corresponding to document list below)</i>	<i>(Include list of documents that may be applicable)</i>
			Completed a survey with focal points to gather lessons learnt for the following year (A)	
RESOURCE IMPLICATIONS OF CHANGE MANAGEMENT PROCESS				
4. What have been the resource implications of change management?	4.1 How was the CM budgeted?	4.1.1 What was the source of financing- core resources/XB. Implications.	<p>The work has been financed within existing resources for the functions involved</p> <p>In connection with the implementation of strengthened internal controls and fraud risk management, one of the units involved has been strengthened – but not specifically in connection with the initiative but rather as a permanent reinforcement</p>	
	4.2 What were the major cost elements and actual costs (where available)?	4.2.1 What were the cost elements – financial, human (non-financial), etc?	<p>Actual costs, relating to system and process development, have been very limited, while core staff involved can be quantified in:</p> <p>2 P5 – part time 2 P3 – part time</p>	
RESULTS OF CHANGE MANAGEMENT PROCESS				
5. What are the results and critical success factors of the change process or approach?	5.1 What were the results of the change process?	5.1.1 What were the <u>short-term</u> outputs? How were they assessed?	<p>The short term outputs of the internal control strengthening process has been the internal control reporting (Statement on Internal control issued by the Director General for the first time in 2018)</p> <p>ERM and Fraud Risk management processes are underway(a corporate Anti-Fraud strategy and action plan was formulated and about to be released)</p> <p>Evidence that it was successful (A)</p> <ol style="list-style-type: none"> 1. Timeliness of completion 2. Quality of reporting is better over the years 3. A focal point in every region has improved the reach and managed to create some enthusiasm 	
		5.1.2 What were the <u>intermediate or long</u> outcomes?	It is too early to determine long term outcomes	
	5.2 How did the process affect the results?	5.2.1 How did the change management results contributed to the reform	Yes, we strongly believe that the careful and participatory roll out of the new processes (ERM, fraud risk management and internal control reporting) will be a determining factor in the attitude towards the implementation and the sustainability	

Review Question	Review Sub-Question	Sub-sub Question	Key Findings	Remarks
<i>(Adapted from overall Review Framework)</i>			<i>(After stating findings Indicate source by letter, corresponding to document list below)</i>	<i>(Include list of documents that may be applicable)</i>
		results or outcomes and in what way?		
LESSONS FROM CHANGE MANAGEMENT PROCESS				
6. What lessons can be derived to guide future change management initiatives?	6.1 What are considered critical factors +/-	6.1.1 What do those involved, and those affected considered: (cc) the key factors of success (dd) factors that led to failure and the challenges and constraints to the change management process?	<p>Critical success factors:</p> <ul style="list-style-type: none"> • Management support and senior management buy in • Participatory rollout with adaptation to changing requirements/situations – the feedback mechanism engaged more people and gave them a voice • Implementation managed by existing structures being able to ensure continuity • Having a lot of start time to prepare (A) • Explaining what is in it for them (A) • Creating awareness among staff and generating enthusiasm (A) • Need to consider the context of the organization (A) <ul style="list-style-type: none"> ○ Mature organization ○ More traditional and not cutting edge management ○ FAO works better that it is not managed by external consultants instead of internal staff ○ Network of people that you can contact • On the use of consultants (A) <ul style="list-style-type: none"> ○ IPSAS required external consultants for project implementation but not here ○ Need people with good knowledge of the organization heavily involved • Maybe in other cases we need more structured CM, this case did not require structured CM but ERP did require and it is critical • Critical thinking and knowledge of the organization are the most important (A) • This one working within the horizons but not a major catastrophic change – more enthusiasm (A) <p>These positive factors could be considered transferable to any change initiative, with the exception of resources, where very large initiatives require additional, temporary and dedicated resources</p> <p>On sustainability (A)</p>	

Review Question	Review Sub-Question	Sub-sub Question	Key Findings	Remarks
<i>(Adapted from overall Review Framework)</i>			<i>(After stating findings Indicate source by letter, corresponding to document list below)</i>	<i>(Include list of documents that may be applicable)</i>
			<ul style="list-style-type: none"> The advantage of this initiative was that it is an annual process and therefore has to be used – enforced by doing it again Hands on support 	
	6.2 What positive features identified are transferable or scalable, which are not and why?	6.2.1 How unique are these to the context in which they were implemented?	Not unique	
		6.2.2 What generalizable lessons can be identified?		
	6.3 What has the organization learnt from this process?	6.3.1 Would the organization run the process the same way again, or do things differently? If so, how?	Maybe a formal CM process could be better	

Document Key

Document	Document Title	Document Source
A.	Interview notes	JIU

33. IAEA - Accountability

Overall comments	<ul style="list-style-type: none"> There are clear elements of a change management process evident from the documents and through the follow up interviews provided vis-à-vis the Accountability Reform. If there is a gap it appears to be around the structuring and documentation of change management, measurement of expected behavioural change results. Case is considered complete.
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Review Question	Review Sub-Question	Sub-sub Question	Key Findings	Remarks
<i>(Adapted from overall Review Framework)</i>			<i>(After stating findings Indicate source by letter, corresponding to document list below)</i>	<i>(Include list of documents that may be applicable)</i>
REFORM/INITIATIVE OVERVIEW				
1. Details of the organizational reform/initiative (The 'What' question – what the initiative and reasoning behind it was?)	1.1 A brief summary of the reform/initiative.	1.1.1 What is its purpose? What are the objectives?	<p>The main objective was to refocus to achieve results via accountability (A, 1)</p> <p>The overall purpose was to realize the Department's vision of recognized excellence in service delivery (A, 1)</p> <p>The Accountability ladder was aimed at reducing the common workplace excuses and lack of motivation including; blaming others. (C1)</p> <p>Finding ways to increase employee motivation and workplace proactivity (C1)</p>	
		1.1.2 When did it start? When did it end?	2017 – On going	
		1.1.3 What are the key elements/sub-initiatives?	<ul style="list-style-type: none"> Messaging from the top (DG senior management retreat) Framework (incorporating accountability into the regulatory framework) Socialization (incorporating accountability into training for staff) 	
		1.1.4 When and by whom was it approved?	Initiated by senior managers, DDG and Head of Department of Management (A,1)	
		1.1.5 Was the reform evaluated? What were the achievements, results, and/or outcomes?	<p>IAEA is struggling on <i>how</i> to measure the reform and <i>when</i> to measure the reform. However, they;</p> <ul style="list-style-type: none"> a. Talk to internal clients b. instituted the client satisfaction survey, asking questions such as do we understand your needs and business needs? 	

Review Question	Review Sub-Question	Sub-sub Question	Key Findings	Remarks
<i>(Adapted from overall Review Framework)</i>			<i>(After stating findings Indicate source by letter, corresponding to document list below)</i>	<i>(Include list of documents that may be applicable)</i>
			<p>Additionally, the baseline survey at the course of the year. It was over 85% positive (however they admit, the questions asked were oriented to have positive responses).</p> <p>Management try to ensure that staff are engaging in their professional fields, going to more training and there have been noticeable changes in behavior. (C.4)</p>	
	1.2 What were the underlying factors or drivers behind this reform/initiative?	1.2.1 What were the drivers? The causes of the initiative, generally an overarching, longer-term shift affecting how the organization operates.	<p>The idea is to shift the prevailing culture in the organization from compliance driven to accountability-driven. Managers and staff will understand why their actions are important and will exhibit behaviours of accountability.</p> <p>The need to change the hearts and mind to contribute to a more successful ERP (C.2)</p>	
		1.2.2 Was there a specific event that acted as a trigger to get it started? It may be internal or external. These might include funding depletion, reputational (fraud, mismanagement) or other.	The new DDG of management Mary Alice Hayworth's arrival (C3)	
PLAN OF CHANGE MANAGEMENT PROCESS				
2. Which change management approaches have been used in the <u>design</u> of the above reform or initiative? (The 'How' question on design)	2.1 Describe the design or plan for change management in the initiative?	2.1.1 What were the specific objectives of change management within the design of the initiative?	<p>1. Help empower staff, control over their work and commitment to the values of the IAEA (A.1)</p> <p>2. To provide a common language for staff to communicate goals, performance or results (A.1)</p> <p>3. Change the hearts and minds of the people</p>	
		2.1.2 Did the approach to change management draw from established practices (Kotter, McKinsey, PWC, UNLOCK etc) or not? If so, how?	The DDG's previous experience dealing with change management and in particular the accountability ladder.	

Review Question	Review Sub-Question	Sub-sub Question	Key Findings	Remarks
<i>(Adapted from overall Review Framework)</i>			<i>(After stating findings Indicate source by letter, corresponding to document list below)</i>	<i>(Include list of documents that may be applicable)</i>
– what did they set out to do?)		2.1.3 Was a specific plan prepared outlining the change management process(es)? Who prepared this plan – done internally or by an outside company? If external, please state who?	There was a communications consultant brought on to assist with communications and coaching. Particularly how to frame the reform	
	2.2 How did the triggers of the organizational reform or management initiative influence the change management approach?	2.2.1 What effect, if any, did the drivers or triggers of the reform have on the objectives and plan for change management?		
IMPLEMENTATION OF CHANGE MANAGEMENT PROCESS				
3. How have the change management approaches been adopted/ adapted and implemented? (The 'How' question on implementation)	3.1 What was the scope – breadth and depth of the change process?	3.1.1 Was it system-wide, organization, department etc.	The initiative was led by the Department of Management but was implemented across the organisation (A.1)	
	3.2 How was the change management process led?	3.2.1 Who led the change management process? Who was the owner/sponsor of the change? What is their position in relation to management?	Was led by the Department of Management. (A.1)	
		3.2.2 Were consultants involved in implementation? If so, in what role?	There was a communications consultant brought on to assist with communications and coaching. Particularly how to frame the reform	
		3.2.3 What was the size of the team? Where was the CM team located?	The senior management team of 11 people initiated the action and then established a working group of 8 to define strategic projects.	
		3.2.4 Is there an institutionalized function for change management in the organization or was the	The institutionalized function for change management is embedded in the change management department itself.	

Review Question	Review Sub-Question	Sub-sub Question	Key Findings	Remarks
<i>(Adapted from overall Review Framework)</i>			<i>(After stating findings Indicate source by letter, corresponding to document list below)</i>	<i>(Include list of documents that may be applicable)</i>
		function time-bound for this specific initiative?		
		3.2.5 What mechanisms were put in place to oversee the change management process? Did it include the head of organization, the governing body, just senior managers, or other? What role was played by each?	Senior managers review progress on a regular basis (quarterly for projects; annually for culture change.	
	3.3 How was the change management process structured?	3.3.1 Did the process have a definitive start and end?	No, it was initiated as a “rolling start” with a series of workshops and is defined with a 5-year plan (without a fixed end date).	
		3.3.2 How long did it last?	The Management Department strategic planning horizon is for 5 years.	
	3.4 How was it implemented?	3.4.1 Describe the implementation process (refer to the plan in 2.1.3)	1. The creation of the Ladder of Accountability based on INFOPRO LEARNING to be specific for the ‘accountability’ initiative of IAEA and helping communicate it to staff (A,1 and B) 2. ‘An Accountability Framework has been incorporated into the IAEA’s regulatory framework (Administrative Manual). 3. Accountability was also the subject of the IAEA’s annual Senior Management Retreat in 2018’ (A,1)	
		3.4.2 What communication mechanisms were used?	1. Ladder of accountability 2. Administrative manuals 3. Retreats/workshops	
		3.4.3 How was the change initially framed and presented to staff?	‘Staff in the Department of Management received a wooden ladder to keep on their desks as a physical reminder of the accountability culture’ (A,1)	
	3.5 How much reflexive learning took place during the process? Was it evaluated during or after?	3.5.1 What learning and adaptive management processes were put in place during or after the CM process? (please specify when put in place in relation to the process)	Plans are updated on an annual basis after a taking stock exercise and survey feedback in the department of Management. There are no plans Agency-wide.	

Review Question	Review Sub-Question	Sub-sub Question	Key Findings	Remarks
<i>(Adapted from overall Review Framework)</i>			<i>(After stating findings Indicate source by letter, corresponding to document list below)</i>	<i>(Include list of documents that may be applicable)</i>
4. What have been the resource implications of change management?	4.1 How was the CM budgeted?	4.1.1 What was the source of financing- core resources/XB. Implications.	None—internal staff time; minimal resources were used for the wooden ladders and other communication materials from the office of the DDG for management.	
	4.2 What were the major cost elements and actual costs (where available)?	4.2.1 What were the cost elements – financial, human (non-financial), etc? (Actual cost breakdown if possible to estimate)	53k euro budget 3k for wooden ladders Staff time; no breakdown available.	
RESULTS OF CHANGE MANAGEMENT PROCESS				
5. What are the results and critical success factors of the change process or approach?	5.1 What were the results of the change process?	5.1.1 What were the <u>short-term</u> outputs? How were they assessed?	As a culture change initiative, the short-term outputs are new processes for service desks to improve client orientation; an electronic signature system to improve accountability in approving routine documents and exceptions; An effort is being launched now to define processes and performance expectations (timing and quality) which will allow measure of improvement in the future.	
		5.1.2 What were the <u>intermediate or long</u> outcomes? How were they assessed? Did they bring about the desired transformation?	Improved customer satisfaction and increased efficiency are the two main goals for the department of management.	
	5.2 How did the process affect the results?	5.2.1 How did the change management results contribute to the reform results or outcomes and in what way?	It is hoped the effort will improve efficiency and client satisfaction levels	
LESSONS FROM CHANGE MANAGEMENT PROCESS				
6. What lessons can be derived to guide future change management initiatives?	6.1 What are considered critical factors +/-	6.1.1 What do those involved, and those affected considered critical factors in success/ failure of the change management process?	-Tone from the top -Continued focus of senior managers - non-monetary way of creating management structures that recognize the extra energy that people come to work with	

Review Question	Review Sub-Question	Sub-sub Question	Key Findings	Remarks
<i>(Adapted from overall Review Framework)</i>			<i>(After stating findings Indicate source by letter, corresponding to document list below)</i>	<i>(Include list of documents that may be applicable)</i>
	6.2 What positive features identified are transferable or scalable, which are not and why?	6.2.1 What features seem to be key to a successful CM process?	-Explaining “why” to the staff so that they can find a way to commit and engage. -Communications -Training and workshops (C2)	
		6.2.2 How unique are these to the context in which they were implemented?	The administrative processes on the whole do not contain explanations as to why they are performed, nor are reasons described for internal controls. This has fostered a compliance culture. By focusing on the “why” as part of the change management, we hope to encourage this approach at all levels.	
		6.2.3 What generalizable lessons can be identified?	Role of leadership Setting the tone from the top Communication (C1)	
	6.3 What has the organization learnt from this process?	6.3.1 Would the organization run the process the same way again, or do things differently? If so, how?		

Change Management Functions in the Organization

If information on organizational level change management initiatives is found while reading through documents, please note details/findings below

Review Question	Review Sub-Question	Additional Description	Key Findings	Gaps and Questions
7. To what extent have change management functions been institutionalized?	7.1 Does the Participating Organization (PO) have a Change Management function – formalized or otherwise?	7.1.1 Is there a team – time-bound or fixed – working on CM across multiple initiatives (i.e. beyond a single time-bound change process)?	The institutionalized function for change management is embedded in the change management department itself	
	7.2 What are its objectives?	7.2.1 How was it established? When? What is its purpose? How sustainable is it?	It is a department	
	7.3 How is it structured, staffed and funded?	7.3.1 How many staff, and at what grades? Who does it report to? How is it funded and to what levels?		

Document Key

Document	Document Title	Document Source
A.	Information from the email 2018	IAEA
B.	The ladder of accountability	IAEA
C.	IAEA Meeting Notes	JIU Compiled

34. IAEA – Agency-wide Information System for Program Support (AIPS)

Overall comment	<ul style="list-style-type: none"> Comprehensive and clear change management process evident from the documents and correspondence provided vis-à-vis ‘AIPS’. The gaps appear to be around the definition and measurement of expected behavioural change results. This case is considered complete, but may follow-up on behavioural aspects of the reform in January / February 2019 with respect to the chapter of our study on behavioural factors/insights.
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Review Question	Review Sub-Question	Sub-sub Question	Key Findings	Remarks
<i>(Adapted from overall Review Framework)</i>			<i>(After stating findings Indicate source by letter, corresponding to document list below)</i>	<i>(Include list of documents that may be applicable)</i>
REFORM/INITIATIVE OVERVIEW				
1. Details of the organizational reform/initiative (The 'What' question – what the initiative and reasoning behind it was?)	1.1 A brief summary of the reform/initiative.	1.1.1 What is its purpose? What are the objectives?	<p>The main purpose was to improve the overall effectiveness and efficiency to serve member states better.</p> <p>By replacing the ‘legacy’ systems with a single ERP (B.1). To obtain a holistic approach regarding software for programme management and admin which is in accordance to both external practices and strategic direction of the UN (C.22)</p> <p>The objectives were to:</p> <ol style="list-style-type: none"> 1. Improve the effectiveness, efficiency and ease of use of the programme management support processes and systems so staff can devote more time on the Agency’s core missions 2. Ensure the availability of real time, consistent and accurate information at all levels 3. Ensure a sustainable and well-functioning application support environment (C.23; B.3) 	
		1.1.2 When did it start? When did it end?	<p>2011-2017 (B.3)</p> <p>Funding was approved by the member states in 2008 (A.1)</p>	
		1.1.3 What are the key elements/sub-initiatives?	<p>The project was broken down into 4 implementation phases or ‘plateaus’, which also indicate its components (A.1)</p> <p><u>Plateau1</u>: Finance, Procurement and Programme Implementation (2011)</p> <p><u>Plateau2</u>: AIPS Planning (new project planning and monitoring system) (2012)</p>	

Review Question	Review Sub-Question	Sub-sub Question	Key Findings	Remarks
<i>(Adapted from overall Review Framework)</i>			<i>(After stating findings Indicate source by letter, corresponding to document list below)</i>	<i>(Include list of documents that may be applicable)</i>
			<p><u>Plateau3</u>: HR and Agency's payroll (2014)</p> <p><u>Plateau4</u>: Management of travel, meetings/events (2016)</p> <p>(All from C.23)</p> <p>For more details on the project timeline please see attached "Background and overview of AIPS project implementation".</p>	
		1.1.4 When and by whom was it approved?	As noted the funding for the project was approved gradually for each plateau by Member States as part of the Agency's normal process to prepare the overall Regular Programme and Budget for the organization.	
		1.1.5 Was the reform evaluated? What were the achievements, results, and/or outcomes?	<p>1. 'Overall the AIPS project has successfully addressed all these objectives and plateaus were delivered on time and on budget' (B.12)</p> <p>2. staff satisfaction based on user surveys (C.27)</p> <p>3. greater accountability through the support provided to the RBM cycle (C.27)</p> <p>4. resultant savings in time and effort have allowed IAEA resources to be used more efficiently (C.27)</p> <p>5. Audits on specific areas including security and OIOS is currently conducting a review.</p>	
	1.2 What were the underlying factors or drivers behind this reform/initiative?	1.2.1 What were the drivers? The causes of the initiative, generally an overarching, longer-term shift affecting how the organization operates.	<p>1. 'In 2006, a feasibility study was undertaken to assess the benefits and impact of creating an integrated Agency-wide information system to support programmatic activities.' it was decided an ERP system would be the most desirable, maintainable and cost efficient foundation for creating AIPS (C. 22)</p> <p>2. Pressure to adopt International Public Sector Accounting standards (IPSAS) throughout the UN system by financial year 2011. (C.22)</p>	
		1.2.2 Was there a specific event that acted as a trigger to get it started? It may be internal or external. These might include funding depletion, reputational (fraud, mismanagement) or other.		

Review Question	Review Sub-Question	Sub-sub Question	Key Findings	Remarks
<i>(Adapted from overall Review Framework)</i>			<i>(After stating findings Indicate source by letter, corresponding to document list below)</i>	<i>(Include list of documents that may be applicable)</i>
PLAN OF CHANGE MANAGEMENT PROCESS				
<p>2. Which change management approaches have been used in the <u>design</u> of the above reform or initiative?</p> <p>(The 'How' question on design – what did they set out to do?)</p>	2.1 Describe the design or plan for change management in the initiative?	2.1.1 What were the specific objectives of change management within the design of the initiative?	<p>The objective of the Change Approach has been to facilitate a fit among the three areas which are impacted by and benefit from the AIPS project namely organization, process and people. (C.24)</p> <p>A comprehensive <u>CM strategy</u> including communication and training plans, was developed for each plateau and shared with staff members to help prepare for the change (C.24)</p>	
		2.1.2 Did the approach to change management draw from established practices (Kotter, McKinsey, PWC, UNLOCK etc) or not?	<p>Developed with multiple influences also drawing on the expertise from the implementation partners (and later from lessons learned).</p> <p>“Application Implementation Methodology” from Oracle and project management requirements from Prince2.</p>	
		<p>2.1.3 Was a specific plan prepared outlining the change management process(es)?</p> <p>Who prepared this plan – done internally or by an outside company? If external, please state who?</p>	<p>Comprehensive CM strategies developed for each plateau including communication and training plans (C.24)</p> <p>A Change Action Plan was put in place for Plateau 1. (C.24)</p> <p>Change readiness assessment: Change readiness assessments were performed for the release of each major plateau and the outcome was summarized and shared with the AIPS Project Board as part of the “go/no go” decisions. The example below shows the content of the readiness assessment for Plateau 1. Remaining plateaus followed a similar structure (slightly less extensive as some parts were not relevant, e.g. the overall production infrastructure primarily established in Plateau 1):</p> <ul style="list-style-type: none"> ○ Application Readiness <ul style="list-style-type: none"> ▪ UAT Status ▪ Data Conversions ○ Legacy Application Readiness <ul style="list-style-type: none"> ▪ Status of Product Integration Testing (PIT) ▪ Legacy system integration status ○ Technical Infrastructure Readiness <ul style="list-style-type: none"> ▪ Performance Tests ▪ Technical Assembly Testing (TAT) ▪ Overall Production Infrastructure Readiness 	

Review Question	Review Sub-Question	Sub-sub Question	Key Findings	Remarks
<i>(Adapted from overall Review Framework)</i>			<i>(After stating findings Indicate source by letter, corresponding to document list below)</i>	<i>(Include list of documents that may be applicable)</i>
			<ul style="list-style-type: none"> ○ Organizational Readiness <ul style="list-style-type: none"> ▪ Roles and Responsibilities finalization ▪ Training ▪ Communication <p>Definition of type and scope of change: The type and scope of change were defined at different levels, but the focus was always to initially define a vision and then, primarily during the design, define a detailed list of the organizational impacts. We have attached an example from Plateau 2 that provides a good overview of the approach taken (AIPS Plateau 2 Organizational Readiness Strategy v 1.0.pdf).</p> <p>Institutional framework (governance, management, change management team, etc.): The governance framework and methodology of the project were aligned with the Prince2. However, to ensure the involvement of all key stockholders for the entire solution in the decision making, the project board was significantly larger than is the standard. The AIPS Project Board was chaired by the Project Executive i.e. the Deputy Director General for Management, it included: the Director of the project, all other Directors in the Department of Management, i.e. the business process owners (in total 6), all key users groups, i.e. a senior representative from each of the five scientific and technical Departments (appointed by the respective Deputy Director General), a senior representative from the Office of the Director General and, as observers, a representative from the Legal Division and a representative from the Office of Internal Oversight Services. As is described in the organizational readiness strategy document notes above specific “Governance Groups” were defined for each domain (business area) that provided authoritative guidance on the business processes and changes to the project team. Within the project team there was a change management team that coordinated the change process with focus on communication, training and organizational readiness.</p> <p>Approach to engaging with staff and stakeholders: In addition to the formal governance where the “Governance Groups” played a key role</p>	

Review Question	Review Sub-Question	Sub-sub Question	Key Findings	Remarks
<i>(Adapted from overall Review Framework)</i>			<i>(After stating findings Indicate source by letter, corresponding to document list below)</i>	<i>(Include list of documents that may be applicable)</i>
			<p>to ensure continuous engagement of key stakeholders at a management level, SME's (Subject Matter Experts) and Superusers were also defined for each functional area. An iterative approach (rather than a waterfall model) was adopted to ensure that user input was considered at every step of realization of a new solution. It was not uncommon that more than 40 staff/SMEs were part of this process. The model for engagement was refined for each plateau based on lessons learned and a more visual approach (with initial use of "mock-up" screens and focus on user interfaces) was adopted for later plateaus. For later plateaus gradual releases with pilots in the live environment were also conducted where possible, e.g. travel management. For the performance management functionality, a five months' full end to end test (mimicking a normal process) with around 100 participants representing all major stakeholders and levels in the organization was conducted.</p> <p>Defined role of leadership: Managing major change is a joint responsibility which must be led by the executive management in the organization. As noted above, for the AIPS project, the Deputy Director General for Management was the project executive. However, leading and managing the operationally change management process was delegated to the change manager within the project team.</p> <p>Process plan (training, engagement etc.): As noted above the overall project was divided into plateaus and each was managed and delivered as a specific project with an initial Project Initiation Documents (PID) and formal closure reporting (in line with Prince2). Specific for Change Management, the project also defined for each plateau the strategy for training and communication. To give a comprehensive picture of the change management effort relating to a specific plateau please find attached these two documents for Plateau 2 (these complement the attached strategy document relating to organizational readiness noted above). With lessons learned from each Plateau the approach to training and communication was refined and to provide another reference point please find also attached training and communications strategies for the last plateau.</p>	

Review Question	Review Sub-Question	Sub-sub Question	Key Findings	Remarks
<i>(Adapted from overall Review Framework)</i>			<i>(After stating findings Indicate source by letter, corresponding to document list below)</i>	<i>(Include list of documents that may be applicable)</i>
			Reflexive learning plan (monitoring and internal evaluation): Not clear what a “reflexive learning plan” encompasses. The efforts were both monitored and continuously evaluated. Approaches for managing change for each plateau was modified based on lessons learned from previous plateaus. The user satisfaction and impact were monitored on a yearly basis during the implementation and where possible actions to address concerns were taken. Specifically, for training, points of contact in the user departments provided direct feedback on additional needs, knowledge gaps and changes to the initial plan (or classes or material). Requests were accommodated where possible (mostly it was requests for additional classes but also included additional “customized” class or material to target needs of a specific user subgroup).	
	2.2 How did the triggers of the organizational reform or management initiative influence the CM approach?	2.2.1 What effect, if any, did the drivers or triggers of the reform have on the objectives and plan for change management?	The AIPS was not considered a change management reform, as such they do not believe that there was any impact. (J.Sten.2)	
IMPLEMENTATION OF CHANGE MANAGEMENT PROCESS				
3. How have the change management approaches been adopted/ adapted and implemented? (The 'How' question on implementation)	3.1 What was the scope – breadth and depth of the change process?	3.1.1 Was it system-wide, organization, department etc.	The reform was agency-wide but with specific solutions developed for Finance, Procurement, Asset & Inventory Management, Programme Management, Contacts Management, Human Capital Management, and Travel and Events Management (A.1; C.24)	
	3.2 How was the change management process led?	3.2.1 Who led the change management process? Who was the owner/sponsor of the change? What is their position in relation to management?	<p>The project was led by the department of management, its governance encompasses all Agency Department and is supported by subject matter experts from across the organization. (C.24)</p> <p>The AIPS Services Unit (2011) was set up for post go-live support and build capacity and organizational buy in (C.24).</p> <p>The Project Executive was the Deputy Director General for the Department of Management – DDG-MT (reporting to the Director</p>	

Review Question	Review Sub-Question	Sub-sub Question	Key Findings	Remarks
<i>(Adapted from overall Review Framework)</i>			<i>(After stating findings Indicate source by letter, corresponding to document list below)</i>	<i>(Include list of documents that may be applicable)</i>
			General of the IAEA). The Director for the AIPS project reported to the DDG-MT. The Change Manager reported to the Director of AIPS.	
		3.2.2 Were consultants involved in implementation? If so, in what role?	A very large portion of the overall project team came from the implementing partner (i.e. they were contactors). For most key positions we had a mirror organization i.e. a project manager from the partner and a project manager from the Agency, a domain/functional lead from the partner and a functional lead from the Agency Implementation partners include: accenture, thirdware, sensare, oracle, techEm (J.Sten.4)	
		3.2.3 What was the size of the team? Where was the CM team located?	The size and composition varied during the project, but in general it consisted of a manager, a communication specialist and two trainers. Located at HQ in Vienna.	
		3.2.4 Is there an institutionalized function for change management in the organization or was the function time-bound for this specific initiative?	The change management function relating to AIPS was timebound to the project. However, the trainers were transferred to the Division of Information Technology to be able to support the ongoing training needs.	
		3.2.5 What mechanisms were put in place to oversee the change management process? Did it include the head of organization, the governing body, just senior managers, or other? What role was played by each?	The project was led by the department of management, its governance encompasses all Agency Department and is supported by subject matter experts from across the organization. (C.24) The AIPS Services Unit (2011) was set up for post go-live support and build capacity and organizational buy in (C.24). The Project Executive was the Deputy Director General for the Department of Management – DDG-MT (reporting to the Director General of the IAEA). The Director for the AIPS project reported to the DDG-MT. The Change Manager reported to the Director of AIPS. Director Generals of Management Lead the different plateau. Including the following listed in order David Waller Janice Dunn Lee	

Review Question	Review Sub-Question	Sub-sub Question	Key Findings	Remarks
<i>(Adapted from overall Review Framework)</i>			<i>(After stating findings Indicate source by letter, corresponding to document list below)</i>	<i>(Include list of documents that may be applicable)</i>
			Mary Alice Hayward (J.Sten.4)	
	3.3 How was the change management process structured?	3.3.1 Did the process have a definitive start and end?	Yes – the formal start was the approval of the PID and related change management strategy documents and the end was the closure report.	
		3.3.2 How long did it last?	2009 to 2017	
	3.4 How was it implemented?	3.4.1 Describe the implementation process (refer to the plan in 2.1.3)	<p>The project director was overall responsible for the coordination. The Change Manager was responsible for the organizational readiness, communication and training parts. The change agent structure was set up for Plateau 1 but its usefulness was limited and it was replaced by a super user model.</p> <p>The change agent structure was set up for Plateau 1 but its usefulness was limited and it was replaced by a super user model.</p> <ol style="list-style-type: none"> Methods of training included: <ol style="list-style-type: none"> hands-on classroom training online training A Change network was set up during Plateau 1. The purpose of the Change Network was to: <ol style="list-style-type: none"> Establish a communication channel that supplements communication and training efforts directly from Divisions/functions. Create acceptance among impacted employees by giving them an opportunity to be involved, voice their opinions and to be correctly informed about how the change will affect their day to day work and what the benefits are Build a change leadership for the future Reduce change resistance by encouraging impacted employees to understand the need for change and its advantages Provide feedback regarding conducted change activities back to the project team The Super User model that replaced the change agent model Organizing preparedness activities before each of the plateaus (C.25) 	

Review Question	Review Sub-Question	Sub-sub Question	Key Findings	Remarks
<i>(Adapted from overall Review Framework)</i>			<i>(After stating findings Indicate source by letter, corresponding to document list below)</i>	<i>(Include list of documents that may be applicable)</i>
			<p>5. After each major release, a special room is set up for users to come to air concerns or questions (B,11)</p> <p>The model of the Change network was not successful given the Agency's culture does not the degree of proactivity required. (C.25)</p> <p>After Plateau 1 the change agent model was replaced by the super user model, which had a similar purpose but fitted better with IAEA needs. The super users were defined as members of the intended user community who:</p> <ol style="list-style-type: none"> 1. Are process experts in their process area 2. Are oracle module experts in their process area 3. Understand why processes have been so designed and systems have been so configured. 4. Will grasp the full implications of any proposed change to the existing design. (C.25) <p>In addition, a dedicated room to which users could come without appointment and ask questions and get help from experts face-to-face. The room was physically located close to the users and opening hours for these "walk-in" clinics/sessions were distributed to all users. Initially it was usually either morning or afternoon every day, but as users become more familiar, and key issues had been resolved, the frequency gradually decreased, and usually after a few months there was no more need and the regular Help Desk (and super users) would fully take over.</p>	
		3.4.2 What communication mechanisms were used?	<p>Communication methods included:</p> <ol style="list-style-type: none"> 1. Change in agency's financial rules and regulations were amended to reflect the business changes (C.24) 2. Briefings 3. videos and brochures 4. change network <p><u>On the change network:</u> It was set up during Plateau 1 to collaborate on project and drive changes towards end-user. It would help show staff the opportunities from the change, or become informed about the change and its potential benefits.</p>	

Review Question	Review Sub-Question	Sub-sub Question	Key Findings	Remarks
<i>(Adapted from overall Review Framework)</i>			<i>(After stating findings Indicate source by letter, corresponding to document list below)</i>	<i>(Include list of documents that may be applicable)</i>
			It would also encourage employees to understand the change needed (C.25) <u>Overall communication strategy:</u> The communication strategy was based on the idea that messages are likely to be accepted if they are spoken by variety of voices and authorities – readiness sessions were managed jointly with departmental representatives, and business owners were encouraged to take the lead in <u>explaining and advocating imminent changes to their departments</u> (C.25)	
		3.4.3 How was the change initially framed and presented to staff?	Please see sample communication strategies	
	3.5 How much reflexive learning took place during the process? Was it evaluated during or after?	3.5.1 What learning and adaptive management processes were put in place during or after the CM process? (please specify when put in place in relation to the process)	The ‘plateau’ approach allowed time for adjustment and learning following the implementation of each phase, which in turn helped ensure successful delivery of future plateaus (A.1) Adaptive changes occurred based on lessons from plateau 1 and consulting with those affected by those changes (C.24) It was preferable to help manage the change through super users (rather than a separate change network), or that implementation of organization change (as well as communication and training) are, in most cases, best implemented by staff that have had the possibility to understand organization, the people and the business processes (not external consultants). However, the most important lessons learned from Plateau 1 was probably that training should, if possible, be mandatory. A <u>change action plan</u> was put in place to guide implementation in subsequent plateaus (C.24)	
4. What have been the resource implications of change management?	4.1 How was the CM budgeted?	4.1.1 What was the source of financing- core resources/XB. Implications.	The funding for the entire reform was secured on a yearly basis from the Agency’s regular budget. (C.22) The funding system did lengthen the project’s overall timetable and increase overall costs, as it required fresh procurement processes to be carried out at the end of each ‘plateau’ (C.22)	

Review Question	Review Sub-Question	Sub-sub Question	Key Findings	Remarks
<i>(Adapted from overall Review Framework)</i>			<i>(After stating findings Indicate source by letter, corresponding to document list below)</i>	<i>(Include list of documents that may be applicable)</i>
			There was no separate budget line for change management. It was all part of the cost of each plateau. The cost was primarily related to salaries for staff involved and in some cases augmented with consultants.	
	4.2 What were the major cost elements and actual costs (where available)?	4.2.1 What were the cost elements – financial, human (non-financial), etc? (Actual cost breakdown if possible to estimate)	The total cost of the project was 35.4 M EUR. The cost of the change management was not tracked separately.	
RESULTS OF CHANGE MANAGEMENT PROCESS				
5. What are the results and critical success factors of the change process or approach?	5.1 What were the results of the change process?	5.1.1 What were the <u>short-term</u> outputs? How were they assessed?		
		5.1.2 What were the <u>intermediate or long term</u> outcomes? How were they assessed? Did they bring about the desired transformation? (linked back to objectives in 2.1.1)	<ol style="list-style-type: none"> 1. It enforced linkage of IAEA's Medium-Term Strategy to its programme delivery has been commended by its Member States (C.26) 2. Accountability has also improved thanks to a clear definition of project managers as allotment holders (C.26) 3. Staff satisfaction based on repeated user surveys improved (C.26) 	
	5.2 How did the process affect the results?	5.2.1 How did the change management results contributed to the reform results or outcomes and in what way? What is the value-add of the structured process, where used?	The AIPS project was the largest change management effort ever undertaking and a structured approach was necessary.	
LESSONS FROM CHANGE MANAGEMENT PROCESS				
6. What lessons can be derived to guide future change management initiatives?	6.1 What are considered critical factors +/-	6.1.1 What do those involved, and those affected considered critical factors in success/failure of the change management process?	<ol style="list-style-type: none"> 1. Recognising the importance of training staff early on to be prepared for incoming change and forming a training team to assist with this (B. 11) 2. Super users were a vital component of the support team serving the AIPS system (C.25) 3. Use of a phased approach may have prolonged implementation and added to costs compared to a 'big bang' approach. The approach perhaps added to a change fatigue (C. 27) 	

Review Question	Review Sub-Question	Sub-sub Question	Key Findings	Remarks
<i>(Adapted from overall Review Framework)</i>			<i>(After stating findings Indicate source by letter, corresponding to document list below)</i>	<i>(Include list of documents that may be applicable)</i>
		Are these distinguishable from the reforms behind the change etc.		
	6.2 What positive features identified are transferable or scalable, which are not and why?	6.2.1 What features seem to be key to a successful CM process?	1. A multi-layered governance structure appears to have vital, balancing inclusiveness with effectiveness (C.27) 2. Communications played a vital role in achieving required stakeholder engagement (C.27) 3. Training also emerges as a critical element to success, with IAEA finding that it should mandatory and cover policy, business processes and system issues. Best results are achieved through training development, where businesses and end users have been involved. (C.27)	
		6.2.2 How unique are these to the context in which they were implemented?	- IAEA could manage risks based on the plateaus approach and building on its own systems where the standard software was not a perfect fit. - IAEA also sought to benefit from the experiences of early adopters (FAO and UNICEF) – ‘colleague from WHO worked with IAEA for several weeks (C.23) On a more operational level, it is likely that the structured approach taken to change management addressing organizational readiness, training and communication, facilitated a successful implementation and achieving the objectives of the project.	
		6.2.3 What generalizable lessons can be identified?	The project was a continuous learning experience and it is difficult to single out specific actions,	Which of the overall lessons from the Report of the Implementation of the AIPS do you think could be most generalizable?
	6.3 What has the organization learnt from this process?	6.3.1 Would the organization run the process the same way again, or do things differently? If so, how?	The overall lessons learned described in the Report on the Implementation of the AIPS highlight areas where a different approach would possibly have been taken.	

Review Question	Review Sub-Question	Additional Description	Key Findings
7. To what extent have change management functions been institutionalized?	7.1 Does the Participating Organization (PO) have a Change Management function – formalized or otherwise?	7.1.1 Is there a team – time-bound or fixed – working on CM across multiple initiatives (i.e. beyond a single time-bound change process)?	There are multiple established functions that help manage and implement change e.g. the training team, an innovation lead in IT, etc. Additionally, for any project appropriately addressing change management is recognized as a critical component. There is also a drive to recognize the personal accountability to facilitate change and strive for operational excellence within the Department of Management. The Office of Internal Oversight Services also includes a management services function. However, there is no specific formalized “Change Management Office”.
	7.2 What are its objectives?	7.2.1 How was it established? When? What is its purpose? How sustainable is it?	<p>Change Network’s purpose:</p> <ul style="list-style-type: none"> - Establish communication channels that supplement training efforts - Build change leadership in future - Reduce change resistance by encouraging staff to understand need for change - Provide feedback regarding conducted change activities - Create acceptance among impacted employees by allowing them to be involved, voice opinions and be correctly informed about the change <p>(All from C.25)</p> <p>The change network was replaced by the super user model. The project also adopted a way of working where users and subject matter experts were part of the design, iteratively contributing to define a good and workable solution, as well as ensuring that testing was appropriate.</p>
	7.3 How is it structured, staffed and funded?	7.3.1 How many staff, and at what grades? Who does it report to? How is it funded and to what levels?	

Document Key

Document	Document Title	Document Source
A.	Email from the IAEA focal point 2018	IAEA
B.	Report on the Implementation of the AIPS (Report by the Director General) 2018	IAEA
C.	UNLOCK case study 1 (ERP) 2017	IAEA
D.	Background and overview of AIPS project implementation	IAEA
E.	Progress Reports 1 – 8	IAEA
F.	Summary of organisational impacts	IAEA
G.	Plateau training strategy 2 and 4	IAEA
H.	AIPS Communication strategy 2 and 4	IAEA
I	Organisation Readiness Strategy	IAEA
J	Interview Notes	JIU

35. ICAO- Organizational Performance Management

Overall comments	<ul style="list-style-type: none"> The case summary was completed by JIU. Additional information was added based on more documentation and an interview. The information provides details of the overall reform and the change management processes involved. There was specific emphasis on understanding behaviours of different stakeholders while implementing the reform which helps point to key lessons that can be used to draw upon. From the information provided there does not appear to have been a comprehensive change management process, however, elements of the process have been identified. The case is considered complete; however, the JIU may follow-up on behavioural aspects of the reform in January / February 2019 with respect to the chapter of our study on behavioural insights.
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Review Question	Review Sub-Question	Sub-sub Question	Key Findings	Remarks
<i>(Adapted from overall Review Framework)</i>			<i>(After stating findings Indicate source by letter, corresponding to document list below)</i>	<i>(Include list of documents that may be applicable)</i>
REFORM/INITIATIVE OVERVIEW				
1. Details of the organizational reform/initiative (The 'What' question – what the initiative and reasoning behind it was?)	1.1 A brief summary of the reform/initiative.	1.1.1 What is its purpose? What are the objectives?	ICAO implemented a Corporate Performance Management Framework to monitor and enhance accountability and performance of Corporate and organizational level indicators that are tied to their strategic plan (ICAO Business Plan 2017-19). This includes the development of a web-based tracking system to manage plans, track results and report on progress and expected results. To identify Key Performance Indicators tied to the 2017-19 Business Plan in order to monitor and report on performance against corporate and organization level goals and objectives. The overriding principle of the reform was to implement Results Based Management.	
		1.1.2 When did it start? When did it end?	2015-18 It appears to have begun in 2015 as a request from the Council to task a sub-group in the council with developing KPIs. Full implementation was recognized at a meeting with governing body in early 2018.	
		1.1.3 What are the key elements/sub-initiatives?	1. KPIs were developed to reflect the goals and objectives of the ICAO Business Plan. 2. Develop a monitoring tool, called the Corporate Performance Management Framework Tool (CPMFT), a web-based system to	

Review Question	Review Sub-Question	Sub-sub Question	Key Findings	Remarks
(Adapted from overall Review Framework)			(After stating findings Indicate source by letter, corresponding to document list below)	(Include list of documents that may be applicable)
			monitor the indicators and report on their achievement. Now known as the Corporate Management and Reporting Tool (CMRT).	
		1.1.4 When and by whom was it approved?	KPIs were proposed by a working group and they were approved by the Council and are reviewed annually. The CMRT was initiative by the Secretariat at the behest of the SG.	
		1.1.5 Was the reform evaluated? What were the achievements, results, and/or outcomes?	A 2018 meeting working paper of the Council contains full Results and Analysis on each KPI. No formal evaluation per se, however a working group of the Council, together with the secretariat, were involved in reviewing once again the KPIs for relevance and appropriate targets.	
	1.2 What were the underlying factors or drivers behind this reform/initiative? Where distinct or additional to broader drivers of change, what specific events or triggers signalled the start? Each of these will affect the approach, speed, scope, resources and adoption of change management.	1.2.1 What were the drivers? The causes of the initiative, generally an overarching, longer-term shift affecting how the organization operates.	The main driver was ICAO’s 2017-19 Business Plan, which is jointly driven by the Council and the Secretariat. The Council asks for the results which the Secretariat reports on. In the 204 th Session the Council requested that the working group on governance and efficiency address the development of KPIs and establish a sub-group	
		1.2.2 Was there a specific event that acted as a trigger to get it started? It may be internal or external. These might include funding depletion, reputational (fraud, mismanagement) or other.	It stemmed from discussions between Council Members and Secretariat staff responsible for Strategy. There was a need and desire to measure performance.	
PLAN OF CHANGE MANAGEMENT PROCESS				
2. Which change management approaches have been used in the <u>design</u> of the above reform or initiative?	2.1 Describe the design or plan for change management in the initiative?	2.1.1 What were the specific objectives of change management within the design of the initiative?	1. To overcome the technological barrier with the council members: Part of the reform was to provide information using the online platform – that would also be used by the council to monitor the performance of the secretariat. However, the council preferred papers that would be tabled and hardcopies of the updates. (F.) 2. To make the council and the staff active users of the online platform (F.)	
(The 'How' question on design		2.1.2 Did the approach to change management draw from established practices (Kotter, McKinsey, PWC,	The Secretariat utilized RBM as the blueprint and followed Kotter’s 8 Step model – initial development involved an agile scrum approach.	

Review Question	Review Sub-Question	Sub-sub Question	Key Findings	Remarks
<i>(Adapted from overall Review Framework)</i>			<i>(After stating findings Indicate source by letter, corresponding to document list below)</i>	<i>(Include list of documents that may be applicable)</i>
– what did they set out to do?)		UNLOCK etc) or not? If so, how?	<p>The person who had the knowledge on the change management models and approaches left recently. (F.)</p> <p>ICAO chose an iterative approach to manage the change. Based on the analysis of the needs - gradual introduction of the change – leading to greater acceptance. (F)</p> <p>The Kotter model was backed into. For staff the sense of urgency was an easy sell. The sense of urgency was there for the secretariat. The Council saw the urgency as getting info and accessing it. They didn't understand what they were getting when they requested it. The following Kotter steps were used (to various degrees):</p> <ol style="list-style-type: none"> 1. create a sense of urgency <ul style="list-style-type: none"> - Both Staff and Council saw urgency - Council wanted info. 2. build a guiding coalition 3. form a strategic vision & initiatives 4. enlist a volunteer army <ul style="list-style-type: none"> - Secretariat was primarily the VA. 5. enable action by removing barriers 6. generate short-term wins 7. sustain acceleration 8. institute change 	
		<p>2.1.3 Was a specific plan prepared outlining the change management process(es)?</p> <p>Who prepared this plan – done internally or by an outside company? If external, please state who?</p>	<p>Overall systems approach. IT system captured – change in both the council and staff. Analysis of needs done and broken down so that the change was more gradual. Secretariat change was first and then rolled out to the Council.</p> <p>Overriding principle was to move more progressively to RBM. A big step was needed. Looked at structure of Business Plan and was starting point for analysis – provided design for change management, linked BP process, operating plans, yearly plans and linked to Risk Management, corporate KPIs and with governance processes.</p>	

Review Question	Review Sub-Question	Sub-sub Question	Key Findings	Remarks
<i>(Adapted from overall Review Framework)</i>			<i>(After stating findings Indicate source by letter, corresponding to document list below)</i>	<i>(Include list of documents that may be applicable)</i>
			<p>Non connected systems that needed to be connected for technocrats at the Secretariat. A sense of urgency was easiest to create. People were searching for this type of change. Iterative approach gave short-term wins to build on. Wins were made visible.</p> <p>The Council (which has a rotation of about 18 of 36 on a regular basis), was provided information online and dynamic in real time. The President of the Council supported it and was proactive. Modelled for the Council on how to access and use the system, but still gaining traction.</p>	
	2.2 How did the triggers of the organizational reform or management initiative influence the change management approach?	2.2.1 What effect, if any, did the drivers or triggers of the reform have on the objectives and plan for change management?		
IMPLEMENTATION OF CHANGE MANAGEMENT PROCESS				
3. How have the change management approaches been adopted/ adapted and implemented? (The 'How' question on implementation)	3.1 What was the scope – breadth and depth of the change process?	3.1.1 Was it system-wide, organization, department etc.	This was organization wide as well as with the governing body.	
	3.2 How was the change management process led?	3.2.1 Who led the change management process? Who was the owner/sponsor of the change? What is their position in relation to management?	Council and SG. The Business Plan was championed by the Secretary General with a senior Director in-charge of the project, who was directly supported by the Strategic Planning Office and a key/senior staffer from both the Air Navigation Bureau and the Air Transport Bureau – the team included focal points from each Bureau.	
		3.2.2 Were consultants involved in implementation? If so, in what role?	There wasn't a dedicated CM team, rather key individuals from the Business Plan Team representing various Bureaus and Strategic Planning led the process. ICAO has been in touch with the UN innovation network (F)	
		3.2.3 What was the size of the team? Where was the CM team located?	The team had 3 dedicated people with others joining periodically	

Review Question	Review Sub-Question	Sub-sub Question	Key Findings	Remarks
<i>(Adapted from overall Review Framework)</i>			<i>(After stating findings Indicate source by letter, corresponding to document list below)</i>	<i>(Include list of documents that may be applicable)</i>
		3.2.4 Is there an institutionalized function for change management in the organization or was the function time-bound for this specific initiative?	More time bound than institutionalized – though SPCP led the process and can be construed as the owner of CM in the Organization.	
		3.2.5 What mechanisms were put in place to oversee the change management process? Did it include the head of organization, the governing body, just senior managers, or other? What role was played by each?	The Council was informed and kept abreast of outcomes, and given the opportunity to comment and/advise on the outcomes more so than the process.	
	3.3 How was the change management process structured?	3.3.1 Did the process have a definitive start and end?	It is an on-going process.	
		3.3.2 How long did it last?		
	3.4 How was it implemented?	3.4.1 Describe the implementation process (refer to the plan in 2.1.3)	<p>There was an RBM Orientation Guide, while both Council and staff were introduced to and trained on the CMRT.</p> <p>On training (F)</p> <ol style="list-style-type: none"> 1. Proactive, dedicated training sessions for council members 2. Provided training, but did not consider a few human factors, following lessons learnt <ol style="list-style-type: none"> a. System was user friendly but Council getting access to it was not – making it as a single log on access was important to impact usage b. Not going to change habits of users - system would become passive. Therefore, active emails were sent to council members as motivation devices to increase usage c. customizing the information available - what do you want to know – regionalized view of the corporate KPIs – institutional requirement within ICAO – looping it to the needs – motivation 	

Review Question	Review Sub-Question	Sub-sub Question	Key Findings	Remarks
<i>(Adapted from overall Review Framework)</i>			<i>(After stating findings Indicate source by letter, corresponding to document list below)</i>	<i>(Include list of documents that may be applicable)</i>
			3. Training with regional office staff in person – the processes were institutively obvious for the staff and there were less issues 4. For the council – not easy to follow the model – not seeing the big picture or the linkages – urgency in deliverables – different content On engagement (F) 1. In the perfect world all staff would be involved in every process of development –but not living in the perfect world – needed a smarter strategy involving selected staff	
		3.4.2 What communication mechanisms were used?	Key Staff and Bureau Focal Points were informed by email messages and shared documents (PPTs) on the internal SharePoint. Extensive briefs were provided at the appropriate level within the secretariat with training to secretariat staff as well as staff in the Regional Offices.	
		3.4.3 How was the change initially framed and presented to staff?	It was introduced as part of the Business Plan process	
	3.5 How much reflexive learning took place during the process? Was it evaluated during or after?	3.5.1 What learning and adaptive management processes were put in place during or after the CM process? (please specify when put in place in relation to the process)		
RESOURCE IMPLICATIONS OF CHANGE MANAGEMENT PROCESS				
4. What have been the resource implications of change management?	4.1 How was the CM budgeted?	4.1.1 What was the source of financing- core resources/XB. Implications.	Regular budget resources	
	4.2 What were the major cost elements and actual costs (where available)?	4.2.1 What were the cost elements – financial, human (non-financial), etc? (Actual cost breakdown if possible to estimate)	No project specific hires were used – the entire process was undertaken with existing Secretariat resources.	

Review Question	Review Sub-Question	Sub-sub Question	Key Findings	Remarks
<i>(Adapted from overall Review Framework)</i>			<i>(After stating findings Indicate source by letter, corresponding to document list below)</i>	<i>(Include list of documents that may be applicable)</i>
RESULTS OF CHANGE MANAGEMENT PROCESS				
5. What are the results and critical success factors of the change process or approach?	5.1 What were the results of the change process?	5.1.1 What were the <u>short-term</u> outputs? How were they assessed?	The short-term output was a functioning CMRT. It was not officially assessed, rather ongoing suggestions and recommendations are fielded from the Council.	
		5.1.2 What were the <u>intermediate or long</u> outcomes? How were they assessed? Did they bring about the desired transformation? (linked back to objectives in 2.1.1)	Long-term outcomes have yet to be determined.	
	5.2 How did the process affect the results?	5.2.1 How did the change management results contributed to the reform results or outcomes and in what way?	Yes, the initial approach was successful	
LESSONS FROM CHANGE MANAGEMENT PROCESS				
6. What lessons can be derived to guide future change management initiatives?	6.1 What are considered critical factors +/-	6.1.1 What do those involved, and those affected considered: (ee) the key factors of success (ff) factors that led to failure and the challenges and constraints to the change management process?	<p>Technological divide was recognized as a key lesson learned for CM process for Council members. Active and passive users were identified and access to the system was a key barrier to overcome.</p> <p>Would have had staff members involved in every aspect of its development. Introduced regional office reports and would have had the users' needs in mind if they were engaged.</p> <p>Best practices: Buy in from SG and direction from her for system to be the core. High level buy-in, direction and leadership. She was Executive Sponsor and was consistent and visible in her leadership and effectively communicated to council. Resources were also supported at the top level. She uses the system to monitor performance and is an active user.</p> <p>Lessons: (F)</p> <ol style="list-style-type: none"> 1. The context is important: <ol style="list-style-type: none"> a. ICAO is a 'technocratic' organization 	

Review Question	Review Sub-Question	Sub-sub Question	Key Findings	Remarks
<i>(Adapted from overall Review Framework)</i>			<i>(After stating findings Indicate source by letter, corresponding to document list below)</i>	<i>(Include list of documents that may be applicable)</i>
			<ul style="list-style-type: none"> b. Multiple non-connected systems existed that needed to be interconnected c. No problem establishing a shared sense of urgency d. Governance of ICAO is unique – the council is collocated with Secretariat. <p>2. Provided training but did not consider a few human factors</p> <ul style="list-style-type: none"> a. LESSON 1 - System was user friendly but getting access to it was not – making it as a single log on access was important to impact usage. Access was changed to allow for a single logon for the Council. b. LESSON 2 – Not going to change habits of users - system would become passive. Therefore, active emails were sent to council members as motivation devices to increase usage. System was adjusted for Council members to alert them of a change in the KPIs to have them use the system. c. LESSON 3 – customizing the information available - what do you want to know – regionalized view of the corporate KPIs – institutional requirement within ICAO – looping it to the needs – motivation. Report on regional offices was streamlined and a regionalized view of KPIs was customized for Council. Created relevance and demand. <p>3. Buy in of the SG + role of leadership</p> <ul style="list-style-type: none"> a. Executive sponsor b. Effective communication c. Resources support on the CMRT d. One on one performance reviews e. Active user - walk the talk <p>4. Importance of communication</p> <p>5. Software</p> <p>6. Iterative approach – gradually introducing the change – greater acceptance</p>	
	6.2 What positive features identified are	6.2.1 How unique are these to the context in which they were implemented?		

Review Question	Review Sub-Question	Sub-sub Question	Key Findings	Remarks
<i>(Adapted from overall Review Framework)</i>			<i>(After stating findings Indicate source by letter, corresponding to document list below)</i>	<i>(Include list of documents that may be applicable)</i>
	transferable or scalable, which are not and why?	6.2.2 What generalizable lessons can be identified?		
	6.3 What has the organization learnt from this process?	6.3.1 Would the organization run the process the same way again, or do things differently? If so, how?		

Document Key

Document	Document Title	Document Source
A.	205 th session of Council	ICAO
B.	Council – 207 th Session	ICAO
C.	Council – 212 th Session	ICAO
D.	Council – 213 th Session	ICAO
E.	2017-19 Operational Plan	ICAO
F.	Interview notes	JIU

36. ICAO- Organizational Risk Management

Overall comments	<ul style="list-style-type: none"> The case summary was completed by the JIU; additional information was provided by ICAO. The information provides details of the overall reform and its implementation process that focused largely on identifying risks through a workshop. However, no overall focus on change management as an explicit approach was identified, nor the elements of change management implementation (plan and actions) as defined in the questions and examples given. The case is therefore not considered for change management, on balance, to be considered as an example of change management, rather just one exhibiting good organizational development practices. The information provided here would be used in describing the overall range of reforms across the UN system. Nevertheless, the JIU team thanks ICAO for the provision of information in this case.
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Review Question	Review Sub-Question	Sub-sub Question	Key Findings	Remarks
<i>(Adapted from overall Review Framework)</i>			<i>(After stating findings Indicate source by letter, corresponding to document list below)</i>	<i>(Include list of documents that may be applicable)</i>
REFORM/INITIATIVE OVERVIEW				
1. Details of the organizational reform/initiative (The 'What' question – what the initiative and reasoning behind it was?)	1.1 A brief summary of the reform/initiative.	1.1.1 What is its purpose? What are the objectives?	To identify, rate and report on risks at the corporate and organization-wide levels in order to map potential risks that may impact the goals and objectives of the 2017-19 strategic plan. and management of risk. ICAO developed a Risk Management framework and strategy, which is tracked on a web-based system and reported on three times per year. It is updated as needed and formally three times per year and any changes to the register are reported by the SG for conveyance to the Council.	
		1.1.2 When did it start? When did it end?	The Council and Staff participated in a workshop to identify risks in March 2016 (207 th Session) and the final register and tracking was implemented and reported on in the 209 th Session) October 2016. The register was approved/implemented in October 2017 and is updated as and when risks arise. Any changes to the register are reported to our Council three times per year.	
		1.1.3 What are the key elements/sub-initiatives?	Staff identified risks and the Secretariat developed the plan for RM and rated each risk. Council workshop was held to determine risk at various levels. Secretariat screened and analysed the identified risks. Council working group approved the final list of 25.	

Review Question	Review Sub-Question	Sub-sub Question	Key Findings	Remarks
(Adapted from overall Review Framework)			(After stating findings Indicate source by letter, corresponding to document list below)	(Include list of documents that may be applicable)
		1.1.4 When and by whom was it approved?	The final risk list was approved by the Secretary General and presented to the Council Body who also provides its approval.	
		1.1.5 Was the reform evaluated? What were the achievements, results, and/or outcomes?	The result was a final corporate risk register that is maintained and reported to the Council three times per year. No evaluation has been conducted of the register or process.	
	1.2 What were the underlying factors or drivers behind this reform/initiative? Where distinct or additional to broader drivers of change, what specific events or triggers signalled the start? Each of these will affect the approach, speed, scope, resources and adoption of change management. They can be both expected or unexpected.	1.2.1 What were the drivers? The causes of the initiative, generally an overarching, longer-term shift affecting how the organization operates.	This was borne out of the strategic plan and both the Council and the Secretariat identified the need.	
		1.2.2 Was there a specific event that acted as a trigger to get it started? It may be internal or external. These might include funding depletion, reputational (fraud, mismanagement) or other.	No specific trigger.	
		PLAN OF CHANGE MANAGEMENT PROCESS		
2. Which change management approaches have been used in the <u>design</u> of the above reform or initiative? (The 'How' question on design	2.1 Describe the design or plan for change management in the initiative?	2.1.1 What were the specific objectives of change management within the design of the initiative?		
		2.1.2 Did the approach to change management draw from established practices (Kotter, McKinsey, PWC, UNLOCK etc) or not? If so, how?	There was no specific structure developed and the guidance document was used as a loose structure for a ‘bottom up’ approach	

Review Question	Review Sub-Question	Sub-sub Question	Key Findings	Remarks
<i>(Adapted from overall Review Framework)</i>			<i>(After stating findings Indicate source by letter, corresponding to document list below)</i>	<i>(Include list of documents that may be applicable)</i>
– what did they set out to do?)		<p>2.1.3 Was a specific plan prepared outlining the change management process(es)?</p> <p>Who prepared this plan – done internally or by an outside company? If external, please state who?</p> <p>Examples of elements of plan:</p> <ul style="list-style-type: none"> - change readiness assessment - definition of type and scope of change - Approach to engaging with staff and stakeholders - Institutional framework (governance, management, change management team, etc) - Defined role of leadership - Process plan (training, engagement etc) - Reflexive learning plan (monitoring and internal evaluation) 	No	
	2.2 How did the triggers of the organizational reform or management initiative influence the change management approach?	2.2.1 What effect, if any, did the drivers or triggers of the reform have on the objectives and plan for change management?	No	

Review Question	Review Sub-Question	Sub-sub Question	Key Findings	Remarks
<i>(Adapted from overall Review Framework)</i>			<i>(After stating findings Indicate source by letter, corresponding to document list below)</i>	<i>(Include list of documents that may be applicable)</i>
IMPLEMENTATION OF CHANGE MANAGEMENT PROCESS				
3. How have the change management approaches been adopted/ adapted and implemented? (The 'How' question on implementation)	3.1 What was the scope – breadth and depth of the change process?	3.1.1 Was it system-wide, organization, department etc.	This was organization-wide – excluding council.	
	3.2 How was the change management process led?	3.2.1 Who led the change management process? Who was the owner/sponsor of the change? What is their position in relation to management?	The risk register identifies both corporate and strategic risks and is updated and discussed three times per year with governing body – in the context of meeting the strategic goals.	N/A
		3.2.2 Were consultants involved in implementation? If so, in what role?		N/A
		3.2.3 What was the size of the team? Where was the CM team located?		N/A
		3.2.4 Is there an institutionalized function for change management in the organization or was the function time-bound for this specific initiative? <u>If yes, please include information in question 7 as well.</u>		
		3.2.5 What mechanisms were put in place to oversee the change management process? Did it include the head of organization, the governing body, just senior managers, or other? What role was played by each?		
		3.3.1 Did the process have a definitive start and end?		

Review Question	Review Sub-Question	Sub-sub Question	Key Findings	Remarks
<i>(Adapted from overall Review Framework)</i>			<i>(After stating findings Indicate source by letter, corresponding to document list below)</i>	<i>(Include list of documents that may be applicable)</i>
	3.3 How was the change management process structured?	3.3.2 How long did it last?		
	3.4 How was it implemented?	3.4.1 Describe the implementation process (refer to the plan in 2.1.3)	<p>The initiative was launched with a training of Staff and Council members to identify risks that would impact corporate (impacting organization-wide and high-level operations) and those that may impact the strategic objectives (impacting the implementation of programmes and/or strategic plan objectives). The initiative included guidance that was conveyed to Risk Focal points via email.</p> <p>The process for identifying risks was a bottom-up approach in which each level of the organization was to identify, evaluate and prioritize the risks it faces, then report on it to the next level up.</p>	
		3.4.2 What communication mechanisms were used?		
		3.4.3 How was the change initially framed and presented to staff?		
	3.5 How much reflexive learning took place during the process? Was it evaluated during or after?	3.5.1 What learning and adaptive management processes were put in place during or after the CM process? (please specify when put in place in relation to the process)		
RESOURCE IMPLICATIONS OF CHANGE MANAGEMENT PROCESS				
4. What have been the resource implications of change management?	4.1 How was the CM budgeted?	4.1.1 What was the source of financing- core resources/XB. Implications.	Initial development was done in house and managed with existing in house resources through our office of strategic planning (SPCP). A consultant is now being engaged to further enhance our Risk Register to further develop a bottom up approach with enhanced training and guidance to the secretariat.	This could indicate a lesson learned, i.e. it didn't go as planned and that is why a consultant was engaged.
	4.2 What were the major cost elements and actual costs (where available)?	4.2.1 What were the cost elements – financial, human (non-financial), etc?		

Review Question	Review Sub-Question	Sub-sub Question	Key Findings	Remarks
<i>(Adapted from overall Review Framework)</i>			<i>(After stating findings Indicate source by letter, corresponding to document list below)</i>	<i>(Include list of documents that may be applicable)</i>
		(Actual cost breakdown if possible to estimate)		
RESULTS OF CHANGE MANAGEMENT PROCESS				
5. What are the results and critical success factors of the change process or approach?	5.1 What were the results of the change process? <i>(Is there evidence of sustainability of these changes? What is the degree to which organization is working differently and people are behaving differently? Degrees of result or proxies around these include cost reduction (staff and non-staff); service levels; reduced risks; behavioural changes; improved collaboration etc.)</i>	5.1.1 What were the <u>short-term</u> outputs? How were they assessed? Examples of outputs (effective implementation of CM processes) - Implementation of standards and practices - Staff being able to apply new work practices - Reduced time spent on processes (efficiency measure)	The short-term output was a final Risk Register that was available via a web-based system.	
		5.1.2 What were the <u>intermediate or long</u> outcomes? How were they assessed? Did they bring about the desired transformation? (linked back to objectives in 2.1.1) Examples of specifically change management outcomes (changes in practice and behaviour) - Defined improvements in accountability as a consequence of redefined and communicated roles and responsibilities - Staff satisfaction levels - Client satisfaction levels		

Review Question	Review Sub-Question	Sub-sub Question	Key Findings	Remarks
<i>(Adapted from overall Review Framework)</i>			<i>(After stating findings Indicate source by letter, corresponding to document list below)</i>	<i>(Include list of documents that may be applicable)</i>
	5.2 How did the process affect the results?	5.2.1 How did the change management results contributed to the reform results or outcomes and in what way? What is the value-add of the structured process, where used?		
LESSONS FROM CHANGE MANAGEMENT PROCESS				
6. What lessons can be derived to guide future change management initiatives?	6.1 What are considered critical factors +/-	6.1.1 What do those involved, and those affected considered: (gg) the key factors of success (hh) factors that led to failure and the challenges and constraints to the change management process?		
	6.2 What positive features identified are transferable or scalable, which are not and why?	6.2.1 How unique are these to the context in which they were implemented?		
		6.2.2 What generalizable lessons can be identified?		
	6.3 What has the organization learnt from this process?	6.3.1 Would the organization run the process the same way again, or do things differently? If so, how?		

Change Management Functions in the Organization

If information on organizational level change management initiatives is found while reading through documents, please note details/findings below

Review Question	Review Sub-Question	Additional Description	Key Findings	Gaps and Questions
7. To what extent have change management functions been institutionalized?	7.1 Does the Participating Organization (PO) have a Change Management function – formalized or otherwise?	7.1.1 Is there a team – time-bound or fixed – working on CM across multiple initiatives (i.e. beyond a single time-bound change process)?		
	7.2 What are its objectives?	7.2.1 How was it established? When? What is its purpose? How sustainable is it?		
	7.3 How is it structured, staffed and funded?	7.3.1 How many staff, and at what grades? Who does it report to? How is it funded and to what levels?		

Document Key

Document	Document Title	Document Source
A.	Corporate Risk Register – Council 209 th Session	
B.	Final Risk Register	
C.		
D.		
E.		

37. ILO – Business Process Review (BPR)

Overall comments	<ul style="list-style-type: none"> The case summary was completed by JIU and further information was added based on additional documents and interviews. The information provides substantial details on the overall reform and its change management elements. The OHI initiatives and the lean management practices targeted the behaviours and cultures in the organization. The case is considered complete. We may follow-up on behavioural aspects of the reform in January / February 2019 with respect to the chapter of our study on behavioural factors/insights.
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Review Question	Review Sub-Question	Sub-sub Question	Key Findings	Remarks
<i>(Adapted from overall Review Framework)</i>			<i>(After stating findings Indicate source by letter, corresponding to document list below)</i>	<i>(Include list of documents that may be applicable)</i>
REFORM/INITIATIVE OVERVIEW				
1. Details of the organizational reform/initiative (The 'What' question – what the initiative and reasoning behind it was?)	1.1 A brief summary of the reform/initiative.	1.1.1 What is its purpose? What are the objectives?	<p>The overall aim was to address both organisational health and process efficiency (I.7), with (C.4; C.22):</p> <ol style="list-style-type: none"> 1. A more agile and influential ILO 2. Increased technical and analytical capacity 3. Higher quality administrative services <p>Objectives (C.4; C.22):</p> <ol style="list-style-type: none"> 1. <u>BPR</u> - Initiatives to improve the quality, efficiency (lighten the administrative workload) and effectiveness (Increase satisfaction with business processes and administrative services) of our business process. (C.4) The second is to identify opportunities to reallocate resources from 'back office' to front line technical and analytical roles. 2. <u>Cultural change initiatives (OHI)</u> to support and ensure sustainability of the change. (C.4) through staff satisfaction and motivation to perform better. 	
		1.1.2 When did it start? When did it end?	<p>2016 – no end date (C.24; B.9)</p> <p>Diagnostics started in 2015 (C.24)</p> <p>There is no end date. We have proposed to convert the BPR project team into a standing operational unit that would continue to conduct reviews, support sustainability and provide training on lean management into the future.</p>	

		<p>1.1.3 What are the key elements/sub-initiatives?</p>	<p>It includes two components:</p> <ol style="list-style-type: none"> 1. <u>initiatives to improve organization health (OHI)</u> and 2. <u>initiatives to improve work performance.</u> <p>1. <u>Enabling cultural change</u> (Organizational health) (C.4) – developed for 4 areas for improvement - Accountability, Role Clarity & Performance Management; Rewards & Consequence Management; Balanced Leadership; Clear Processes & Systems. The ILO prioritized 14 management practices (within the above 4 areas of improvement). Some examples of interventions were: For accountability and performance management: streamlining of PM process, design and implementation of incentives and consequences to increase compliance rate and quality of performance appraisals</p> <ul style="list-style-type: none"> - For rewards & consequence management: developed and rolled out DG awards e.g., for team collaboration, leadership; developed tools to support managers on consequence management (e.g., Guide, coaching pool) - on leadership: refined and launched mentoring program, started talent development conversations (GROWTH) - comprehensive survey to get a summary of staff attitudes and opinions (N) <p>2. <u>Business Process Review</u> (C.4; C.22) Improve business processes – review and improve processes and ways of working function by function (Changing the way we work). Following changes were implemented as part of the Review (I.6)</p> <ol style="list-style-type: none"> 1. Improved efficiency by reducing/removing and/or automating process steps. 2. Redistribution of processes between departments to where activities can be handles most efficiently 3. Standard Operating Procedures for key processes across the office 4. Changes to organisational structure creating operational benefits 5. Prioritised IT investment plan for each department 6. Job roles redefined to accurately reflect new roles 7. Implementation of lean management practices (M.1) <ol style="list-style-type: none"> a. Establishment of KPIs b. Analysis of manager's agendas c. Daily huddles to provide space for staff engagement d. Capacity management e. Skills matrix f. In-team experiences and problem solving sessions 	<p>Changing the way we work or CW3 was the original name of the project. We dropped this as it was viewed as too consulting sounding.</p>
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			Implemented in 5 different phases with the BPR team taking on more responsibility as the transfer of skills and capability from consultants increases (B.16)	
		1.1.4 When and by whom was it approved?	Approved by the DG. Progress reports provided to the Governing Body. (2016) (I.7)	
		1.1.5 Was the reform evaluated? What were the achievements, results, and/or outcomes?	<p>Changes following the introduction of management tools (I.6)</p> <ol style="list-style-type: none"> 1. Increased levels of staff engagement 2. Improved Team communication throughout Daily Meetings 3. Improved problem solving skills 4. Focus on capability and training 5. Team Performance metrics 6. Higher levels of collaboration across teams <p>No, neither BPR nor the reform process have been evaluated at this time.</p> <p>There are results tracking measures in place. For the OHI survey, a “pulse check” was conducted in May 2017 which showed an average improvement of 7 percentage point in the targeted practices when compared to the 2015 baseline. The full OHI survey will be repeated in October. Compared to 2015, there has been an average improvement of approximately 7 percentage points across prioritized practices (from 34% in 2015 to 41% in 2017), in line with other organisations (cf. median improvement of 6 points seen in similar programs across similar timespan)</p> <p>In addition, 6 out of the 14 prioritized practices are currently in the top or second quartile compared to the public sector benchmark; relative to the original survey, 7 practices have moved up a quartile, 6 have slightly improved.</p> <p>For the BPR, time saving targets are established as part of each wave. To date, savings equal to some 90 FTE have been identified, of which 50 FTE have been realized.</p> <p>Points from the results summary (M.1):</p> <ol style="list-style-type: none"> 1. The first eight reviews resulted in average time savings of some 22% or the equivalent of 89 full-time equivalents (FTEs) (including all sources of funding and all types of staff appointments) 2. Improved responsiveness of service delivery <p>- reduction in time required for recruitment</p>	

			<ul style="list-style-type: none"> - Reducing the average number of days an RB position is vacant by 50 days. - Reducing work load and turn-around time for DC project appraisal. 	
	<p>1.2 What were the underlying factors or drivers behind this reform/initiative?</p> <p>Where distinct or additional to broader drivers of change, what specific events or triggers signalled the start? Each of these will affect the approach, speed, scope, resources and adoption of change management. They can be both expected or unexpected.</p>	<p>1.2.1 What were the drivers? The causes of the initiative, generally an overarching, longer-term shift affecting how the organization operates.</p>	<p>The documents mention the following drivers:</p> <ol style="list-style-type: none"> 1. Results of the Organisation Health & Administrative Services Survey. 2015 (A). With the following objectives (C.7): <ol style="list-style-type: none"> a. To know the impact of culture b. Baseline our administrative services c. Assess our readiness for change 2. Zero percent real budget growth with the following: (C. 3) <ol style="list-style-type: none"> a. SDGs go to the heart of the ILO mandate b. Increasing constituent focus on value for money, oversight and transparency c. Slowdown and restructuring in the global economy introducing new challenges d. Day-to-day demands from constituents in ILOs country offices are increasing 3. Appointment of a new Director General – “setting a far reaching agenda of Reform to enable to Office to achieve higher levels of quality and efficiency” (B.2) <p>In general, part of the platform of the DG’s election campaign was to improve management of the Office. We have been criticized as being bureaucratically heavy by donor evaluations, our own staff as documented by the DG’s transition team upon his election, auditors and others. It was generally accepted by staff and management that we could improve.</p>	
		<p>1.2.2 Was there a specific event that acted as a trigger to get it started? It may be internal or external. These might include funding depletion, reputational (fraud, mismanagement) or other.</p>	<p>It was a priority for the DG and triggered by his election.</p>	
PLAN OF CHANGE MANAGEMENT PROCESS				
2. Which change management approaches have been used in the	2.1 Describe the design or plan for change management in the initiative?	2.1.1 What were the specific objectives of change management within the design of the initiative?	<p>A. Part of the five lens approach to lean management (F.4)</p> <ol style="list-style-type: none"> 1. Mind-sets and Behaviours – Addressing the critical mind-sets that limit the organization’s full potential 	

<p><u>design</u> of the above reform or initiative?</p> <p>(The 'How' question on design – what did they set out to do?)</p>			<p>B. Objectives of the communication strategy were to address (B.15)</p> <ol style="list-style-type: none"> 1. anxiety – create a sense of urgency, communicates the vision and explains the importance of different steps 2. curiosity – promotes understanding of the reform, communicates the impact and helps staff determine ‘what’s in it for them’ 3. sustainability – enable change by working together with the departments on delivery of implementation plans and campaign planning. 	
		<p>2.1.2 Did the approach to change management draw from established practices (Kotter, McKinsey, PWC, UNLOCK etc) or not? If so, how?</p>	<p>McKinsey’s methodology modified for the ILO environment.</p> <p>McKinsey staff formed 50% of the project team in the first wave and their level of participation decreased progressively to 0% at the end of the fourth wave. The approach used in the ILO is based on McKinsey’s methodology modified for the ILO environment.</p> <p>This was the first time McKinsey did not work in isolation. The scaling down of McKinsey meant that the processes were adapted and not adopted – having an exit strategy right up-front (O)</p>	
		<p>2.1.3 Was a specific plan prepared outlining the change management process(es)?</p> <p>Who prepared this plan – done internally or by an outside company? If external, please state who?</p> <p>-</p>	<p>From the information provided below, the elements of the change management plan seem to be integrated within the ‘wave structure’. The specific elements were one-time events for each wave and varied across waves (completed informally)</p> <p>A wave is a review cycle starting with a diagnostic phase and ending with the sustain and control phase. This cycle is repeated across the organizational unit(s) and business processes in a functional area, e.g. finance, human resources, conference services, information technology, etc. The change management practices are like a tool kit with some tools being essential to each wave and others used to address specific issues. Some of the specific change management processes are mentioned in the response above (2.1.1). Each wave had 5 phases (1) Diagnose (2) Design (3) Plan (4) Implement (5) Sustain</p> <p>The examples are items completed before the BPR process began and are one-time events, as opposed to something repeated for each wave. I should also note that these are standard tasks according to the McKinsey approach and many were completed informally.</p>	

			<p>For each prioritized area for improvement from the OHI, the ILO defined extensive initiatives along the influence model which includes communication, but also formal mechanisms (e.g. process and system redesign, incentive system), capability building as well as ensuring role modelling from managers but also change agents across the organization (e.g. BPR team members).</p> <p>A strong change story was developed by explaining the rational and benefits of the BPR and what it means to people. In addition, you had multiple communication interventions during the years to update people on progress.</p> <p>Pulse check – which was done in 2017 to assess progress made on culture.</p>	
	2.2 How did the triggers of the organizational reform or management initiative influence the change management approach?	2.2.1 What effect, if any, did the drivers or triggers of the reform have on the objectives and plan for change management?	None .	
IMPLEMENTATION OF CHANGE MANAGEMENT PROCESS				
3. How have the change management approaches been adopted/ adapted and implemented? (The 'How' question on implementation)	3.1 What was the scope – breadth and depth of the change process?	3.1.1 Was it system-wide, organization, department etc.	This initiative is organisation-wide, looking to redefine how staff performs their roles and ensuring an optimisation of the business processes. (F)	
	3.2 How was the change management process led?	3.2.1 Who led the change management process? Who was the owner/sponsor of the change? What is their position in relation to management?	<p>The change team/change specialists part of the project team – playing different roles across different phases (F.19):</p> <ol style="list-style-type: none"> 1. Diagnose/Design/Plan – Analyse, articulate, design and get the commitment of the management 2. Implement – Coach and help the management implement the pillars of continuous improvement and deliver changes in specific areas 3. After implementation – no role, the business team is on its own with the Continuous Improvement team playing a regular mirroring role <p>The executive sponsor of the BPR was the DDG/Management and Reform. Operationally, I was the project manager, supported by a Team Leader.</p>	

			<p>OHI owners, i.e.</p> <ul style="list-style-type: none"> - Most initiatives led by HR - Tracking done by central BPR team to ensure progress <p>The Continuous Improvement Team provides post implementation support to the business units. It is not part of the wave itself.</p>	
		<p>3.2.2 Were consultants involved in implementation? If so, in what role?</p>	<p>McKinsey form 50% of the project team in the first wave and their participation decreased progressively to 0% by the end of the fourth wave. The BPR team provided formal training to functional staff in 12 of the lean management practices. In addition to this, there was specific training for the BPR team members. McKinsey Capability and “boot camp” trainings (F.7)</p> <p>The target for McKinsey was not to reduce costs but the main idea was to improve services. Reform not because donor said or any other external requirements – instead from inside itself (N)</p>	
		<p>3.2.3 What was the size of the team? Where was the CM team located?</p>	<p>The BPR team has averaged 8 full-time members. It is physically located in an open office space and organizationally located in the office of the DDG/Management and Reform.</p> <p>The Continuous Improvement Team consists of 3 part-time members who are located in different operational units and work on change management only occasionally in response to specific demands. They are ex-BPR team members and CM is not their focus.</p>	
		<p>3.2.4 Is there an institutionalized function for change management in the organization or was the function time-bound for this specific initiative? <u>If yes, please include information in question 7 as well.</u></p>	<p>The BPR team is currently a time-bound initiative. As noted above, discussions are taking place to formalize a permanent unit. There is no other institutionalized function for change management.</p>	
		<p>3.2.5 What mechanisms were put in place to oversee the change management process? Did it include the head of organization, the governing body, just senior managers, or other? What role was played by each?</p>	<p>A project steering committee was formed consisting of the 3 DDGs and the Chief of the Office of the DG. The Treasurer, Director of HRD and Director of Programme also attend the meetings. Progress was reported to the Governing Body but they do not play an active role in governance.</p>	

	3.3 How was the change management process structured?	3.3.1 Did the process have a definitive start and end?	It started in July 2015 and is still underway.	
		3.3.2 How long did it last?		
	3.4 How was it implemented?	3.4.1 Describe the implementation process (refer to the plan in 2.1.3)	<p>1. There are two components to the implementation phase – business process changes and lean management practices, i.e. training. Functional staff implement business process changes with the assistance of BPR team members up to the end date of the wave. From that point forward, implementation is the responsibility of the functional staff. In parallel, BPR team members deliver training and provide coaching and support on implementing lean management practices.</p> <p>2. Initiatives to address organizational health issues were implemented by HRD.</p>	
		3.4.2 What communication mechanisms were used?	<p><u>A. Staff engagement for functional staff in the area being reviewed – continuing the dialogue (C.5)</u></p> <ol style="list-style-type: none"> 1. Workshops and training 2. Regular communications and updates 3. Participatory approach 4. Opportunities for feedback 5. Be part of the team <p><u>B. Communications with all Staff (F.29)</u> “High-touch” engagement with staff and Union throughout to deal with anxiety about job losses and McKinsey & Co. (B.10) including:</p> <ol style="list-style-type: none"> 1. Town Halls fronted by the Director General 2. Videos featuring leaders explaining BPR 3. Staff communication channels (incl. new SharePoint intranet site) 4. Articles in <i>Inside</i>, the standard channel for internal communications 5. Governing Body papers <p><u>C. Communications with the Staff Union (F.29) - New advisory committee (C.5):</u></p> <ol style="list-style-type: none"> 1. Chaired by DDG – MR 2. CABINET representative 3. Two Staff Union representatives 4. Management representatives 5. Governing Body papers <p><u>E. OHI initiatives:</u></p>	

			<ol style="list-style-type: none"> 1. Poster campaigns 2. Emails 3. <i>Inside</i> 4. Internal Governance Documents <p>There were different ways for different audiences and different activities. There are three groupings of staff that need to be considered in the change process:</p> <ol style="list-style-type: none"> 1. <u>The OHI component</u> and some of the process changes have an impact on all staff in the ILO. 2. The process changes and the implementation of <u>Lean management practices</u> have an impact on the functional staff in the units being reviewed. 3. All staff in the ILO need general news about the project – plans, results, awareness, creating interest, etc. 	
		3.4.3 How was the change initially framed and presented to staff?	<p>BPR:</p> <ol style="list-style-type: none"> 1. Broadcast email from DDG/MR to all staff 2. Launch of a dedicated intranet site 3. Presentation to all Director level staff 4. Town Hall meeting hosted by the DG 5. Town Hall meeting hosted by the 3 DDGs <p>OHI:</p> <ol style="list-style-type: none"> 1. Discussion of survey questions with the staff union 2. Introduction in <i>Inside</i> 3. Broadcast email and reminders, including one from the DG 4. Poster campaign 5. Town Hall meeting hosted by the DG to present results <p>Again, this depends on if you are speaking about all staff or the functional staff to be reviewed and whether it is the OHI or BPR efforts. I assume you mean all staff and have attached some materials to the email.</p> <ol style="list-style-type: none"> 1. Briefing presentation for staff 2. DDGMR Broadcast – informing about the selection of McKinsey as an external consultancy firm to assist the office in the review of its administrative support functions and business processes across headquarters and regions (message by Greg Vines) 	
	3.5 How much reflexive learning took place during the	3.5.1 What learning and adaptive management processes were put in place	Assessments were conducted after the first and second waves. During the waves, a barometer to collect feedback from both the functional staff	

	process? Was it evaluated during or after?	during or after the CM process? (please specify when put in place in relation to the process)	and BPR team members is conducted every 2 weeks. Feedback sessions take place after all significant events.	
4. What have been the resource implications of change management?	4.1 How was the CM budgeted?	4.1.1 What was the source of financing- core resources/XB. Implications.	All core resources.	
	4.2 What were the major cost elements and actual costs (where available)?	4.2.1 What were the cost elements – financial, human (non-financial), etc? (Actual cost breakdown if possible to estimate)	The primary costs were for the McKinsey contract, staff costs associated with the BPR team members and the time of functional staff. During a wave, department directors devoted approximately 10% of their time and team leaders between 33 and 50%.	
RESULTS OF CHANGE MANAGEMENT PROCESS				
5. What are the results and critical success factors of the change process or approach?	5.1 What were the results of the change process? <i>(Is there evidence of sustainability of these changes? What is the degree to which organization is working differently and people are behaving differently? Degrees of result or proxies around these include cost reduction (staff and non-staff); service levels; reduced risks; behavioural changes; improved collaboration etc.)</i>	5.1.1 What were the <u>short-term</u> outputs? How were they assessed?	Process changes and time savings occur more quickly than the cultural changes associated with OHI. However, it will also take time and support for lean management practices to become ingrained. Points from the results summary (M.1): 1. The first eight reviews resulted in average time savings of some 22% or the equivalent of 89 full-time equivalents (FTEs) (including all sources of funding and all types of staff appointments)	
		5.1.2 What were the <u>intermediate or long</u> outcomes? How were they assessed? Did they bring about the desired transformation? (linked back to objectives in 2.1.1) Examples of specifically change management outcomes (changes in practice and behaviour) - Defined improvements in accountability as a consequence of redefined and	In general, the OHI results such as those listed are longer term in realization. Time savings realisation will also continue over time and is complicated by the extension of the mandatory age of separation. Points from the results summary (M.1): 1. Based on the feedback directly from staff and the OHI survey - improved staff engagement and communications, team leadership, performance management and other practices that support the changes introduced and continuous improvement. 2. Organizational Health- compared to the 2015 survey there has been an average improvement in staff's perception of organizational culture of approximately 7 percentage points across the 14 prioritized practices. ▪ Strong improvements (across quartiles): Role Clarity (3 rd to 1 st), People Performance Review (2 nd to 1 st), Personal Ownership (4 th to 2 nd), Performance Contracts (3 rd to 2 nd), Operationally Disciplined (3 rd to 2 nd), Consultative Leadership (3 rd to 2 nd), Supportive Leadership (4 th to 3 rd).	

		<p>communicated roles and responsibilities</p> <ul style="list-style-type: none"> - Staff satisfaction levels - Client satisfaction levels 	<ul style="list-style-type: none"> ▪ Slight improvements (increase, same quartile): Operational Management (3rd), Talent Development (3rd), Challenging Leadership (3rd), Open & Trusting (3rd). ▪ Consistent performance (same quartile, slight decrease in score): Career Opportunities (4th), Rewards & Recognitions (4th). ▪ Deterioration (across quartiles): Consequence Management (3rd to 4th). ▪ Staff now look for ways of how to improve what they are doing (N) 	
	5.2 How did the process affect the results?	5.2.1 How did the change management results contributed to the reform results or outcomes and in what way? What is the value-add of the structured process, where used?	<p>The results from change management are the success of the BPR and OHI initiatives. There is not a separate results framework for change management, it enables the other initiatives.</p> <p>There is huge value in a structured process. It ensures the change process is thorough and enables staff lacking change experience to be productive very quickly.</p>	
LESSONS FROM CHANGE MANAGEMENT PROCESS				
6. What lessons can be derived to guide future change management initiatives?	6.1 What are considered critical factors +/-	<p>6.1.1 What do those involved, and those affected considered critical factors in success/ failure of the change management process?</p> <p>Are these distinguishable from the reforms behind the change etc.</p>	<p>Factors that helped in mitigating the following challenges: (1.5)</p> <ol style="list-style-type: none"> 1. Scepticism and resistance – dealt with senior leader support and engagement 2. Anxiety about job losses and use of external consultants – dealt with by no-job loss commitment and engagement with staff and Union throughout 3. Compatibility of “lean” methodology with ILO culture – dealt with by adapting methodology without lessening impact 4. Sustainability – mitigated by establishing an internal Business Innovations Unit <p><u>Positive items:</u></p> <ol style="list-style-type: none"> 1. Employing a full-time, dedicated change team. 2. Having full-time communications support (1.5 P resources). 3. A steering committee consisting of all DDGs to ensure changes and efficiencies were at the Office-wide level and not just for the benefit of the unit implementing the change. 4. Working to improve OHI and process changes in tandem. <p><u>Negative items:</u></p> <ol style="list-style-type: none"> 1. Should have set a savings target at the beginning of the projects, i.e. a budget reduction. 2. Promising no job losses at the beginning of the project. 3. Secure longer term funding to enable long-term planning. 	

			<p>4. Certain issues with the SOP's – they seemed more mechanical (Q)</p> <p>5. The workload of managers increased considerably as compared to what it was initially proposed (Q)</p> <p><u>Other key lessons:</u></p> <ul style="list-style-type: none"> - In addition, there is a heavy investment in training of the change team and a steep learning curve. It is essential to have stability within the team which is why we hope to see a unit formalized in the regular budget. - The involvement of senior management was a critical success factor. Not only did the DG and DDGs attend key workshops (e.g. action planning workshop), they were also part of the steering committee reviewing and guiding the team and invested a lot into driving the change (e.g. videos, interviews) - Using own staff is important as it creates a great dynamic, that the team knows how the organization works and that they aren't senior staff but one of them. Adaptation rather than adoption (N) - Strong communication to member states and governing body, and constituents, have provided great support and reign for them to do so. ILO had great empowerment, and nature of relationship with other staff. (N) - Self-empowered and early success and benefits that were responsive to their needs and external service needs. So each budget and resources reallocation shows results. (N) 	
	6.2 What positive features identified are transferable or scalable, which are not and why?	6.2.1 What features seem to be key to a successful CM process?	The process is long, expensive, requires a great effort and is difficult. This must be offset by a commitment at the highest levels of the organization to support the effort and see it through to completion.	
		6.2.2 How unique are these to the context in which they were implemented?	Lean management needs to be adapted to the context as does how to manage change in the given environment. Otherwise, the ILO project could be implemented in any agency using the same methodology.	
		6.2.3 What generalizable lessons can be identified?	Nothing to note that has not already been covered.	
	6.3 What has the organization learnt from this process?	6.3.1 Would the organization run the process the same way again, or do things differently? If so, how?	In general, yes with the lessons learned above being the modifications to consider. It should be noted that some of the negative items are driven by political considerations and might not be changed.	

Change Management Functions in the Organization

If information on organizational level change management initiatives is found while reading through documents, please note details/findings below

Review Question	Review Sub-Question	Additional Description	Key Findings
7. To what extent have change management functions been institutionalized?	7.1 Does the Participating Organization (PO) have a Change Management function – formalized or otherwise?	7.1.1 Is there a team – time-bound or fixed – working on CM across multiple initiatives (i.e. beyond a single time-bound change process)?	There are two teams, both temporary in nature at this point in time – the BPR team and the Continuous Improvement Team. As noted above, making the BPR team a permanent unit is currently under discussion in the context of the P&B process.
	7.2 What are its objectives?	7.2.1 How was it established? When? What is its purpose? How sustainable is it?	The purpose of the change management function is to implement the BPR. The BPR was established through a competitive selection process based on temporary mobility. As noted above, making the BPR team a permanent unit is now under discussion.
	7.3 How is it structured, staffed and funded?	7.3.1 How many staff, and at what grades? Who does it report to? How is it funded and to what levels?	There is a P5 BPR team leader and 7 P4 team members. They report to a P5 in the Office of the DDG/MR, which is a core resource in place before the project began (me). They are funded from RB core resources.

Document Key

Document	Document Title	Document Source
A.	Results from Organisational Health and Administrative Services Survey 2015	ILO
B.	Work in Progress – How we are making the ILO lean 2017	ILO
C.	Business Process Review – Staff Town Hall 2015	ILO
D.	Changing the way we work – Playbook 2017 Part 1	ILO
E.	Changing the way we work – Playbook 2017 Part 2	ILO
F.	Introduction to ‘Changing the way we work’ approach 2016	ILO
G.	Bootcamp at ILO – Day 1 – Business team 2016	ILO
H.	Bootcamp at ILO – Day 2 – Business team 2016	ILO
I.	ILO Business Process Review – Lessons Learned 2017	ILO
J.	Independent evaluation of the ILO’s strategy for Technical Cooperation 2010-2015, 2015	ILO
K.	Independent evaluation of the ILO’s strategy for Technical Cooperation 2010-2015, 2015 (EVAL Quick Facts)	ILO
L.	Independent evaluation of the ILO’s field operations and structure 2010-2016, 2017	ILO
M.	The BPR Results Summary. July 2018	ILO
N.	Interview notes 1	JIU
O.	Interview notes 2	JIU
P.	Interview notes 3	JIU
Q.	Interview notes 4	JIU

38. ILO – IT Infrastructure Transformation

Overall comments	<ul style="list-style-type: none"> - The case summary was completed by the JIU and additional information was provided by ILO. - The information provides a detailed overview of the reform and the change management elements. - Change Management elements were concentrated in specific sub-initiatives, mainly 7, 8 and 9 as listed in 1.1.3. - The case is considered completed. We may follow-up regarding specific aspects of the reform in January/February 2019.
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Review Question	Review Sub-Question	Sub-sub Question	Key Findings	Remarks
<i>(Adapted from overall Review Framework)</i>			<i>(After stating findings Indicate source by letter, corresponding to document list below)</i>	<i>(Include list of documents that may be applicable)</i>
REFORM/INITIATIVE OVERVIEW				
1. Details of the organizational reform/initiative (The 'What' question – what the initiative and reasoning behind it was?)	1.1 A brief summary of the reform/initiative.	1.1.1 What is its purpose? What are the objectives?	<u>Purpose</u> The purpose was to consolidate and modernize ILO's IT infrastructure as part of the IT Strategy 2010-15 (G.1) in order to remove the gap between ILO's strategic intent and its IT capabilities (resources) to deliver. Improvements in the infrastructure were needed in order to facilitate organisational delivery by enabling knowledge sharing and communications across the Office. <u>Objectives</u> <ol style="list-style-type: none"> 1. There was a “digital divide” concerning the quality of services available to staff in the HQ and that available to staff in the Regions. This was expected to be resolved through the IT Infrastructure Transformation initiative. 2. The initiative included the adoption of new IT infrastructure, enhancement of connectivity services for the Regions, centralisation of the provision of critical services such as firewall management, backup, storage and identities. 	
		1.1.2 When did it start? When did it end?	2011-2016 (K.1)	
		1.1.3 What are the key elements/sub-initiatives?	The components of the initiative included: (E.1) <ol style="list-style-type: none"> 1. Upgrading existing data centre facility (2011Q1 -2012Q3) 2. Rationalize and consolidate server hardware (2011Q3-2012Q2) 3. Storage upgrades and accompany data growth (2011Q3-2012Q2) 4. Replicate data at ICC disaster recovery site (2011Q1-2012Q3) 5. Internet/Intranet hosting infrastructure (2012Q1-2012Q3) 6. Split infrastructure hosting (2012Q1-2015Q2) 	

			<p>7. Upgrade connectivity in the regions (2012Q1-2012Q4)</p> <p>8. Migrate to Windows Server for file, print and authentication (2012Q2-2013Q2)</p> <p>9. Migrate to email service (2013Q1-2013Q4)</p> <p>10. Single identity management (2013Q3-2014Q3)</p> <p>11. Move IT hardware and systems to a commercial data centre (2013Q1-2014Q1)</p> <p>12. Full data centre outsourcing (service provision as well as hosting) (2014Q1-2015Q1)</p>	
		1.1.4 When and by whom was it approved?	<p>The Executive Director for Management and Administration identified a misalignment between the requirements of the Office (particularly in terms of IT security requirements and the knowledge strategy) and the ability of the IT department to meet these requirements. This was evaluated as being largely due to inadequate funding of IT infrastructure over a number of years.</p> <p>A study by PwC was commissioned, and its findings were presented to the Governing Body (GB) (B.2) along with four different proposals for addressing the shortcomings. The Infrastructure “transformation” scenario (the most far-reaching of the four options) was approved by the GB in March 2011 and USD 6 Million was allocated to ITCOM through the regular budget and from the Special Programme Account (SPA) (G.1) for implementing the projects associated with this scenario.</p>	
		1.1.5 Was the reform evaluated? What were the achievements, results, and/or outcomes?	<p>This was not presented to the ILO as a “reform”. IT Infrastructure Transformation was a set of IT projects that resulted in transformed IT systems, connectivity and IT support processes, but there was no organisational reform element. Beyond progress reporting to senior managers and the Governing Body there was no other evaluation.</p> <p>There were no formal evaluations of the IT Infrastructure initiative beyond the papers that were drafted for the Governing Body. One of the initiatives (full datacentre outsourcing) was not fully implemented due to data sovereignty concerns. The funding associated with this project was re-purposed to carry out an implementation for the field which had been included in the transformation scenario “Standardise IT Infrastructure and monitor centrally” (p.84), but was not included in the initial funding proposal.</p> <p>The other components were successfully implemented within the budget and timeline (J.5). However, the SPA funding timeline was requested to be extended, the reasons cited included increasing the scope to cover all of the field offices (thereby doubling the amount of staff members impacted), delivery of other</p>	

			projects that had previously been unforeseen, and delays encountered in replacing retired staff within INFOTEC (K.2)	
	1.2 What were the underlying factors or drivers behind this reform/initiative? Where distinct or additional to broader drivers of change, what specific events or triggers signalled the start? Each of these will affect the approach, speed, scope, resources and adoption of change management. They can be both expected or unexpected.	1.2.1 What were the drivers? The causes of the initiative, generally an overarching, longer-term shift affecting how the organization operates.	1. IT Security Audit 2009 (A. 1) 2. 2010-2015 Knowledge and IT Strategies – highlighted the need for ILO to review and update its existing IT capacity to ensure it could meet its programme objectives. (A. 1) 3. IT Investment Study by PwC in (May to September) 2010 (O) – identified 3 fundamental risks (1) Business continuity (2) Enablement of knowledge strategy (3) IT resource management and alignment to ILO's needs. The recommendations were presented to the Information and Communications Technology Subcommittee (ICTS) at the Nov 2010 GB. (F.1)	
		1.2.2 Was there a specific event that acted as a trigger to get it started? It may be internal or external. These might include funding depletion, reputational (fraud, mismanagement) or other.	1. One of the earlier triggers for initiating the IT Investments study (that resulted in the approval of the IT Infrastructure Transformation initiative) was the sudden loss of electrical power and cooling in the ILO HQ Datacentre and the subsequent problems experienced with the very old Storage Area Network when the power came back. 2. A second trigger was the increased prevalence of social media as a means of taking the message of the Office to a broader audience. DCOMM made increasing use of these technologies which created a significant increase in the amount of bandwidth needed for users in the External Offices and at HQ to be able to access the sites satisfactorily. 3. Finally, the increasingly threatening cyber security landscape made it clear that the organisation could no longer justify running unsupported hardware or operating systems as a means of saving money.	
PLAN OF CHANGE MANAGEMENT PROCESS				
2. Which change management approaches have been used in the <u>design</u> of the above reform or initiative? (The 'How' question on design – what did they set out to do?)	2.1 Describe the design or plan for change management in the initiative?	2.1.1 What were the specific objectives of change management within the design of the initiative?	The PWC study was designed with the objective of presenting a solid business case to the external stakeholders (Governing Body) for change by identifying what needed to be improved, what the drivers were and what risks they addressed. Communications: During the design phase PWC consulted with internal stakeholders across the Office, including Directors from the Administration departments, Communications, and the Regions. Staff who were currently providing the IT services (and the Service Desk) were also interviewed and were heavily involved in the design process. Findings were peer reviewed and feedback was requested from the stakeholders. The project sponsor remained engaged throughout but also ensured that communications and scrutiny from the Directors of PROGRAM, BUDGET and FINANCE were forthcoming. PWC gave a number of presentations to members of CABINET and to the ICT subcommittee of the Governing Body. PWC assured a full and open exchanges of ideas throughout the design study.	The plan for the overall project was developed by PWC with the following objective No other objectives of the change management processes identified.

		<p>2.1.2 Did the approach to change management draw from established practices (Kotter, McKinsey, PWC, UNLOCK etc) or not? If so, how?</p>	<p>PWC team followed established PWC methodology but it was not fully adopted (no detailed analysis of the organizational structure or processes).</p> <p>Given the complexity and cost of the IT Infrastructure Transformation scenario, and the ongoing rollout of IRIS to the Regions, the Office limited the scope of the PWC intervention to focus on infrastructure rather than evaluating the entire IT function.</p>	
		<p>2.1.3 Was a specific plan prepared outlining the change management process(es)?</p> <p>Who prepared this plan – done internally or by an outside company? If external, please state who?</p>	<p>The change management approach for each of these components differed greatly because the impact on organisational processes and staff varied from project to project.</p> <p>Some of the projects - the migration to Windows servers and the email migration for instance, were executed in partnership with HP. The HP project manager included the HP Change Management approach in the implementation proposal when responding to RfPs. This complemented the ILO change management initiatives.</p> <p>The change management process runs in parallel to the design and implementation processes. Up until the end of the design phase, the Change Management process was handled by PWC following their methodology.</p> <p>When the project implementation stage kicked off, the change management process was integrated into the project management process. Various change management tasks were identified for the implementation of each discrete project depending on the nature of that particular project. Some projects necessitated minimal change management (eg. Replacing the storage and backup) because the impact on the user community was minimal. Other projects (implementation of new email system and Windows server Operating System) required extensive user outreach and stakeholder management through</p> <ol style="list-style-type: none"> 1. continuous communication; 2. establishing user champions; 3. soliciting user feedback; 4. running information (“taster”) sessions; 5. drafting multi-lingual user documentation; 6. organising user training courses; 7. running “How To” walk in sessions; 8. walking the corridors on the day after an implementation was rolled out; 9. establishing VIP mobile device assistance; 10. monitoring project scope changes and risks and continuous communication. 	

			Each of the higher “user impact” projects included a pilot group implementation, followed by a lessons learned session before rolling out to the rest of the office.	
	2.2 How did the triggers of the organizational reform or management initiative influence the change management approach?	2.2.1 What effect, if any, did the drivers or triggers of the reform have on the objectives and plan for change management?	<p>The drivers of the initiative did not influence the implementation, but did influence what projects were funded, and which ones were identified but left unfunded.</p> <p>The mandate was that was given to PWC (evaluating the ability of the IT Infrastructure to enable delivery of the knowledge and communications strategic outcomes) should have included organisational processes and structure, but these were specifically excluded from the scope by the sponsor in an effort to keep forthcoming costs down.</p> <p>This clearly limited the change management investment that was subsequently needed because business processes were not directly impacted (except by the fact that they ran faster).</p>	
IMPLEMENTATION OF CHANGE MANAGEMENT PROCESS				
3. How have the change management approaches been adopted/ adapted and implemented? (The 'How' question on implementation)	3.1 What was the scope of the change process?	3.1.1 Was it system-wide, organization, department etc.	Organization-wide including the field offices (G.1)	
	3.2 How was the change management process led?	3.2.1 Who led the change management process? Who was the owner/sponsor of the change? What is their position in relation to management?	<p>The Chief of IT Operations (Petra Marshall) led the implementation of all of the projects and she employed a full-time project manager to assist her. Progress was reported to the Director of the Department (Mark Mongillo) and to the project sponsor (ED/MAS).</p> <p>The Project Management Office did not become functional until 2013 by which time the IT infrastructure transformation projects were well under way. After its creation, the primary focus of the PMO focused was the IRIS rollout</p>	
		3.2.2 Were consultants involved in implementation? If so, in what role?	<ol style="list-style-type: none"> 1. PwC were involved in the design of the projects but not in the implementation. PwC undertook the study and proposed the different scenarios. Their involvement ended once the initiative was presented to the Governing Body. 2. A temporary project manager was recruited for three years to take on the day to day monitoring, tracking and organisation of the more complex projects. 3. Projects were implemented by a mix of individual consultants and ILO staff. 4. The email and file and print projects were implemented in partnership with HP who provided their own project manager and 	

			change management methodology. They worked hand in hand with the ILO team over a period of many months.	
		3.2.3 What was the size of the team? Where was the CM team located?	<ul style="list-style-type: none"> The size of the team depended on the project being implemented. Staff from the IT Operations team and the User Support team were drafted into projects as needed. There was no Change Management team, the change management role was taken on by the Chief of IT Operations and the ILO project manager with assistance from consultant trainers, technical writers and User Support staff. Communications, presentations, and stakeholder engagement were largely managed by the Chief of IT Operations. <p>While there was an intention that the PMO would be in place to assist with the change management activities of the IT Infrastructure Transformation project, funding was not immediately forthcoming, and recruitment was delayed. However, as the funding for IT Infrastructure Transformation <i>was</i> forthcoming, change management activities for the IT Infrastructure Transformation project were delegated to the <u>program manager (Chief of IT Operations) and the full time project manager</u> who was employed for the project implementation. He was assisted by <u>the line managers</u> who participated in the implementation of the different technology changes.</p> <p>The PMO only became fully operational in 2013. Once established, its first priorities were to assure the implementation of IRIS into the Regions (“rollout”) and to set up the governance structure with the IT Governance Committee.</p>	
		3.2.4 Is there an institutionalized function for change management in the organization or was the function time-bound for this specific initiative? <u>If yes, please include information in question 7 as well.</u>	<p>At the time that the IT infrastructure transformation implementation stage kicked off, there was no institutionalized function for change management. Therefore, this process was integrated into the project management tasks as they were identified for the implementation of each discrete project.</p> <p>Establishment of a Project Management Office was based on requirements of training and change management identified by the PWC report (F.4).</p> <p>As stated earlier, the PMO was created as a result of PwC recommendations documented in a review of the Budapest IRIS implementation. It was not created because of the IT Infrastructure Transformation initiative.</p>	
		3.2.5 What mechanisms were put in place to oversee the change management process? Did it include the head of	<ol style="list-style-type: none"> Senior Managers (chiefs of FINANCE, PROGRAM, IT and ED/MAS) were involved in overseeing the appropriate use of finances and that the projects were being delivered on schedule. They were also consulted where changes to be implemented (such as locking down the security on the workstations) were likely to meet with user resistance. 	

		organization, the governing body, just senior managers, or other? What role was played by each?	<p>2. Day to day change management was assured by the Chief of IT Operations and the ILO project manager.</p> <p>3. Updates were provided to the governing body.</p>	
	3.3 How was the change management process structured?	3.3.1 Did the process have a definitive start and end?	Change Management activities were integrated into each of the respective project plans.	
		3.3.2 How long did it last?	Change Management lasted throughout the entire IT Infrastructure Transformation implementation. Starting from “kick off preparation” through to user training and lessons learned, there were Change Management activities accompanying each of the projects – with many more being deployed for projects that had a profound impact on the users.	
	3.4 How was it implemented?	3.4.1 Describe the implementation process (refer to the plan in 2.1.3)	<p>The following processes were found in the documentation:</p> <ul style="list-style-type: none"> - “technical briefings held with LAN administrators and other IT support specialists at HQs. These staff members are actively participating in various aspects of infrastructure transformation initiatives and are providing valuable input to facilitate planning and decision making.”(H.4) - Technical workshops for regional counterparts scheduled to take place in November 2013. (H.4) - Information sessions to update staff held in June 2013 on pending changes to their personal computing environment and anticipated benefits of the transformation. (H.4) - Training sessions for all staff members aimed at building confidence in these new technologies. To be provided just before the rollout. (H.4) - User guides prepared (H.4) - Training material available in English, French and Spanish on ILO intranet. (H.4) - establishing user champions; - soliciting user feedback; - running information (“taster”) sessions; - drafting multi-lingual user documentation; - organising user training courses; - running “How To” walk in sessions; - walking the corridors on the day after an implementation was rolled out; - establishing VIP mobile device assistance; - monitoring project scope changes and risks and continuous communication. - There were presentations to multiple audiences and information sessions (before and during project implementation), user training sessions (on the day of the migration), hand holding (shortly after 	

			implementation/migration), workshops (to prepare for implementation/migration), user documentation (available as needed, but prepared prior to the users being impacted by the implementation /migration), leaflets provided to staff as they entered their offices on migration day, and intense Service Desk and User Support during and shortly after the projects with high user impact.	
		3.4.2 What communication mechanisms were used?	“A briefing session was held in December 2011 with all IT staff located in the different sectors to discuss preparation work for the Windows Server file and print migration subproject, which started in January 2012. This subproject requires the coordinated efforts of ITCOM staff and local area network (LAN) administrators.” (F.4)	
		3.4.3 How was the change initially framed and presented to staff?	<ol style="list-style-type: none"> 1. The change was presented as a pre-requisite for the ILO to be able to “deliver as one”. 2. It was a means of assuring that all ILO staff had access to the same quality of resources, were able to share information easily, and whereby staff moving across the Office would have access to their data regardless of their location. 3. It was promoted as a means of enhancing communications, knowledge sharing and collaboration (enabling instant messaging, desktop sharing and video conferencing to the desktop through the implementation of a tool called Skype for Business) and mobile working. 4. A number of integrated security measures were presented and these were justified as a means of protecting staff from increasingly problematic cyber threats. 5. Finally, staff were given examples of offices that had lost data due to natural disasters and were assured that this would not happen in the future because their file system data would be replicated to HQ and backed up in multiple locations so that it was available even if the local server infrastructure failed. Staff in the Regions would also benefit from 24/7 monitoring and management of their Internet connectivity services, their firewalls and their email. 	.
	3.5 How much reflexive learning took place during the process? Was it evaluated during or after?	3.5.1 What learning and adaptive management processes were put in place during or after the CM process? (please specify when put in place in relation to the process)	<ol style="list-style-type: none"> 1. Each of the project went through at least one and sometimes multiple “lessons learned” cycles. 2. Meetings between the Service Desk and the Project Manager identified repetitive or particularly problematic issues during the implementations/migrations and these were resolved before continuing. 3. Where implementations/migrations were undertaken in “waves” (email, file and print, windows 7, field office infrastructure migrations) there was an evaluation of the lessons learned at the end of each wave. These lessons were subsequently incorporated into the design of the following migration wave. 	

4. What have been the resource implications of change management?	4.1 How was the CM budgeted?	4.1.1 What was the source of financing- core resources/XB. Implications.	Supplementary funding (RB SPA) This type of funding enabled us to manage the projects as a six-year effort rather than being constrained by the biennial planning cycle. This was tremendously helpful.	
	4.2 What were the major cost elements and actual costs (where available)?	4.2.1 What were the cost elements – financial, human (non-financial), etc? (Actual cost breakdown if possible to estimate)	<p>Change Management was not broken out as a separate cost item.</p> <ul style="list-style-type: none"> The cost of the total project/initiative implementation was estimated to be USD 20.7 million over 5 years. However, much of this (USD 7.6M) was connectivity related and this funding was allocated directly to the Regions. The project implementation budget (CAPEX) was USD 6M. This included all Change Management components as well as one-off software, hardware and consultancy costs associated with the implementation effort. The remaining budget was OPEX (ongoing software and hardware maintenance costs, hosting and outsourced services – 7.8M) and was dedicated to post implementation expenditures. There was no specific budget allocated to Change Management. This was expected to be covered from each of the different project lines. 	
RESULTS OF CHANGE MANAGEMENT PROCESS				
5. What are the results and critical success factors of the change process or approach?	5.1 What were the results of the change process? <i>(Is there evidence of sustainability of these changes? What is the degree to which organization is working differently and people are behaving differently? Degrees of result or proxies around these include cost reduction (staff and non-staff); service levels; reduced risks; behavioural changes; improved collaboration etc.)</i>	5.1.1 What were the <u>short-term</u> outputs? How were they assessed?	<p>The results of the Change Management process are difficult to measure in absolute terms. The results of Change Management are generally experienced by the extent of stakeholder support, user acceptance, engagement among users and implementation team, feedback from staff representatives, the number of service desk calls, and the extent of adoption to the new technologies being implemented.</p> <ol style="list-style-type: none"> Stakeholder (senior managers and the GB) support remained strong throughout the IT Infrastructure Transformation initiative. User acceptance was largely facilitated by information sessions, training courses, hand holding, workshops and user documentation. All staff were able to adapt to the new technologies. Implementation teams at HQ remained focused and engaged. Prior to implementing in the Regional, project and country offices, we ran intensive workshops for their IT staff, and also arranged for them to receive formal training from certified technology training providers. The HQ IT department assisted (on site) every Regional Office through the migration process, and sent additional staff from HQ to every Field office or Project Office requesting assistance. Presentations, training and hand-holding sessions were available for staff in every Office in the ILO. The rollout to the field offices was very successful. 	

			4. Service Desk calls during the implementations peaked (as was expected) but this was mitigated by placing extra staff on the Service Desk and holding “Walk-in” workshops for people to come and talk about particular difficulties.	
		5.1.2 What were the <u>intermediate or long</u> outcomes? How were they assessed? Did they bring about the desired transformation? (linked back to objectives in 2.1.1) -	The changes that were implemented were technology changes rather than business process changes. - All new technologies were adopted. The desired transformation (in terms of better knowledge sharing, better use of communication tools such as VC to the desktop, Instant Messaging, Internet telephony, and enhanced information security) was accomplished. The knowledge and IT strategies we facilitated by the IT infrastructure improvements. The impact of subsequent cyber-attacks (particularly crypto-viruses) was manageable and no data was lost. - McKinsey ran an organisational health survey in September 2015 while the IT Infrastructure Transformation projects were in progress. Email and file and print services had been replaced in HQ. and a constant series of other changes were under way. Despite the potential for significant disruption, 83% of users responding indicated positive or neutral levels of satisfaction with IT services.	
	5.2 How did the process affect the results?	5.2.1 How did the change management results contributed to the reform results or outcomes and in what way? What is the value-add of the structured process, where used?	Introducing Change Management elements when implementing technology changes that have a significant impact on the users is a project management best practice. It is aimed at assuring engagement, obtaining appropriate levels of support and overcoming resistance. The changes that were implemented in the IT Transformation initiative were not “reform” based, they were aimed at enabling staff to better achieve the ILO’s work by improving knowledge sharing, introducing better communication tools (such as VC to the desktop, Instant Messaging, Internet telephony), and enhancing information security. These changes were undoubtedly effective because of the extensive amount of Change Management that was undertaken – particularly for those projects that had a significant end user impact.	
LESSONS FROM CHANGE MANAGEMENT PROCESS				
6. What lessons can be derived to guide future change management initiatives?	6.1 What are considered critical factors +/-	6.1.1 What do those involved, and those affected considered critical factors in success/ failure of the change management process?	1. Involving staff to be part of the change 2. Importance of listening – going to the regions and debriefing (Q)	
	6.2 What positive features identified are	6.2.1 What features seem to be key to a successful CM process?	The particular Change Management interventions that one choses depend on the changes that are being made and in particular how much user impact they will have.	

	transferable or scalable, which are not and why?		<p>For example, changes of storage and backup equipment have a significant impact on "back-end infrastructure" and IT systems administrators, but are largely invisible to the end users. For these types of projects, the focus will be on technical capacity building, resilience, architectural decision making and including all technical stakeholders.</p> <p>For projects that have a greater impact on the staff (for example, changing the email system), there was a larger investment on communications, stakeholder management, including the users as a test community, selecting user champions, accompanying the users through the changes, providing user training and documentation, and conducting iterative lessons learned during the implementation</p>	
		6.2.2 How unique are these to the context?	Please refer to the comments in 6.2.1	
		6.2.3 What generalizable lessons can be identified?		
	6.3 What has the organization learnt from this process?	6.3.1 Would the organization run the process the same way again, or do things differently? If so, how?	The IT Infrastructure Transformation initiative did not benefit from the Project Management Office (PMO) because the PMO was only established two years after the IT Infrastructure Transformation initiative was under way. The PMO was also not adequately staffed to be able to support both IRIS rollout and IT Infrastructure Transformation. If staffing of the PMO permitted, the Chief of Operations and her project manager would have approached the PMO to peer review the change interventions that were identified and ensure that they were aligned with PMOs recommendations and expectations.	

Document Key

Document	Document Title	Document Source
A.	ILO Investment Study	ILO
B.	GB.309/PFA/7	ILO
C.	GB.309/PFA/ICTS/1	ILO
D.	GB.310/PFA/3	ILO
E.	GB.312/PFA/6/1	ILO
F.	GB.313/PFA/INF/3	ILO
G.	GB.316/PFA/4	ILO
H.	GB.319/PFA/5/1	ILO

I.	GB.320/PFA/INF/3	ILO
J.	GB.323/PFA/4	ILO
K.	Minute sheet PROG 3-2-16/17-ITC	ILO
L.	GB.326/PFA/5	ILO
M.	GB.331/PFA/5	ILO
N.	Report – financial questions 2009	ILO
O.	PWC IT Investment Strategy 2010	ILO
P.	GB.313/PFA/1	ILO
Q.	Interview notes	JIU

39. ILO – Integrated Resource Information System (IRIS) Rollout – Enterprise Resource Planning

Overall comments	<ul style="list-style-type: none"> - The case was completed by JIU based on the documents. Further details were provided by ILO. - The information provides information on both the reform and its change management components that can be used to draw upon. There is substantial information on the results of the process. - The case is considered complete. But we may follow-up on specific aspects of the reform in January/February 2019.
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Review Question	Review Sub-Question	Sub-sub Question	Key Findings	Remarks
<i>(Adapted from overall Review Framework)</i>			<i>(After stating findings Indicate source by letter, corresponding to document list below)</i>	<i>(Include list of documents that may be applicable)</i>
REFORM/INITIATIVE OVERVIEW				
1. Details of the organizational reform/initiative (The 'What' question – what the initiative and reasoning behind it was?)	1.1 A brief summary of the reform/initiative.	1.1.1 What is its purpose? What are the objectives?	<p>IRIS is ILO's ERP system with facilities such as results based management, standardization of working methods, transparency, knowledge sharing, collaboration, management reporting, decision making, financial controls and auditability, real-time single source of information (A.2)</p> <p>The objectives were to have an office wide application with harmonised business processes that can support collaboration and transparency, through functions like:</p> <ul style="list-style-type: none"> - One central database, accessible to all - Enforced planning - Automated approval workflows - Sharing real-time information at a regional level, rather than at an office level as before - Office-wide availability of Development cooperation project information - Harmonisation of business processes - Implementation of RBM (G.3) 	
		1.1.2 When did it start? When did it end?	<p>The entire process, starting with HQ, was triggered in 2000. (Y)</p> <p>IRIS system had been implemented in 2005 but it was largely limited to the headquarters. The 2010-2015, and other IT strategies (I, K, L) were to ensure the rollout of the IRIS to external offices (A.3).</p>	

			<p>IRIS was/is being implemented in each of the offices in two phases. Given the scope of phase 2, the offices in each region were divided into 2- 3 waves, depending on their size.</p> <p>2008-10 Pilot office Budapest 2010-14 Regional offices (full IRIS) 2014-15: Phase 1 (HR and Payroll) in all external offices 2016-19: Phase 2 (Finance/Programme) in all external offices (F.3, G.7)</p>	
		1.1.3 What are the key elements/sub-initiatives?	<p>The rollout to each region and its external offices was executed in two phases. The first phase focusing on below functionalities:</p> <ul style="list-style-type: none"> - HR and payroll - Leave functionality - Strategic management <p>The second phase focused on the following:</p> <ul style="list-style-type: none"> - Projects (XBDC and RBSA) - Purchasing - Suppliers (commercial, excoll and staff member) - Invoices, Receipts, Payments - Travel processing - Financial Management, Cash Management, Petty Cash, Imprests, Bank Reconciliation (G.5-6) <p>Prior to each Regional implementation a business process review was executed to determine the “as-is” and “to-be” changes and involve key staff in the review of each process. (O)</p>	
		1.1.4 When and by whom was it approved?	The implementation of the ERP project was approved by the governing body in 2000. (Y.5)	
		1.1.5 Was the reform evaluated? What were the achievements, results, and/or outcomes?	<p>A number of lessons learnt was drawn after the implementation of the ERP system in HQ and in Budapest pilot, which were taken into account for the rollout to all external offices. Specifically, the rollout approach for the field was different from that in HQ, in two ways:</p> <ol style="list-style-type: none"> 1) Phased approach was introduced – splitting the large scope of an EPR system into 2 phases with groups of related functionalities (details in question 1.1.3 above) 2) Following the pilot, it was decided to implement IRIS in each regional office first to develop local capacity in the Regions first, and then move to their external offices. (H.2-3) <p>Budapest pilot was externally evaluated by PWC. Number of recommendations were included in subsequent rollouts as part of the overall structure of managing the project; nevertheless, the change management effort was evaluated and assessed as adequate for this type</p>	

			<p>of a large project. (Z.13) Some CM improvement recommendations were put in place, specifically more attention was given to the organisational impact of the rollout and performing the BPR, as well as improvements in training delivery (more time was dedicated to it) and completing the full set of training material available in 3 official languages and accessible to all via ILO intranet. (T)</p> <p>The overall reform approach, timing and resourcing was validated by McKinsey & Co at the time that INFOTEC underwent the Business Process Review. While in each rollout, the Office includes lessons learnt from previous rollouts, the external evaluation of the entire reform initiative has not taken place, as the reform will not be completed until end of 2019. Schedule available in (H.2-3)</p>	
	1.2 What were the underlying factors or drivers behind this reform/initiative? Where distinct or additional to broader drivers of change, what specific events or triggers signalled the start? Each of these will affect the approach, speed, scope, resources and adoption of change management. They can be both expected or unexpected.	1.2.1 What were the drivers? The causes of the initiative, generally an overarching, longer-term shift affecting how the organization operates.	In addition to the drivers explained in question 1.1.1 other reasons and benefits are included in the proposal for the ERP implementation (Y.6-7) and also explained as part of the business case as for each phase. (AD.8, AD.12)	
		1.2.2 Was there a specific event that acted as a trigger to get it started? It may be internal or external. These might include funding depletion, reputational (fraud, mismanagement) or other.	The rollout of IRIS to the external offices is not a separate project in itself. It is a part of the overall ERP project for the ILO, with drivers explained in document (Y). Given that the ERP system replaced several stand-alone outdated legacy systems in headquarters and the in the field, it would not have made sense to implement the ERP in the headquarters only, but also in the field.	
PLAN OF CHANGE MANAGEMENT PROCESS				
2. Which change management approaches have been used in the <u>design</u> of the above reform or initiative?	2.1 Describe the design or plan for change management in the initiative?	2.1.1 What were the specific objectives of change management within the design of the initiative?	<p>The following objectives were mentioned across the documents -</p> <ol style="list-style-type: none"> 1. Creating networks (F.4) 2. Empowering users (through focal points, change agents) (F.4) 3. Trained staff such that they can adapt to the change 4. Providing information about the importance and use of IRIS with all staff members (AA.19) 5. To ensure management is on board and supportive of this initiative (E.10) 	

(The 'How' question on design – what did they set out to do?)			<ol style="list-style-type: none"> 6. To ensure that Change Agents have percentage of their time allocated to IRIS rollout activities (E.10) 7. To manage staff expectations (E.10) 8. To inform staff of IRIS activities that will have an impact on their daily work, and prepare them for the changes (E.10), (W.23), (AA.19) 9. To assess and enable optimal use of human resources in the IRIS environment, appropriate to the volume of work and their capacity (through the completion of role mapping exercise and consultations with the Regional and Country Office Management) (E.10) 10. To address any issues and risks that emerge during the rollout process (E.10) 11. To define together the best was from “as-is” to “to-be” in the context of office capacity and distribution of roles (V.3-4) 12. To reiterate importance of building local capacity (W.25), (AB.3) 	
		2.1.2 Did the approach to change management draw from established practices (Kotter, McKinsey, PWC, UNLOCK etc) or not? If so, how?	<p>The process of rollout started before the PWC investment study.</p> <p>CM process in the ILO was tailor made given the context of the ILO and size of the team, but it draws on the Kotter model (creating a sense of urgency and obtaining the support of the Senior Management, creating a network of change agents (including volunteers), communicating the vision and “to-be” state via BPRs and lessons learnt, celebrating quick wins through phased implementation and examples of success from other regions, sustaining the changes and momentum through post operational support in person and remotely.</p> <p>PWC rated the CM effort as sufficient, though the Office adopted some recommendations and further improved the process. (Z.13)</p>	
		<p>2.1.3 Was a specific plan prepared outlining the change management process(es)?</p> <p>Who prepared this plan – done internally or by an outside company? If external, please state who?</p>	<p>The schedule as developed by the Project Management Office, which is managing the Office-wide rollout.</p> <ol style="list-style-type: none"> 1. Each office nominates 2-3 focal points from Finance/Program (of HR in phase 1 rollout) 2. Focal points attend the kick off meeting, review the changes to business processes, and participate in rollout through duration of the project (communicating back and forth the news and issues, providing data, collecting information, briefing their office colleagues, giving input on role mapping etc.). 	

			<ol style="list-style-type: none"> Directors and regional directors are briefed throughout the project via Project Manager and Regional offices whenever opportunity arises (GB sessions, Directors' meetings etc.) in addition to regular remote communication. C/RAS and HR partners in each region play a key role for each phase and are participating in the BPR, communications and training. As part of the 4-week training, directors and managers also receive a specialised 2-day training for them, which is about systems, processes but also about their role, accountability and the support of the project. Following training and go-live, offices are supported on site for a period of time until transition to steady operations. Structured support process is available afterwards through the regional offices, dedicated service desk, HQ business units and published documentation (C,E) 	
	2.2 How did the triggers of the organizational reform or management initiative influence the change management approach?	2.2.1 What effect, if any, did the drivers or triggers of the reform have on the objectives and plan for change management?	The entire process, starting with HQ, was triggered in 2000. (Y)	
IMPLEMENTATION OF CHANGE MANAGEMENT PROCESS				
3. How have the change management approaches been adopted/ adapted and implemented? (The 'How' question on implementation)	3.1 What was the scope – breadth and depth of the change process?	3.1.1 Was it system-wide, organization, department etc.	The implementation was organization wide.	
	3.2 How was the change management process led?	3.2.1 Who led the change management process? Who was the owner/sponsor of the change? What is their position in relation to management?	<ol style="list-style-type: none"> The Project Management Office was an internal unit of the INFOTEC department who led the Change Management process for the rollout. Other personnel were involved participating in change management activities as explained in question 7.1.1. As mentioned in the correspondence email thread, Bojana Sosic is the Project Manager (Chief of the Project Management Office) and Mark Mongillo is the responsible Department Director. The rollout is sponsored by the DDG/MR. 	
		3.2.2 Were consultants involved in implementation? If so, in what role?	In the initial stages consultants were involved in data gathering and 1-2 BPR sessions with regional offices. Subsequently all CM activities were executed by internal ILO staff.	

		3.2.3 What was the size of the team? Where was the CM team located?	Project teams were set up for the delivery of IRIS rollout, composed of staff from HQ, Regional offices and relevant offices, led by the Project Management Office from INFOTEC. C) (E.4). Size of the average team of each wave of each region is about 30-35 staff from HQ departments, RO and external offices. (E.4).	
		3.2.4 Is there an institutionalized function for change management in the organization or was the function time-bound for this specific initiative? <u>If yes, please include information in question 7 as well.</u>	PMO is a permanent function but it does not deal with all IT related CM initiatives. There is currently no permanent CM function in the Office that covers all initiatives.	
		3.2.5 What mechanisms were put in place to oversee the change management process? Did it include the head of organization, the governing body, just senior managers, or other? What role was played by each?	The Governing Body was provided regular updates on the rollout during GB sessions (H, I, K, S). They could question at any instance but were not directly involved with the rollout. IT Governance Committee was provided updates quarterly and the Director of INFOTEC weekly in the INFOTEC management meetings.	
	3.3 How was the change management process structured?	3.3.1 Did the process have a definitive start and end?	The process for each wave started with planning of the core task team in HQ, followed by the communications to the relevant field offices, and a relevant kick off workshop with the nominated change agents. Each wave was finished 2-3 months after a go live date. These months were used for regular monitoring, support and resolution of any issues until such time that offices reached normal operating state with the new processes and system.	
		3.3.2 How long did it last?	The rollout started with the Budapest pilot in 2008 and all offices will be on the new system and working methods by end of 2019. (G.7)	
	3.4 How was it implemented?	3.4.1 Describe the implementation process (refer to the plan in 2.1.3)	<ol style="list-style-type: none"> 1. Nomination of staff (focal points) (B) 2. Development of change agents (C) – these are the nominees from each office which were the main points of contact during implementation and after. Change agents from one region were often used to support the implementation of IRIS in other regions as the business processes across the office were harmonised. Finally, the key change agents are a part of the Office-wide network, and those 	

			<p>from Regional offices continue to receive advanced training each biennium to help them perform their role.</p> <p>3. Role Mapping approach (G), (V), (Q), (R)– to map out the exact use IRIS by different personnel having implication on training, future manner of work and communication processes. (X)</p> <p>4. Effective communication – the communication strategy was planned such that it is targeted and through the right channel (B). The progress was also communicated to the Directors, ITGC, DG elect and the GB on different instances.</p> <p>5. Targeted training (D)</p>	
		3.4.2 What communication mechanisms were used?	<ul style="list-style-type: none"> - internal emails (B) - change agent workshops, (C), (D) - information sessions with management and staff (D), (G), (M) - Videoconferences (AC) - Task team meetings (AC) - Training sessions (D), (E) - post go live support calls and in-person visits to embed the processes (E) - super user trainings - procedures documentation (P) - training and support website (T) 	
		3.4.3 How was the change initially framed and presented to staff?	The communication was designed such that the message to the external offices comes from the regional office, “so that the Region feels ‘as one’” (B), and to communicate that HQ departments and the Regions are a part of the same team.	
	3.5 How much reflexive learning took place during the process? Was it evaluated during or after?	3.5.1 What learning and adaptive management processes were put in place during or after the CM process? (please specify when put in place in relation to the process)	<p>Implementation of the Pilot was formally evaluated by PWC (Z). Once the lessons learnt were put in place and the rollout to other offices went according to the standard approach, the feedback is collected internally after each training for go live if staff feel knowledgeable and prepared to embark on the new operations. The ranking is on the scale from 1-5, 5 being “strongly agree”. (U)</p> <p>Finally, the overall approach of the rollout was reviewed by McKinsey and confirmed and suitable given the ILO context. This was done as part of the overarching BPR exercise performed by McKinsey with INFOTEC and other departments in scope.</p> <p>PWC rated the CM effort as sufficient, though the Office adopted some recommendations and further improved the process. (Z.13)</p>	
4. What have been the resource implications of	4.1 How was the CM budgeted?	4.1.1 What was the source of financing- core	The rollout was funded by Office’s existing resources, whereby allocations for specific temporary project staff, dedicated 100% to the rollout, were given to relevant departments. Other staff costs for members	

change management?		resources/XB. Implications.	of the team from HQ and the field who participated in the rollout on a part-time basis were absorbed by each department and office. Training delivery and other change management activities were funded by Central staff development funds, given to INFOTEC for the purpose of the project, and managed by INFOTEC (F).	
	4.2 What were the major cost elements and actual costs (where available)?	4.2.1 What were the cost elements – financial, human (non-financial), etc? (Actual cost breakdown if possible to estimate)	<p>Estimated effort below to complete all work elements as specified in the Rollout TOR (E).</p> <p>Staff costs:</p> <ul style="list-style-type: none"> - Project manager (PMO) – 30% of time throughout the project - Two rollout officers (PMO) – 100% of time throughout the project - 6-7 INFOTEC staff (functional analysts and service desk colleagues) – on average 50% of the time throughout the project - 2-3 temporary staff in FINANCE – 100% of their time throughout the project - 5-6 other staff from FINANCE (BUDFIN and TREASURY) – on average 25% of the time throughout the project - 2-3 staff from HRD – on average 50% of their time during the duration of the project Phase 1 - Focal points (3 per each of the 50 offices) – 0.5 days per week for the duration of their wave - 4-5 staff from each relevant Regional office – 1 day per week for the duration of the project for their offices <p>Non-staff costs – funding for training and change management activities for each wave and each region provided by Central Staff development funds and management by INFOTEC.</p>	
RESULTS OF CHANGE MANAGEMENT PROCESS				
5. What are the results and critical success factors of the change process or approach?	<p>5.1 What were the results of the change process?</p> <p><i>(Is there evidence of sustainability of these changes? What is the degree to which organization is working differently and people are behaving differently? Degrees of</i></p>	<p>5.1.1 What were the <u>short-term</u> outputs? How were they assessed?</p> <p>-</p>	<ul style="list-style-type: none"> - Harmonisation of processes and procedures across offices and regions. All staff are processing daily business events in the same manner. This is easily verifiable given that all offices on IRIS are using the same system and in real time. The fact that all the processes work the same enabled us to utilise cross-regional teams in certain rollouts, as now, the business events utilise the same methods of work, regardless of where the staff member is located. - More effective and transparent processing of daily work activities. Regions have access to all the information processed by their offices. HQ relevant staff have visibility of all offices. This makes it possible to quickly (real-time) share information, 	

	<i>result or proxies around these include cost reduction (staff and non-staff); service levels; reduced risks; behavioural changes; improved collaboration etc.)</i>		<p>documentation, and resources, as well as jointly plan cross-functional activities. Finally, it also allows for efficient issue resolution. Prior to IRIS if office had a problem it could only be solved locally or by sending their local system to HQ for fixing. This is not the case any longer.</p> <ul style="list-style-type: none"> - Staff applying new practices of work, building new skills. The new processes are strongly reinforced by HQ relevant units and regional offices. Since the start of the rollout many staff across the ILO have built skills which allowed them participate in short-term assignments, help out on this project, visit offices in their region by providing training assistance and support and sometimes even in other Regions. This provided additional motivation for staff who otherwise would not have had such exposure. - Centralising specialised functions such as payment processing, supplier entry, position creation and bank reconciliation in HQ or regional offices while enabling to have control over transaction entry locally (X) This does not really require an assessment as the idea was to centralise more complex functions, and it was done as planned. 	
		<p>5.1.2 What were the <u>intermediate or long</u> outcomes? How were they assessed? Did they bring about the desired transformation? (linked back to objectives in 2.1.1)</p> <p>-</p>	<ul style="list-style-type: none"> - More transparent utilisation of office's resources (one database with real time information accessible to relevant staff) - Better oversight of Regional offices of how their offices are performing (e.g. transparency in contract management, procurement practices etc.) - Improved planning and discipline – retroactive activity not allowed and enforced as such - Staff satisfaction on learning new skills – opportunity for staff to collaborate with other offices, and participate in activities that are not their usual daily work - Better sharing of information across the offices – same processes and same coding structures as everyone using the same platform - Ability to report on results and not only on financial delivery (RBM) 	
	5.2 How did the process affect the results?	5.2.1 How did the change management results contributed to the reform results or outcomes and in	The changes rollout brought about directly contribute to the ILO's strategic outcome "Effective and efficient use of ILO's resources".	

		what way? What is the value-add of the structured process, where used?		
LESSONS FROM CHANGE MANAGEMENT PROCESS				
6. What lessons can be derived to guide future change management initiatives?	6.1 What are considered critical factors +/-	6.1.1 What do those involved, and those affected considered critical factors in success/ failure of the change management process? Are these distinguishable from the reforms behind the change etc.	<ol style="list-style-type: none"> 1) sharing the same message and vision to excite the offices undergoing the change 2) early involvement of the stakeholders at all levels 3) regular communication through appropriate and different channels (HQ; RO, other regions etc.) 4) providing opportunity and visibility for staff who did well and got involved (recognising those who did good change agent work as they advocate to others) 5) having one team composed of HQ and field staff working together towards a common goal 6) Follow-up and ensuring offices know they are supported and not on their own. 7) Acknowledging successes and sharing them with relevant manages, giving credit to the staff. 	
	6.2 What positive features identified are transferable or scalable, which are not and why?	6.2.1 What features seem to be key to a successful CM process?	The approach developed for the rollout is transferable, meaning that the overall steps used in one phase and one region could be almost fully transferred to another region. Adjustments are made based on the scope and readiness of offices involved, but the approach does not have to be reinvented.	
		6.2.2 How unique are these to the context in which they were implemented?	<p>The rollout of IRIS has been carefully developed based on the pilot at the Budapest office and the implementation of IRIS at the regional offices. The same Project Management Office is responsible for the rollout to all external offices.</p> <p>The following were the lessons from the Budapest Pilot:</p> <ol style="list-style-type: none"> 1. Phased implementation allowed greater time to be spent on staff development and training. 2. Key CM activities were critical to the success of the project. Role mapping and change engagement established a framework and understanding between teams at the HQ and the Budapest Office that were valuable in solving issues. 3. Gaining greater understanding of the level and nature of support required by offices. Identification of key users was helpful. (H.1) 4. Involvement of senior management (in this case Budapest director way key). 	

		6.2.3 What generalizable lessons can be identified?	<p>1) Appropriate funding and time must be allocated to change management activities and training/support/embedding the new processes.</p> <p>2) early and regular communication is key</p> <p>3) management support is essential</p> <p>4) involvement of all staff is important</p>	
	6.3 What has the organization learnt from this process?	6.3.1 Would the organization run the process the same way again, or do things differently? If so, how?	The process has proven a successful one, so for the project of this magnitude, it is likely that similar approach would be followed. Phased implementation allowed the receiving offices to digest the changes in methods of work gradually; while also being able to keep up with their daily work, however during the time between phase 1 and 2 implementation, all offices had to work on 2 systems which was not ideal. Implementing in one go in each region could be possible with a larger dedicated team in HQ and more time of the change agents in each office, which is likely not a feasible scenario.	

Change Management Functions in the Organization

If information on organizational level change management initiatives is found while reading through documents, please note details/findings below

Review Question	Review Sub-Question	Additional Description	Key Findings
7. To what extent have change management functions been institutionalized?	7.1 Does the Participating Organization (PO) have a Change Management function – formalized or otherwise?	7.1.1 Is there a team – time-bound or fixed – working on CM across multiple initiatives (i.e. beyond a single time-bound change process)?	<p>There is currently no team that works continuously on the CM processes in the Office. The PMO took over the change management activities for the IRIS rollout, in the context of being overall responsible for its implementation.</p> <p>Throughout the duration of this multiyear project, the PMO involved other entities in certain CM activities (briefings, workshops, super user seminars etc.). Those entities include representatives from HR, FINANCE, INFOTEC and relevant country and Regional Offices. (E.4-5)</p>
	7.2 What are its objectives?	7.2.1 How was it established? When? What is its purpose? How sustainable is it?	The Project Management Office was set up as a central IT coordination function as from 2012 as per the IT strategy 2010-2015. It became operational as from 2013. (I.4)
	7.3 How is it structured, staffed and funded?	7.3.1 How many staff, and at what grades? Who does it report to? How is it funded and to what levels?	<p>PMO covers several functions in INFOTEC, focused on IT Governance and management of complex strategic projects for the Office. (N.3). The PMO is part of the PGMS unit, which totals 7 staff and a Head of the unit.</p> <p>Of the 7 staff, 1 staff member deals directly with coordinating IT proposals, and 2 temporary staff are dedicated to the IRIS Rollout team. The rest of the staff deal with non-IT governance activities within INFOTEC.</p>

Document Key

Document	Document Title	Document Source
A.	IRIS briefing for ILO DG Elect	ILO
B.	Communication for Asia and the Pacific offices – IRIS rollout 2018 – letter for the Directors	ILO
C.	ROAP Full Rollout (3 rd Wave) – Change Management Agenda and TOR	ILO
D.	Asia and the Pacific – IRIS Implementation Overview – briefing for the RO Management Team	ILO
E.	Asia and the Pacific – Wave 3 (Phase 2) – IRIS rollout TOR	ILO
F.	Asia and the Pacific – IRIS Implementation Overview (Briefing for Directors' Meeting) – via DDG/MR	ILO
G.	Asia and the Pacific (ROAP) – IRIS Field Rollout Wave 3 – Briefing for Each office by change agents	ILO
H.	GB.306/PFA/ICTS/2 – Second progress on IRIS rollout	ILO
I.	GB.320/PFA/INF/3 – Progress on the IT Strategy 2010-2015	ILO
J.	IT Investment study - PWC	ILO
K.	GB.326/PFA/5 – Final report on IT Strategy 2010-2015 and IT Strategy 2016-17	ILO
L.	GB.331/PFA/5 – IT Strategy 2018-21	ILO
M.	Post Implementation Overview – Global finance workshop	ILO
N.	IT Governance Committee (ITGC) Charter	ILO
O.	BPR process review document – RO Bangkok	ILO
P.	Asia and the Pacific Procedures	ILO
Q.	Role Mapping Example	ILO
R.	Approval hierarchies example	ILO
S.	GB.319/PFA/5/2 – Progress on IRIS rollout 2013	ILO
T.	IRIS User Centre Website - https://intranet.ilo.org/apps/IUC/Pages/default.aspx	ILO
U.	Training Survey Results Summary	ILO
V.	Role Mapping PPT Asia Example	ILO
W.	CM PPT – Impact on staff – Asia example	ILO
X.	Who does what – Asia example	ILO
Y.	GB.277/PFA/2/2 – Proposal for the use of funds to implement ERP system	ILO
Z.	PWC Budapest Post Implementation Review	ILO
AA.	Phase 2 Training Kick-off (Asia Wave 3)	ILO
AB.	Bangkok IRIS phase 2 BPR TOR	ILO
AC.	Mode of Operation Asia Wave 3	ILO
AD.	IOAC presentation on IRIS rollout	ILO

40. IMO – Review and Reform of IMO

Overall comments	<ul style="list-style-type: none"> The case summary was completed by JIU and additional information was provided by IMO. The documents provide a good overview of the reform and its components. From the information provided, there does not appear to have been a comprehensive change management process that can be used to draw lessons.
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Review Question	Review Sub-Question	Sub-sub Question	Key Findings	Remarks
<i>(Adapted from overall Review Framework)</i>			<i>(After stating findings Indicate source by letter, corresponding to document list below)</i>	<i>(Include list of documents that may be applicable)</i>
REFORM/INITIATIVE OVERVIEW				
1. Details of the organizational reform/initiative (The 'What' question – what the initiative and reasoning behind it was?)	1.1 A brief summary of the reform/initiative.	1.1.1 What is its purpose? What are the objectives?	<p>A review and reform mechanism was developed to realize the vision of the new SG with a focus in five key areas with the primary aim of a more efficient and effective organization – both in human and financial resources.</p> <p>The purpose of the reform was to addresses significant challenges faced by the organization in terms of limited financial and human resources. In particular:</p> <ul style="list-style-type: none"> How to improve the delivery mechanism to handle the ever-increasing workload, while seeking to address newly emerging priorities ranging from the then counter-piracy campaign through such issues as the transition to the mandatory Member State Audit and goal-based standards verification schemes and the ever-more complex environmental challenges. As a forward-looking, efficient and cost-conscious specialized agency within the United Nations system with strengthened and knowledge-based authority in global standard setting. <p>A Steering Group comprised of the SG, three Directors and the Head of the Policy and Planning Unit in the SG's Office oversaw the five groups of key staff addressing the 5 areas (see 1.1.4). Each of the groups received instructions/comments from the Steering Group on the aims and objectives of the review and a series of meetings were held</p>	

Review Question	Review Sub-Question	Sub-sub Question	Key Findings	Remarks
<i>(Adapted from overall Review Framework)</i>			<i>(After stating findings Indicate source by letter, corresponding to document list below)</i>	<i>(Include list of documents that may be applicable)</i>
			to monitor early progress and determine the general approach for each key area. The five groups work included review of internal working practices to identify opportunities to streamline efforts and reduce costs; opportunities to enhance use of IT as well as other short and long term analysis and HR considerations. Each group was tasked with specific issues to consider and reported on progress at subsequent Council sessions.	
		1.1.2 When did it start? When did it end?	2012 to 2014	
		1.1.3 What are the key elements/sub-initiatives?	The 5 key areas that the reform addressed were: <ul style="list-style-type: none"> • budget and expenditure; • human resources and office structure; • meeting support arrangements; • technical co-operation; • information technology 	
		1.1.4 When and by whom was it approved?	The Secretary General presented the Review and Reform of the Organization in the 11 April 2012 session of the Council.	
		1.1.5 Was the reform evaluated? What were the achievements, results, and/or outcomes?	No due to the limited resources in undertaking the oversight functions at the time.	
	1.2 What were the underlying factors or drivers behind this reform/initiative? Where distinct or additional to broader drivers of change, what specific events or triggers signalled the start? Each of these will affect the	1.2.1 What were the drivers? The causes of the initiative, generally an overarching, longer-term shift affecting how the organization operates.	The newly elected SG (term was 2012-2015) brought into the organization a forward-looking, efficient and cost-conscious agenda to review and reform IMO.	
		1.2.2 Was there a specific event that acted as a trigger to get it started? It may be internal or external. These might include funding	The biennial budget 2012-13 was a particularly challenging one for the organization and a driver of the effort.	

Review Question	Review Sub-Question	Sub-sub Question	Key Findings	Remarks
<i>(Adapted from overall Review Framework)</i>			<i>(After stating findings Indicate source by letter, corresponding to document list below)</i>	<i>(Include list of documents that may be applicable)</i>
	approach, speed, scope, resources and adoption of change management.	depletion, reputational (fraud, mismanagement) or other.		
PLAN OF CHANGE MANAGEMENT PROCESS				
2. Which change management approaches have been used in the <u>design</u> of the above reform or initiative? (The 'How' question on design – what did they set out to do?)	2.1 Describe the design or plan for change management in the initiative?	2.1.1 What were the specific objectives of change management within the design of the initiative?		
		2.1.2 Did the approach to change management draw from established practices (Kotter, McKinsey, PWC, UNLOCK etc) or not? If so, how?	Any theoretical model/approach developed by Kotter, McKinsey or PWC was not directly used in the planning and implementation of the IMO review and reform. But overall, it would be assessed that the components referred in those models/approaches were more or less mobilized without recognition.	
		2.1.3 Was a specific plan prepared outlining the change management process(es)? Who prepared this plan – done internally or by an outside company? If external, please state who?	See above	
	2.2 How did the triggers of the organizational reform or management initiative influence the change management approach?	2.2.1 What effect, if any, did the drivers or triggers of the reform have on the objectives and plan for change management?	No specific indication.	
IMPLEMENTATION OF CHANGE MANAGEMENT PROCESS				
3. How have the change management approaches been adopted/ adapted and implemented?	3.1 What was the scope – breadth and depth of the change process?	3.1.1 Was it system-wide, organization, department etc.	Organization-wide	
	3.2 How was the change management process led?	3.2.1 Who led the change management process? Who was the owner/sponsor of	The process was led by the SG and he, together with his senior management, also owned the process.	

Review Question	Review Sub-Question	Sub-sub Question	Key Findings	Remarks
<i>(Adapted from overall Review Framework)</i>			<i>(After stating findings Indicate source by letter, corresponding to document list below)</i>	<i>(Include list of documents that may be applicable)</i>
(The 'How' question on implementation)		the change? What is their position in relation to management?		
		3.2.2 Were consultants involved in implementation? If so, in what role?	Led internally by SG with a steering group of senior managers. Actual change management tasks were reviewed by the five task groups composed of internal staff members (Professional and General Services) selected from various organizational units of the Organization.	
		3.2.3 What was the size of the team? Where was the CM team located?	Five people on the Steering Group and 5 to 10 staff members in each task team	
		3.2.4 Is there an institutionalized function for change management in the organization or was the function time-bound for this specific initiative? <u>If yes, please include information in question 7 as well.</u>	It was time bound and at the time not a specialized function.	
		3.2.5 What mechanisms were put in place to oversee the change management process? Did it include the head of organization, the governing body, just senior managers, or other? What role was played by each?	The Council received reports on the reform at every session of it (normally twice a year). The Council was heavily involved in the discussion of the change in the meeting support arrangements (change in the organizing meetings structure, in particular, the subcommittee meeting of the Organization). For other areas, the Council provided comments on the work in general.	
	3.3 How was the change management process structured?	3.3.1 Did the process have a definitive start and end?	Feb 2012 to Jul 2015 (During the tenure of the then Secretary-General).	
		3.3.2 How long did it last?	Almost three and half years	
	3.4 How was it implemented?	3.4.1 Describe the implementation process (refer to the plan in 2.1.3)	Participation/engagement/group discussion of staff members	

Review Question	Review Sub-Question	Sub-sub Question	Key Findings	Remarks
<i>(Adapted from overall Review Framework)</i>			<i>(After stating findings Indicate source by letter, corresponding to document list below)</i>	<i>(Include list of documents that may be applicable)</i>
		3.4.2 What communication mechanisms were used?	Emails and documents were used to communicate with staff	
		3.4.3 How was the change initially framed and presented to staff?	Through the adoption of policies/plans/guidelines. Some are proposed to the governing body (Council/Assembly) for action.	
	3.5 How much reflexive learning took place during the process? Was it evaluated during or after?	3.5.1 What learning and adaptive management processes were put in place during or after the CM process? (please specify when put in place in relation to the process)	The recognition and accordant rewards/incentives of the task team members undertaking the work was a factor in successful implementation. Some longer-term implementation (high-hanging fruits) should be continuously monitored and followed-up with proper periodic reviews.	
RESOURCE IMPLICATIONS OF CHANGE MANAGEMENT PROCESS				
4. What have been the resource implications of change management?	4.1 How was the CM budgeted?	4.1.1 What was the source of financing- core resources/XB. Implications.	No separate resources set aside. Additional work/tasks given to the members of the small groups.	
	4.2 What were the major cost elements and actual costs (where available)?	4.2.1 What were the cost elements – financial, human (non-financial), etc? (Actual cost breakdown if possible to estimate)	See above	
RESULTS OF CHANGE MANAGEMENT PROCESS				
5. What are the results and critical success factors of the change process or approach?	5.1 What were the results of the change process?	5.1.1 What were the <u>short-term</u> outputs? How were they assessed?	Several short-term outputs related to cost savings and austerity measures were outlined in the Council document (C 110/3/2).	
		5.1.2 What were the <u>intermediate or long</u> outcomes? How were they assessed? Did they bring about the desired transformation? (linked back to objectives in 2.1.1)	<ul style="list-style-type: none"> • Exploration of long-term sustainable budget and expenditure; • Changes in the working arrangement under human resources and office structure; • Reorganization of the Organization's meeting support arrangements, in particular, sub-committee meetings; • Changes in the operation of technical co-operation; • Development of strategies and policies in formation technology 	

Review Question	Review Sub-Question	Sub-sub Question	Key Findings	Remarks
<i>(Adapted from overall Review Framework)</i>			<i>(After stating findings Indicate source by letter, corresponding to document list below)</i>	<i>(Include list of documents that may be applicable)</i>
	5.2 How did the process affect the results?	5.2.1 How did the change management results contributed to the reform results or outcomes and in what way? What is the value-add of the structured process, where used?	According to the organization, to a degree but not well measured	
LESSONS FROM CHANGE MANAGEMENT PROCESS				
6. What lessons can be derived to guide future change management initiatives?	6.1 What are considered critical factors +/-	6.1.1 What do those involved, and those affected considered: (ii) the key factors of success (jj) factors that led to failure and the challenges and constraints to the change management process?	No strategic document to guide overall pursuit of the change management: -Proper/professional planning and design of the process; and -proper review/evaluation of the work done;	
	6.2 What positive features identified are transferable or scalable, which are not and why?	6.2.1 How unique are these to the context in which they were implemented?	There was no formal evaluation of the work done.	
		6.2.2 What generalizable lessons can be identified?	Commonalities: addressing the managerial areas of main functions Differences: All done by the engagement of the cross-divisional staff members and no addressing of the culture/human behaviour There should be a time-bound target and implementation monitoring/evaluation	
	6.3 What has the organization learnt from this process?	6.3.1 Would the organization run the process the same way again, or do things differently? If so, how?		

Change Management Functions in the Organization

If information on organizational level change management initiatives is found while reading through documents, please note details/findings below

Review Question	Review Sub-Question	Additional Description	Key Findings
7. To what extent have change management functions been institutionalized?	7.1 Does the Participating Organization (PO) have a Change Management function – formalized or otherwise?	7.1.1 Is there a team – time-bound or fixed – working on CM across multiple initiatives (i.e. beyond a single time-bound change process)?	Yes. (i) The IMO Secretary-General has established an Evaluation and Change Initiative Programme (ECIP) (ii) Functional Review of the Secretariat (FRS)
	7.2 What are its objectives?	7.2.1 How was it established? When? What is its purpose? How sustainable is it?	- The ECIP was operative from 2018, the purpose of which is to properly pursue the change based on the findings/recommendations of evaluation (either internal or external by the JIU). The Programme will be sustainable as long as the funding is available - The FRS is time-bound (two years) project to review the whole process of the secretariat work to improve and change the structure of the secretariat.
	7.3 How is it structured, staffed and funded?	7.3.1 How many staff, and at what grades? Who does it report to? How is it funded and to what levels?	- ECIP is currently planned to have 4 staff and it reports to the senior management committee (SMC). Special trust funding is set aside. - FRS team is composed of the secondments from all divisions/offices and report to the steering committee and the Council. Special funding from a trust fund.

Document Key

Document	Document Title	Document Source
A.	IMO documents from the 108 th to the 112 th Council provide an overview and reporting on the Review and Reform	IMO
B.		

41. ITU – Gender Equality and Mainstreaming Policy (GEM)

Overall comments	<ul style="list-style-type: none"> The case summary was completed by JIU. Additional information was added based on an interview and further documentation. The documents provide a good overview of the reform From the information provided, there does not appear to have been a comprehensive change management process, however, facets of change activities related to communications and human resources were part of the process. The case is considered complete.
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Review Question	Review Sub-Question	Sub-sub Question	Key Findings	Remarks
<i>(Adapted from overall Review Framework)</i>			<i>(After stating findings Indicate source by letter, corresponding to document list below)</i>	<i>(Include list of documents that may be applicable)</i>
REFORM/INITIATIVE OVERVIEW – Focus on institutional/organizational level				
1. Details of the organizational reform/initiative (The 'What' question – what the initiative and reasoning behind it was?)	1.1 A brief summary of the reform/initiative.	1.1.1 What is its purpose? What are the objectives?	<p>Purpose: to foster a more creative and effective organization which is inked to increased productivity and innovation. ITU seeks to become a model organization for gender equality and to leverage the power of ICT to empower both woman and men</p> <p>Key objectives were:</p> <ul style="list-style-type: none"> Achieve gender equality so as to allow both woman and men to equally contribute to and participate in the work of the organization; (50/50 gender parity at all levels) Ensure women and men benefit equally from ICT. <p>Additional objectives outside of the change management reform are for the ITU to align themselves with UN SYSTEM wide mandate on gender (UNSWAP) (E1)</p>	

Review Question	Review Sub-Question	Sub-sub Question	Key Findings	Remarks
<i>(Adapted from overall Review Framework)</i>			<i>(After stating findings Indicate source by letter, corresponding to document list below)</i>	<i>(Include list of documents that may be applicable)</i>
			Ensure that the ITU remains relevant doesn't "miss the boat" that is gender equality (E1)	
		1.1.2 When did it start? When did it end?	2013; efforts are ongoing	
		1.1.3 What are the key elements/sub-initiatives?	<p>Output strategy and objectives:</p> <p>A. Organizational culture and staffing</p> <p>B. Programmes, activities, service delivery and implementation</p> <ul style="list-style-type: none"> • Integrate a gender perspective throughout the Union and in all its work: its policy, strategic plans, activities and programmes. Knowledge building activities. • Also in an accountability mechanism for oversight and achievement of results • Include gender assessment in programmes, activities and service delivery • Promote and show case good practices in the use of ICT. <p>C. <u>Governance</u></p> <p>Commitment to gender equality is reflected in all decision-making and planning processes. Thus objectives are to:</p> <ul style="list-style-type: none"> • Integrate gender perspective in strategic and budget planning • Ensure gender balance in decision-making bodies, statutory committees and study groups; 	

Review Question	Review Sub-Question	Sub-sub Question	Key Findings	Remarks
<i>(Adapted from overall Review Framework)</i>			<i>(After stating findings Indicate source by letter, corresponding to document list below)</i>	<i>(Include list of documents that may be applicable)</i>
			Use gender sensitive-language in all ITU documents including pictograms and non-text representation	
		1.1.4 When and by whom was it approved?	ITU's new Gender Equality and Mainstreaming (GEM) Policy Adopted by ITU Council at its 2013 Session . This builds on previous resolutions including the UN SWAP on gender equality and women empowerment.	
		1.1.5 Was the reform evaluated? What were the achievements, results, and/or outcomes?	An audit of the reform was completed on May 1st 2017. The focus was the assessment of level and nature of implementation against defined goals and objectives. The audit also did an analysis of implications of existing findings on: governance and controls, risk management, effectiveness of controls using COSO criteria. The objectives of the audit were to (i) assess ITU's institutional framework for enhancing GEM, (ii) assess staff awareness and understanding of GEM policies, gender programmes, projects and gender knowledge-building activities in the Union, (iii) assess the achievement of gender equality in the Union as manifested by number of male and female staff, members of formal and informal groups such as task forces, statutory committees, etc. in the Union, (iv) identify and evaluate good practices on gender initiatives in ITU and potential gaps that limit gender mainstreaming at all levels of the Union,	

Review Question	Review Sub-Question	Sub-sub Question	Key Findings	Remarks
<i>(Adapted from overall Review Framework)</i>			<i>(After stating findings Indicate source by letter, corresponding to document list below)</i>	<i>(Include list of documents that may be applicable)</i>
			<p>and (v) assess and evaluate the status of ITU in implementing the UN-SWAP performance indicators</p> <p>IA is of the opinion that the governance and risk management processes, and the internal controls are not adequate enough and lack in certain areas effectiveness. There are good practices on gender in ITU that demonstrate a culture sufficiently willing to embrace GEM. If the identified shortcomings were addressed, the Secretary-General could be provided with reasonable assurance that there is adequate governance and risk management with respect to GEM, and that the internal controls are effective for the implementation of GEM policy and activities ,</p> <ol style="list-style-type: none"> 1. The existing institutional framework for GEM is not adequate. This framework comprises the Governing Bodies Resolutions on gender, the GEM policy, the Gender Task Force and the associated accountability structure. 2. Risks associated with awareness of GEM policies, programmes are not adequately managed 3. Female and male staff are not represented equally in the staffing and groups of the Union. Women are underrepresented in higher categories while men are underrepresented in lower job categories 4. The effectiveness of controls in implementing and reporting on 	

Review Question	Review Sub-Question	Sub-sub Question	Key Findings	Remarks
<i>(Adapted from overall Review Framework)</i>			<i>(After stating findings Indicate source by letter, corresponding to document list below)</i>	<i>(Include list of documents that may be applicable)</i>
			Resolution 70 and UN-SWAP is assessed as not adequate. All evaluations / performance indicators are from the UNSWAP (E1)	
	1.2 What were the underlying factors or drivers behind this reform/initiative? Where distinct or additional to broader drivers of change, what specific events or triggers signalled the start? Each of these will affect the approach, speed, scope, resources and adoption of change management. They can be both expected or unexpected.	1.2.1 What were the drivers? The causes of the initiative, generally an overarching, longer-term shift affecting how the organization operates.	Low level of gender equality in ITU. UN-SWAP likely an important driver of the policy. Sections 4 and 5 of the model references leading by example and aspiring to become a model organization for gender equality. Snipit from policy:	
		1.2.2 Was there a specific event that acted as a trigger to get it started? It may be internal or external. These might include funding depletion, reputational (fraud, mismanagement) or other.	Likely a mix of UN-SWAP starting and reputational risks of not addressing.	
<u>PLAN OF CHANGE MANAGEMENT PROCESS</u>				
2. Which change management approaches have been used in the <u>design</u> of the above reform or initiative? (The 'How' question on design)	2.1 Describe the design or plan for change management in the initiative?	2.1.1 What were the specific objectives of change management within the design of the initiative?	a) Organizational Culture and Staffing The GEM policy proactively commits ITU to promoting an inclusive workplace and to nurture a gender-friendly working environment via the following institutional measures and mechanisms: • Implementing measures aimed at significantly improving gender parity at all levels and in each sector, including	

Review Question	Review Sub-Question	Sub-sub Question	Key Findings	Remarks
<i>(Adapted from overall Review Framework)</i>			<i>(After stating findings Indicate source by letter, corresponding to document list below)</i>	<i>(Include list of documents that may be applicable)</i>
– what did they set out to do?)			<p>ensuring accountability among recruitment decision-makers;</p> <ul style="list-style-type: none"> • Ensuring a gender-sensitive approach in applying HR policies and practices including in recruitment and staff development; • Taking appropriate measures to enhance respect for diversity; • Fostering a participative culture that values the contribution of each staff member, whether female or male; • Promoting inclusive decision-making processes and management styles; <p>and</p> <ul style="list-style-type: none"> • Enhancing flexible work arrangements and career paths. <p>Culture and behaviour changes:</p> <ul style="list-style-type: none"> • Empowerment of all staff, regardless of gender • Generate awareness of biases and thereby reduce them • Addressing various barriers to gender equality: unconscious bias, discrimination, marginalization, non-acceptance by male colleagues; being overlooked, interrupted, given less respect, value ones views and ideas only when echoed by a male staff . • Facilitating a ‘critical examination’ of gender norms, roles, and relationships and making behavioural changes 	
		2.1.2 Did the approach to change management draw from established	Unable to comment/confirm regarding established mechanism noted in previous	

Review Question	Review Sub-Question	Sub-sub Question	Key Findings	Remarks
<i>(Adapted from overall Review Framework)</i>			<i>(After stating findings Indicate source by letter, corresponding to document list below)</i>	<i>(Include list of documents that may be applicable)</i>
		practices (Kotter, McKinsey, PWC, UNLOCK etc) or not? If so, how?	column. Efforts certainly drew from UN-SWAP accountability mechanism.	
		2.1.3 Was a specific plan prepared outlining the change management process(es)? Who prepared this plan – done internally or by an outside company? If external, please state who?	A more structured plan was introduced in 2017. Previous to that, elements included: <ul style="list-style-type: none"> • Unconscious bias training programmes for staff • Leadership training for women • Tracking and publishing data: itu.int/gender dashboard • Preparation of a document for communication guidelines Work was conducted internally. Training was provided by external contractors.	
	2.2 How did the triggers of the organizational reform or management initiative influence the change management approach?	2.2.1 What effect, if any, did the drivers or triggers of the reform have on the objectives and plan for change management?	UN-SWAP was an important trigger, and provided a framework to advance gender equality, including the policy, training, data tracking, and the communications guide.	
IMPLEMENTATION OF CHANGE MANAGEMENT PROCESS				
3. How have the change management approaches been adopted/ adapted and implemented? (The 'How' question on implementation)	3.1 What was the scope – breadth and depth of the change process?	3.1.1 Was it system-wide, organization, department etc.	It was organization wide	
	3.2 How was the change management process led?	3.2.1 Who led the implementation of change management process? Who was the owner/sponsor of the change? What is their position in relation to management?	Various elements would have been advanced by various staff. For example, the Head of Staff Training in HR spearheaded a number of training exercises. A group of staff were nominated to serve on the “Gender Task Force” and met to discuss opportunities to advance gender mainstreaming within ITU. There was also a key sponsor at the D1/D2 level.	

Review Question	Review Sub-Question	Sub-sub Question	Key Findings	Remarks
<i>(Adapted from overall Review Framework)</i>			<i>(After stating findings Indicate source by letter, corresponding to document list below)</i>	<i>(Include list of documents that may be applicable)</i>
		3.2.2 Were consultants involved in implementation? If so, in what role?	The role of consultants was limited to training efforts.	
		3.2.3 What was the size of the team? Where was the CM team located?	There is one document that shows the composition of the Gender Task Force in 2012 to include 13 staff, each representing each of the key divisions across ITU.	
		3.2.4 Is there an institutionalized function for change management in the organization or was the function time-bound for this specific initiative? <u>If yes, please include information in question 7 as well.</u>	No institutionalized function	
		3.2.5 What mechanisms were put in place to oversee the change management process? Did it include the head of organization, the governing body, just senior managers, or other? What role was played by each?	An audit was completed by ITU's Internal Audit team in 2017.	
	3.3 How was the change management process structured?	3.3.1 Did the process have a definitive start and end?	No	
		3.3.2 How long did it last?	Efforts are still ongoing	
	3.4 How was it implemented?	3.4.1 Describe the implementation process (refer to the plan in 2.1.3)	Implementation that worked well were training efforts, establishing the dashboard, developing the communications guide, and having the Gender Task Force meet to discuss and review. Also key were the required reporting to UN-SWAP, the motivated and engaging sponsor and staff that worked to advance the various efforts.	.
		3.4.2 What communication mechanisms were used?	Primarily email. There have been two SharePoint sites though with limited	

Review Question	Review Sub-Question	Sub-sub Question	Key Findings	Remarks
<i>(Adapted from overall Review Framework)</i>			<i>(After stating findings Indicate source by letter, corresponding to document list below)</i>	<i>(Include list of documents that may be applicable)</i>
			engagement. The Gender Task Force meetings were another communication mechanism.	
		3.4.3 How was the change initially framed and presented to staff?	It was presented in several phases, starting by the call to participate in gender-related trainings	
	3.5 How much reflexive learning took place during the process? Was it evaluated during or after?	3.5.1 What learning and adaptive management processes were put in place during or after the CM process? (please specify when put in place in relation to the process)	N/A	
4. What have been the resource implications of change management?	4.1 How was the CM budgeted?	4.1.1 What was the source of financing- core resources/XB. Implications.	Resources were allocated on an initiative-basis, ie training programme, development of the communications guidelines. Mostly resources would have come from existing budgets; to my knowledge there was not a project or gender budget. Council 2017 requested a resource to implement gender mainstreaming and this role was filled in 2017.	
	4.2 What were the major cost elements and actual costs (where available)?	4.2.1 What were the cost elements – financial, human (non-financial), etc? (Actual cost breakdown if possible to estimate)	Costs would have included mix of human resources and training costs.	
RESULTS OF CHANGE MANAGEMENT PROCESS				
5. What are the results and critical success factors of the change process or approach?	5.1 What were the results of the change process?	5.1.1 What were the <u>short-term</u> outputs? How were they assessed?	Training Gender dashboard Increased awareness Communications guide	
	<i>(Is there evidence of sustainability of these changes? What is the degree to which</i>	5.1.2 What were the <u>intermediate or long</u> outcomes? How were they assessed? Did they bring about the desired transformation?	- The initiative is still ongoing. - The implementation of the GEM policy in ITU is not a CM initiative as such, but incorporates a change dimension	

Review Question	Review Sub-Question	Sub-sub Question	Key Findings	Remarks
<i>(Adapted from overall Review Framework)</i>			<i>(After stating findings Indicate source by letter, corresponding to document list below)</i>	<i>(Include list of documents that may be applicable)</i>
	<i>organization is working differently and people are behaving differently? Degrees of result or proxies around these include cost reduction (staff and non-staff); service levels; reduced risks; behavioural changes; improved collaboration etc.)</i>	(linked back to objectives in 2.1.1)	on it. As an integral part of the Strategic Plan for the period 2016-2019, there are Outcomes related to it which are assessed on yearly basis. Progress is proven through such indicators.	
	5.2 How did the process affect the results?	5.2.1 How did the change management results contributed to the reform results or outcomes and in what way? What is the value-add of the structured process, where used?	More structure has been introduced since 2017.	
LESSONS FROM CHANGE MANAGEMENT PROCESS				
6. What lessons can be derived to guide future change management initiatives?	6.1 What are considered critical factors +/-	6.1.1 What do those involved, and those affected considered?	Success factors 1. Involvement of a committed sponsor and staff involved in the gender task force 2. UN-SWAP accountability framework with performance indicators for mainstreaming across ITU Challenges, constraints 3. Lack of resource allocation including human resources to guide and follow-up on work	
	6.2 What positive features identified are	6.2.1 How unique are these to the context in which they were implemented?	Suspect not particularly unique	

Review Question	Review Sub-Question	Sub-sub Question	Key Findings	Remarks
<i>(Adapted from overall Review Framework)</i>			<i>(After stating findings Indicate source by letter, corresponding to document list below)</i>	<i>(Include list of documents that may be applicable)</i>
	transferable or scalable, which are not and why?	6.2.2 What generalizable lessons can be identified?	<ul style="list-style-type: none"> Accountability (UN-SWAP) mechanism instrumental Importance of sponsor and motivated/committed staff Allocation of resources (financial/hr) Structured plan 	
	6.3 What has the organization learnt from this process?	6.3.1 Would the organization run the process the same way again, or do things differently? If so, how?	Improvements are already underway. Three key elements that have advanced since 2017 were: (1) audit, (2) annual plan, and (3) allocation of resources in the form of a gender officer post.	

Change Management Functions in the Organization

If information on organizational level change management initiatives is found while reading through documents, please note details/findings below

Review Question	Review Sub-Question	Additional Description	Key Findings	Gaps and Questions
7. To what extent have change management functions been institutionalized?	7.1 Does the Participating Organization (PO) have a Change Management function – formalized or otherwise?	7.1.1 Is there a team – time-bound or fixed – working on CM across multiple initiatives (i.e. beyond a single time-bound change process)?	No, there is no team working on CM across multiple initiatives	
	7.2 What are its objectives?	7.2.1 How was it established? When? What is its purpose? How sustainable is it?	N /A	
	7.3 How is it structured, staffed and funded?	7.3.1 How many staff, and at what grades? Who does it report to? How is it funded and to what levels?	N/A	

Document Key

Document	Document Title	Document Source
A.	ITU's new Gender Equality and Mainstreaming Policy (GEM) 2013	ITU
B.	ITU's activities related to Resolution 7 (Rev, Busan, 2014) (this highlights the role of ICTs to advance gender equality and women's empowerment. It also instruction the council to continue initiatives to mainstream gender in ITU. Council 2017. Geneva 15—25 May 2017 (C17/6-E0	ITU
C.	Note by the Secretary General: UN-SWAP Report Letter. Council 2017 Geneva 15-25 May 2017 (C17/INF/7-E)	ITU
D.	Audit of Gender Equality and Mainstreaming in ITU . Audit Report SG.SGO/IA 71-05 May 1 2017	
E.	Notes ITU	JIU

42. ITU – Reform on Strategic Planning, Monitoring and Oversight

Overall comments	<ul style="list-style-type: none"> The case summary was completed by JIU. Additional information was added based on an interview and further documentation. The documents provide a good overview of the reform, its purpose, components and roll-out. From the information provided and the interview and subsequent discussions no evidence was found of the planned use of change management approaches or processes in the roll-out of this reform (as per the JIU change management definition and guide document). The case is considered complete.
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Review Question	Review Sub-Question	Sub-sub Question	Key Findings	Remarks
<i>(Adapted from overall Review Framework)</i>			<i>(After stating findings Indicate source by letter, corresponding to document list below)</i>	<i>(Include list of documents that may be applicable)</i>
REFORM/INITIATIVE OVERVIEW				
1. Details of the organizational reform/initiative (The 'What' question – what the initiative and reasoning behind it was?)	1.1 A brief summary of the reform/initiative.	1.1.1 What is its purpose? What are the objectives?	<p>The purpose of the initiative was to improve the planning, monitoring and oversight of the implementation of the Strategic Plan of the organization.</p> <p>The objectives of the initiatives undertaken (which were inter-linked, but yet “stand-alone” i.e. not part of an overall organizational or change management reform) included:</p> <ol style="list-style-type: none"> 1. Development of an improved strategic framework and results-framework for the organization (including a new monitoring and reporting mechanism developing the Annual Report of activities);(RBM) 2. Implementation of an enterprise (organization-wide) risk management framework; ERM) 3. Development of the ITU Accountability Framework; (AC) 4. Implementation of all the Recommendations of the JIU “Review of Management and Administration in the ITU”. (JIU Recommendation MAR 2016) <p>Additional objectives outside of the change management reform are for the ITU to align themselves with UN SYSTEM wide mandate on gender (UNSWAP) (F1)</p>	

Review Question	Review Sub-Question	Sub-sub Question	Key Findings	Remarks
<i>(Adapted from overall Review Framework)</i>			<i>(After stating findings Indicate source by letter, corresponding to document list below)</i>	<i>(Include list of documents that may be applicable)</i>
			Ensure that the ITU remains relevant doesn't "miss the boat" that is gender equality (F1)	
		1.1.2 When did it start? When did it end?	Started with the process of development of the ITU Strategic Plan for 2016-2019 (around June 2014), and it on-going as the organization will be adopting the new ITU Strategic Plan for 2020-2023.	
		1.1.3 What are the key elements/sub-initiatives?	Key elements and sub-initiatives presented in points 1-4 : The components of the reform are: <ul style="list-style-type: none"> ➤ RBM focus on strategic planning ➤ ERM ➤ AC (Accountability framework) ➤ Implementation of JIU recommendations (MAR generally covering governance, management, administration, oversight and g and evaluation) all have major sub-components. This is thus a huge reform effort for a small organization.	
		1.1.4 When and by whom was it approved?	Different levels of approval for the different elements: <ul style="list-style-type: none"> - The ITU Plenipotentiary Conference in 2014 (PP-14) approved the new strategic framework, within the ITU Strategic Plan 2016-2019 - Improvements to the ITU results-based management framework and the monitored and reported Outcome Indicators and KPIs were approved by Council as part of the Operational Plans of the 3 ITU Sectors and the General Secretariat - Risk management framework, Accountability and Transparency framework, and plan for implementation of the JIU ITU Review recommendations were also approved by Council. 	
		1.1.5 Was the reform evaluated? What were the achievements, results, and/or outcomes?	As the initiatives did not constitute a "reform" they were only individually and separately reviewed by the ITU Council. All evaluations / performance indicators are from the UNSWAP (F1)	
	1.2 What were the underlying factors or drivers behind this reform/initiative?	1.2.1 What were the drivers? The causes of the initiative, generally an overarching, longer-term shift affecting	On the basis of an analysis of the implementation of the 2012-2015 Strategic plan, and a thorough review of the practices of other UN organizations, key adjustments were identified as needed.	

Review Question	Review Sub-Question	Sub-sub Question	Key Findings	Remarks
(Adapted from overall Review Framework)			(After stating findings Indicate source by letter, corresponding to document list below)	(Include list of documents that may be applicable)
	Where distinct or additional to broader drivers of change, what specific events or triggers signalled the start? Each of these will affect the approach, speed, scope, resources and adoption of change management. They can be both expected or unexpected.	how the organization operates.	<p>These included the need for a) stronger results-based framework, b) need to define ITU-wide strategic goals and targets, c) need to define measurable objectives and outcomes, and corresponding performance indicators, d) need to strengthen the RBM methodology, including the development of a performance monitoring and risk management framework.</p> <p>UNSWAP is the main driver behind this reform.</p> <p>Drivers include the ITU wanting to stay relevant due to the reduction in funding they had in the previous years. Not wanting to “miss the gender-equality boat” (F1)</p> <p>Driver was the current DG being a strong champion of this change in addition to the member states support for the UMSWAP initiative (F1)</p>	
		1.2.2 Was there a specific event that acted as a trigger to get it started? It may be internal or external. These might include funding depletion, reputational (fraud, mismanagement) or other.	No a specific event –this was triggered mainly during the process for the elaboration of the 2016-2019 Strategic Plan, supported by several recommendations of the ITU Independent Management Advisory Committee (IMAC) and the UN Joint Inspection Unit.	
PLAN OF CHANGE MANAGEMENT PROCESS				
2. Which change management approaches have been used in the <u>design</u> of the above reform or initiative? (The 'How' question on design	2.1 Describe the design or plan for change management in the initiative?	2.1.1 What were the specific objectives of change management within the design of the initiative?	The different initiatives were not guided by an overall change management process. Nevertheless, their common objectives included the continuous improvement of the planning, monitoring, and reporting capabilities of the organization, the continuous improvement of the internal control mechanisms, as well as the continuous enhancement of the openness, transparency and accountability of the organization.	
		2.1.2 Did the approach to change management draw from established practices	N/A	

Review Question	Review Sub-Question	Sub-sub Question	Key Findings	Remarks
<i>(Adapted from overall Review Framework)</i>			<i>(After stating findings Indicate source by letter, corresponding to document list below)</i>	<i>(Include list of documents that may be applicable)</i>
– what did they set out to do?)		(Kotter, McKinsey, PWC, UNLOCK etc) or not? If so, how?		
		2.1.3 Was a specific plan prepared outlining the change management process(es)? Who prepared this plan – done internally or by an outside company? If external, please state who?	N/A	
	2.2 How did the triggers of the organizational reform or management initiative influence the change management approach?	2.2.1 What effect, if any, did the drivers or triggers of the reform have on the objectives and plan for change management?	The main driver of the reform being the UNSWAP, the change objective and change plans have all been tailored around this specific mandate.	
<u>IMPLEMENTATION OF CHANGE MANAGEMENT PROCESS</u>				
Note: The responses provided in the section below are not about change management but about the reforms				
3. How have the change management approaches been adopted/ adapted and implemented? (The 'How' question on implementation)	3.1 What was the scope – breadth and depth of the change process?	3.1.1 Was it system-wide, organization, department etc.	The initiative was organization-wide.	
	3.2 How was the change management process led?	3.2.1 Who led the change management process? Who was the owner/sponsor of the change? What is their position in relation to management?	The various initiatives were led by different parts of the organization. <i>1. Development of an improved strategic framework and results-framework for the organization (including a new monitoring and reporting mechanism developing the Annual Report of activities)</i> led by an internal Task Force established for the elaboration of the Strategic Plan. Chaired by one of the ITU Elected Officials (Director of the Radio communication Bureau, supported by the Corporate Strategy Division of the Strategic Planning and Management Dept. / all Bureaux and Depts. of the General Secretariat engaged and	

Review Question	Review Sub-Question	Sub-sub Question	Key Findings	Remarks
<i>(Adapted from overall Review Framework)</i>			<i>(After stating findings Indicate source by letter, corresponding to document list below)</i>	<i>(Include list of documents that may be applicable)</i>
			<p>participated). Process overseen by a Council Working Group on the Strategic Plan.</p> <p>2. <i>Implementation of an enterprise (organization-wide) risk management framework</i> => Coordinated by the Corporate Strategy Div. of the Strategic Planning and Management Dept., with the engagement and participation of all Bureaux and GS Depts.</p> <p>3. <i>Development of the ITU Accountability Framework</i> => led by the Financial Resources Mgmt. Dept.</p> <p>4. <i>Implementation of all the Recommendations of the JIU "Review of Management and Administration in the ITU"</i> => led by the Inter-sectoral Coordination Task Force (ISC-TF) –chaired by the Deputy Secretary-General with the engagement and participation of all concerned Depts.</p>	
		3.2.2 Were consultants involved in implementation? If so, in what role?	Not extended involvement of external consultants. A consulting firm was involved in organizing and conducting Workshops on Strategic Risk Management and conducting a workshop on improving Operational Planning for the organization.	
		3.2.3 What was the size of the team? Where was the CM team located?	<p>No separate team assigned on overall Change Management.</p> <p>3 persons from the Corporate Strategy Division involved</p> <p>1-2 persons from the Financial Resources Mgmt. Dept.</p> <p>1-2 persons from each Bureaux and Dept. of the GS participating in the progress (according to the nature of the task)</p>	
		3.2.4 Is there an institutionalized function for change management in the organization or was the function time-bound for this specific initiative? <u>If yes, please include information in question 7 as well.</u>	No institutionalized function for change management in the organization.	
		3.2.5 What mechanisms were put in place to oversee the change management process? Did it include the head of organization, the	Each initiative had different oversight mechanisms (see Q.3.2).	

Review Question	Review Sub-Question	Sub-sub Question	Key Findings	Remarks
<i>(Adapted from overall Review Framework)</i>			<i>(After stating findings Indicate source by letter, corresponding to document list below)</i>	<i>(Include list of documents that may be applicable)</i>
		governing body, just senior managers, or other? What role was played by each?		
	3.3 How was the change management process structured?	3.3.1 Did the process have a definitive start and end?	Not one overall Change Management process.	
		3.3.2 How long did it last?	N/A – ongoing	
	3.4 How was it implemented?	3.4.1 Describe the implementation process (refer to the plan in 2.1.3)	The components/various initiatives were independently implemented, but coordinated as required.	
		3.4.2 What communication mechanisms were used?	Usually internal Task Forces composed by all the Bureux and Depts. of the General Secretariat.	
		3.4.3 How was the change initially framed and presented to staff?	As part of the development of the new/upcoming ITU Strategic Plan.	
	3.5 How much reflexive learning took place during the process? Was it evaluated during or after?	3.5.1 What learning and adaptive management processes were put in place during or after the CM process? (please specify when put in place in relation to the process)	No particular evaluation was conducted during or after the development of the initiatives. Learning process took place only by reviewing the overall progress made through the initiatives.	
4. What have been the resource implications of change management?	4.1 How was the CM budgeted?	4.1.1 What was the source of financing- core resources/XB. Implications.	Not a separate budget for CM. Internal/budgeted resources used.	
	4.2 What were the major cost elements and actual costs (where available)?	4.2.1 What were the cost elements – financial, human (non-financial), etc? (Actual cost breakdown if possible to estimate)	Cost of staff involved in the initiatives.	
RESULTS OF CHANGE MANAGEMENT PROCESS				
5. What are the results and critical success factors of	5.1 What were the results of the change process?	5.1.1 What were the <u>short-term</u> outputs? How were they assessed?	There was no separate assessment of the initiatives, in order to provide evidence of the sustainability of the changes. Proxies to define the success of the process could be further analysed by studying and	

Review Question	Review Sub-Question	Sub-sub Question	Key Findings	Remarks
<i>(Adapted from overall Review Framework)</i>			<i>(After stating findings Indicate source by letter, corresponding to document list below)</i>	<i>(Include list of documents that may be applicable)</i>
<i>the change process or approach?</i>	<i>(Is there evidence of sustainability of these changes? What is the degree to which organization is working differently and people are behaving differently? Degrees of result or proxies around these include cost reduction (staff and non-staff); service levels; reduced risks; behavioural changes; improved collaboration etc.)</i>		analysing the results and progress towards the overall Goals/Targets, Objectives/Outcomes and Key Performance Indicators defined and reported in the ITU annual reports.	
		5.1.2 What were the <u>intermediate or long</u> outcomes? How were they assessed? Did they bring about the desired transformation? (linked back to objectives in 2.1.1)	There were no separate assessment of the initiatives. See response to Q.5.1.	
	5.2 How did the process affect the results?	5.2.1 How did the change management results contributed to the reform results or outcomes and in what way? What is the value-add of the structured process, where used?	No particular analysis has been conducted. See response to Q.5.1.	
LESSONS FROM CHANGE MANAGEMENT PROCESS				
6. What lessons can be derived to guide future change management initiatives?	6.1 What are considered critical factors +/-	6.1.1 What do those involved, and those affected considered critical factors in success/ failure of the change management process?	There has been no overall or in depth evaluation of the initiatives undertaken. However, lessons learned were taken into consideration in the development of new initiatives, e.g. the ITU 2020-2023 Strategic Plan.	

Review Question	Review Sub-Question	Sub-sub Question	Key Findings	Remarks
<i>(Adapted from overall Review Framework)</i>			<i>(After stating findings Indicate source by letter, corresponding to document list below)</i>	<i>(Include list of documents that may be applicable)</i>
		Are these distinguishable from the reforms behind the change etc.		
	6.2 What positive features identified are transferable or scalable, which are not and why?	6.2.1 What features seem to be key to a successful CM process?	For the case of all initiatives, the wide participation from all the ITU Bureaux and the General Secretariat was key to be able to progress with the initiatives. Top management engagement and oversight was also key in some of them (e.g. implementation of the JIU Recommendations). Engagement with all stakeholders, including open and public consultations was key for the process of the development of the ITU Strategic framework.	
		6.2.2 How unique are these to the context in which they were implemented?	Not unique, rather 'transferrable'.	
		6.2.3 What generalizable lessons can be identified?	- Involvement of all key stakeholders is critical - Support, leadership and close oversight from top management is crucial	
	6.3 What has the organization learnt from this process?	6.3.1 Would the organization run the process the same way again, or do things differently? If so, how?	Lessons learnt are always very useful in defining new processes for further improvements. Such improvements are already being applied in the iteration of some of the initiatives (e.g. the revision of the ITU Strategic Plan, the review of the annual reports, etc.) Lessons learnt are also very useful in planning new similar organizational improvement initiatives.	

Change Management Functions in the Organization

If information on organizational level change management initiatives is found while reading through documents, please note details/findings below

Review Question	Review Sub-Question	Additional Description	Key Findings	Gaps and Questions
7. To what extent have change management functions been institutionalized?	7.1 Does the Participating Organization (PO) have a Change Management function – formalized or otherwise?	7.1.1 Is there a team – time-bound or fixed – working on CM across multiple initiatives (i.e. beyond a single time-bound change process)?	There is no formalized Change Management function in the organization.	
	7.2 What are its objectives?	7.2.1 How was it established? When? What is its purpose? How sustainable is it?	N/A	
	7.3 How is it structured, staffed and funded?	7.3.1 How many staff, and at what grades? Who does it report to? How is it funded and to what levels?	N/A	

Document Key

Document	Document Title	Document Source
A.	Strategic Plan for the Union for 2016-2019	https://www.itu.int/en/council/planning/Documents/Strategic Plan for the Union 2016-2019__English.pdf
B.	ITU risk management policy (Doc. C17/74) (adopted in 2017)	https://www.itu.int/md/meetingdoc.asp?lang=en&parent=S17-CL-C-0074
C.	ITU risk appetite statement (Doc. C17/73) (adopted in 2017)	https://www.itu.int/md/meetingdoc.asp?lang=en&parent=S17-CL-C-0073
D.	ITU Accountability and Transparency framework (Doc. C17/34)	https://www.itu.int/md/meetingdoc.asp?lang=en&parent=S17-CL-C-0064
E.	Report to Council (2018) on the Implementation status and plan of the JIU recommendations from the Review of Management and Administration in the ITU (JIU/REP/2016/1) (Doc.C18/39)	https://www.itu.int/md/meetingdoc.asp?lang=en&parent=S18-CL-C-0039
F.	ITU Meeting Notes	JIU Compiled

43. UNESCO – Invest for Efficient Delivery

Overall comments	<ul style="list-style-type: none"> The case summary was completed by JIU using documentation provided by UNESCO. Further information was added based on an interview and additional documentation. The Board Documents provide good information on two overarching initiatives on learning and development, and knowledge management and IT. However, since the reform is still ongoing, there is limited information available on the change management plans and processes that can be used to draw lessons. Case is considered complete, but may follow-up on any remaining issues in January/February 2019.
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Review Question	Review Sub-Question	Sub-sub Question	Key Findings	Remarks
<i>(Adapted from overall Review Framework)</i>			<i>(After stating findings Indicate source by letter, corresponding to document list below / page number)</i>	<i>(Include list of documents that may be applicable)</i>
REFORM/INITIATIVE OVERVIEW				
1. Details of the organizational reform/initiative (The 'What' question – what the initiative and reasoning behind it was?)	1.1 A brief summary of the reform/initiative.	1.1.1 What is its purpose? What are the objectives?	UNESCO EB (197 EX/Decision 5IV, D) that an “investment for delivery fund” be created to exclusively finance ongoing investments in reform and improving UNESCO’s programme delivery to produce ever increasing efficiency gains and cost optimisation. (B/10) The purposes were to: (A/32) 1) Achieve a better, clearer and more strategic global, regional and country level position and leadership of UNESCO, and 2) Establish operational modalities that are better suited to deliver, both globally, regionally and locally UNESCO’s programmes. The objectives were to: 1) Streamline and realign structures 2) Improve and sharpen resource mobilization 3) Sharpen delivery modalities 4) Realign programming in support of the 2030 agenda 5) Improve operational modalities and work processes 6) Improve project and programme management incl. risk man	
		1.1.2 When did it start? When did it end?	2015- ongoing (D.)	
		1.1.3 What are the key elements/sub-initiatives?	The two categories were: <u>1) learning and development initiatives</u> -Focused on 7 areas: resource mobilization; professional competencies for programme delivery; management and accountability; programme	

Review Question	Review Sub-Question	Sub-sub Question	Key Findings	Remarks
<i>(Adapted from overall Review Framework)</i>			<i>(After stating findings Indicate source by letter, corresponding to document list below / page number)</i>	<i>(Include list of documents that may be applicable)</i>
			<p>delivery at country level; leadership; corporate applications and IT tools; strengthening UNESCO's decentralized evaluation function.</p> <p><u>2)knowledge management and IT initiatives (A/33)</u> -focused on 7 areas: redesign core systems; ensure business continuity and disaster recovery; implement system support for res mobilization; enhance transparency portal; strengthen knowledge sharing and collaboration in the field; improve document and multimedia management.</p> <p><u>3)Other initiatives</u> -Measuring the performance of UNESCO's Fieldwork; Enterprise risk management</p> <p>Under these there are multiple projects in place, at different stages of implementation. The main ones are:</p> <ol style="list-style-type: none"> 1. The Knowledge Management and IT Transformation – introduced in 2015 – formalization of the CM team and its use in the ERP implementation was based on lessons learnt from this initiative. 2. ERP implementation – in its planning stage 3. Knowledge sharing in the field – under implementation 4. Replacement of the digital library (D.) 	
		1.1.4 When and by whom was it approved?	UNESCO Executive Board, at 197 th session (November 2015)	
		1.1.5 Was the reform evaluated? What were the achievements, results, and/or outcomes?	As most projects are not yet completed, no overall evaluation was performed.	
	<p>1.2 What were the underlying factors or drivers behind this reform/initiative?</p> <p>Where distinct or additional to broader drivers of change, what</p>	1.2.1 What were the drivers? The causes of the initiative, generally an overarching, longer-term shift affecting how the organization operates.	<p>Reference to efficiency gains and cost optimisation in EB Decisions 197. Further reference to cost savings (“millions of dollar”) by avoiding extended downtime of operations (A/35)</p> <p>Focus on delivery of SDGs along with other specialized agencies, focused on policy and capacity development support; convening and normative functions; leveraging partnerships and resources to ensure maximum impact.</p>	

Review Question	Review Sub-Question	Sub-sub Question	Key Findings	Remarks
<i>(Adapted from overall Review Framework)</i>			<i>(After stating findings Indicate source by letter, corresponding to document list below / page number)</i>	<i>(Include list of documents that may be applicable)</i>
	specific events or triggers signalled the start? Each of these will affect the approach, speed, scope, resources and adoption of change management. They can be both expected or unexpected.	1.2.2 Was there a specific event that acted as a trigger to get it started? It may be internal or external. These might include funding depletion, reputational (fraud, mismanagement) or other.	<p>Growing financial challenge since 2011 when the US stopped paying its membership dues (22% of total core budget) due to General Conference of UNESCO admitting Palestine as a Member State.</p> <p>Budget cuts year on year (confirm). US total debt levels to UNESCO \$470mn. Japan also in arrears. (C/1)</p> <p>This perhaps pushed the need for process simplification and improved KM & ICT solutions, but there are different reasons for the proposed</p>	
PLAN OF CHANGE MANAGEMENT PROCESS				
2. Which change management approaches have been used in the <u>design</u> of the above reform or initiative? (The 'How' question on design – what did they set out to do?)	2.1 Describe the design or plan for change management in the initiative?	2.1.1 What were the specific objectives of change management within the design of the initiative?	<p>1) Learning and Development Initiatives: objective is to ensure the UNESCO workforce has the necessary skills, knowledge and competency base to effectively deliver the SDGs.</p> <p>2) Knowledge Management and Information Technologies: objective is to improve the systems and how people do business at UNESCO</p> <p>3) Member States to improve efficiencies and thereby reducing costs in order to achieve this and the other objectives there is a significant impact on the way people work.</p> <p>4) Significant shift in the way people work again in learning to use a new application and a more transparent approach.</p>	
		2.1.2 Did the approach to change management draw from established practices (Kotter, McKinsey, PWC, UNLOCK etc) or not? If so, how?	There is a different methodology used in each of the projects as we work with different vendors and we use their approach.	

Review Question	Review Sub-Question	Sub-sub Question	Key Findings	Remarks
<i>(Adapted from overall Review Framework)</i>			<i>(After stating findings Indicate source by letter, corresponding to document list below / page number)</i>	<i>(Include list of documents that may be applicable)</i>
		2.1.3 Was a specific plan prepared outlining the change management process(es)? Who prepared this plan – done internally or by an outside company? If external, please state who?	Stakeholder Engagement Strategy; Communication Strategy and High Level Plan; Training Strategy and High Level Plan – these documents are work in progress.	
	2.2 How did the triggers of the organizational reform or management initiative influence the change management approach?	2.2.1 What effect, if any, did the drivers or triggers of the reform have on the objectives and plan for change management?	There is no overall change management plan defined at the level of the overall organizational reform (project portfolio level), but at project level depending on the impact of the projects.	
IMPLEMENTATION OF CHANGE MANAGEMENT PROCESS				
3. How have the change management approaches been adopted/ adapted and implemented? (The 'How' question on implementation)	3.1 What was the scope – breadth and depth of the change process?	3.1.1 Was it system-wide, organization, department etc.	Organization-wide	
	3.2 How was the change management process led?	3.2.1 Who led the change management process? Who was the owner/sponsor of the change? What is their position in relation to management?	<ul style="list-style-type: none"> - The DDG is the sponsor of the change. - The Programme Management Committee is the Steering Committee of the overall change programme. - All ADGs and Senior Managers of the Organization are members of the PMC. 	
		3.2.2 Were consultants involved in implementation? If so, in what role?	Different consultants for different projects, but not at the overall level.	
		3.2.3 What was the size of the team? Where was the CM team located?	There are different teams of different sizes, but overall more than 100 staff members have been involved at one point. The teams are mainly located in Paris, but with active participation from Field Office members.	
		3.2.4 Is there an institutionalized function for change management in the	Not for the ongoing reform initiatives, however with the arrival of the new DG, a new approach was defined and a change management group has been set up led by the DDG. This started in spring 2018.	

Review Question	Review Sub-Question	Sub-sub Question	Key Findings	Remarks
<i>(Adapted from overall Review Framework)</i>			<i>(After stating findings Indicate source by letter, corresponding to document list below / page number)</i>	<i>(Include list of documents that may be applicable)</i>
		organization or was the function time-bound for this specific initiative? <u>If yes, please include information in question 7 as well.</u>		
		3.2.5 What mechanisms were put in place to oversee the change management process? Did it include the head of organization, the governing body, just senior managers, or other? What role was played by each?	As indicated the DDG is the overall sponsor in the ongoing and new reform efforts. The programmes were approved by the Governing Bodies of the organization and they are provided with progress reports twice a year.	
	3.3 How was the change management process structured?	3.3.1 Did the process have a definitive start and end?	November 2015 approved by the Executive Board.	
		3.3.2 How long did it last?	Still ongoing for multiple projects	
	3.4 How was it implemented?	3.4.1 Describe the implementation process (refer to the plan in 2.1.3)	The change management is done through workshops, discussions, training on-site and using e-learning modules as well as follow-up through focal points and measuring progress by using a set of KPI. The change management approach is through change agents, training, communication and an e-learning module.	
		3.4.2 What communication mechanisms were used?	[no information available]	
		3.4.3 How was the change initially framed and presented to staff?	[no information available]	
	3.5 How much reflexive learning took place during the process? Was it evaluated during or after?	3.5.1 What learning and adaptive management processes were put in place during or after the CM process? (please specify when put in place in relation to the process)	[no information available]	

Review Question	Review Sub-Question	Sub-sub Question	Key Findings	Remarks
(Adapted from overall Review Framework)			(After stating findings Indicate source by letter, corresponding to document list below / page number)	(Include list of documents that may be applicable)
4. What have been the resource implications of change management?	4.1 How was the CM budgeted?	4.1.1 What was the source of financing- core resources/XB. Implications.	A specific fund was defined that included funds that were raised as part of an Emergency Fund that was created after the USA stopped paying their assessed contributions.	
	4.2 What were the major cost elements and actual costs (where available)?	4.2.1 What were the cost elements – financial, human (non-financial), etc? (Actual cost breakdown if possible to estimate)	The budgets are part of the EXB document that will be shared with you. For the IT projects, it is mainly contracted services including licenses and in some cases temporary staff was hired. There is very limited procurement of assets.	
RESULTS OF CHANGE MANAGEMENT PROCESS				
5. What are the results and critical success factors of the change process or approach?	5.1 What were the results of the change process?	5.1.1 What were the <u>short-term</u> outputs? How were they assessed?		
		5.1.2 What were the <u>intermediate or long</u> outcomes? How were they assessed? Did they bring about the desired transformation?	The results framework can be shared.	
	5.2 How did the process affect the results?	5.2.1 How did the change management results contributed to the reform results or outcomes and in what way?	On-going process	
LESSONS FROM CHANGE MANAGEMENT PROCESS				
6. What lessons can be derived to guide future change management initiatives?	6.1 What are considered critical factors +/-	6.1.1 What do those involved, and those affected considered critical factors in success/ failure of the change management process? Are these distinguishable from the reforms behind the change etc.	As this is an ongoing process, there is not evaluation available at this time. Lessons learnt from the implementation of the Knowledge management and IT transformation project 1. Emphasis was required on learning and development 2. CM team is required – engaging people is important and takes more time 3. Different projects need different CM approaches (D.)	

Review Question	Review Sub-Question	Sub-sub Question	Key Findings	Remarks
<i>(Adapted from overall Review Framework)</i>			<i>(After stating findings Indicate source by letter, corresponding to document list below / page number)</i>	<i>(Include list of documents that may be applicable)</i>
	6.2 What positive features identified are transferable or scalable, which are not and why?	6.2.1 What features seem to be key to a successful CM process?	On-going process	
		6.2.2 How unique are these to the context in which they were implemented?	On-going process	
		6.2.3 What generalizable lessons can be identified?	On-going process	
	6.3 What has the organization learnt from this process?	6.3.1 Would the organization run the process the same way again, or do things differently? If so, how?	On-going process	

Change Management Functions in the Organization

Review Question	Review Sub-Question	Additional Description	Key Findings	Gaps and Questions
7. To what extent have change management functions been institutionalized?	7.1 Does the Participating Organization (PO) have a Change Management function – formalized or otherwise?	7.1.1 Is there a team – time-bound or fixed – working on CM across multiple initiatives (i.e. beyond a single time-bound change process)?	No, but for the new Strategic Transformation launched in spring 2018 a dedicated CM team has been set up for 2 years	
	7.2 What are its objectives?	7.2.1 How was it established? When? What is its purpose? How sustainable is it?	Established as part of the DG's Strategic Transformation A document on this initiative can be shared.	
	7.3 How is it structured, staffed and funded?	7.3.1 How many staff, and at what grades? Who does it report to? How is it funded and to what levels?	4 staff members: P5, P4, P3 and G5 The P5 reports to the DDG. It is funded after approval by the EXB from funds remaining from a contingency plan	

Document Key

Document	Document Title	Document Source
A.	UNESCO Executive Board, Hundred and Ninety Nine Session (199 Ex/Decisions), March 2016	UNESCO
B.	UNESCO Executive Board, Hundred and Ninety Seventh Session (197 Ex/Decisions), October 2015	JIU identified
C.	Hufner, K, The Financial Crisis of UNESCO after 2011: Political Reactions and Organizational Consequences, Global Policy, Volume 8, Issue S5, August 2017	JIU Identified
D.	Interview notes	JIU
E.	UNESCO Executive Board, Two Hundred and Fifth Session (205 Ex/5), August 2018	UNESCO
F.	UNESCO Executive Board, Two Hundred and Fifth Session (205 Ex/5), October 2018	UNESCO
G.	Stakeholder Engagement Strategy 2018	UNESCO
H.	Communication Strategy 2018	UNESCO
I.	Training Strategy 2018	UNESCO

44. UNIDO – Programme for Change and Organizational Renewal

Overall comments to UNIDO	<ul style="list-style-type: none"> • Very comprehensive and structured change management process evident from the documents and correspondence provided vis-à-vis 'Programme for change and organisational renewal. • If there is a gap it appears to be around the institutionalisation and measurement of expected behavioural change results. The results framework and KPIs pertain to proxies around leadership, implementation of audit & evaluation recommendations etc, not actual measures of changes in behaviour and practice. • Case is considered complete, but may follow-up on behavioural aspects of the reform in January / February 2019 with respect to the chapter of our study on behavioural factors/insights.
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Review Question	Review Sub-Question	Sub-sub Question	Key Findings	Remarks
<i>(Adapted from overall Review Framework)</i>			<i>(After stating findings Indicate source by letter, corresponding to document list below)</i>	<i>(Include list of documents that may be applicable)</i>
REFORM/INITIATIVE OVERVIEW				
1. Details of the organizational reform/initiative (The 'What' question – what the initiative and reasoning behind it was?)	1.1 A brief summary of the reform/initiative	1.1.1 What is its purpose? What are the objectives?	<p>The purpose is to reinforce the UNIDO role as <i>a partner for prosperity, enhance efficiency, effectiveness, responsiveness, and coherence.</i></p> <p><i>It seeks to refine and make operational the organization's mission with a focus on Growth with Quality' and 'Delivering as One UNIDO; Programme is expected to enable UNIDO to better deliver to recipients' needs, better meet donors' and Member States' expectations, and promote an efficient and pro-active working environment.</i></p> <p>This is being achieved through, inter alia, the re-engineering of UNIDO business processes. the implementation of an enterprise resource planning (ERP) system (SAP), staff development and improvements in the working culture.</p> <p>It seeks to change internal operations for effective and high quality delivery as one UNIOD and as a key partner for prosperity, to realign its organizational culture and empowerment of its people to achieve objectives, to enhance <i>coherence with other UN system organizations and other partners.</i></p> <p>Ref: IBD July 2010</p>	

Review Question	Review Sub-Question	Sub-sub Question	Key Findings	Remarks
<i>(Adapted from overall Review Framework)</i>			<i>(After stating findings Indicate source by letter, corresponding to document list below)</i>	<i>(Include list of documents that may be applicable)</i>
			<p>PCOR makes fundamental adjustments to the way the Organization operates in order to further increase its efficiency and effectiveness as well as to institutionalize results-based management (RBM), risk, and knowledge management. (Ref: Report of DG May 3, 2012)</p> <p>Ref: PCOR Guide April 2012) Ref: PCOR Benefits, KPIs</p> <p>Growth: to implement a fast growing portfolio of programmes/projects within the prevailing constraints of regular budgets Quality: to increase country coverage and improve the quality of programme/project implementation Compliance: to better comply with strict donor requirements, such as the GEF fiduciary standards and the “four pillars” required by the European Union Monitoring: to better monitor programme/project-results Results: to institutionalize results-based management (RBM), knowledge management and risk management Decentralization: to improve the linkages and connectivity between Headquarters and field offices to allow optimum utilization of field resources and real-time transmission of and access to relevant information Culture: to create a proactive working culture Harmonization: to contribute effectively to the ongoing process of harmonization of business practices as part of the UN system-wide coherence agenda Ref: PCOR Guide</p>	
		1.1.2 When did it start? When did it end?	<p>2010-2013</p> <p>PCOR and BPR benefits aimed to achieve the vision and MTPF e.g. institutionalize RBM reporting for RB and TC, Risk Management etc</p>	

Review Question	Review Sub-Question	Sub-sub Question	Key Findings	Remarks
<i>(Adapted from overall Review Framework)</i>			<i>(After stating findings Indicate source by letter, corresponding to document list below)</i>	<i>(Include list of documents that may be applicable)</i>
		1.1.3 What are the key elements/sub-initiatives?	<p>Key pillars for reform were in:</p> <ul style="list-style-type: none"> • RBM • Risk management • Knowledge sharing. <p>The means for implementation or to support implementation included the following components: <i>From UNIDO: PCOR was the vehicle for RBM, Risk management, Quality and ERP</i></p> <ul style="list-style-type: none"> • People and Culture: vision, culture survey, communication strategy, KM report, 360 Performance mgt pilot, continuous alignment with operations improvements and ERP • Operational improvements: Business concept, Business process re-engineering, quick win • ERP Implementation: Software requirements: software and implementation partners selection: Data integration and software implementation in the following: Release I , Release 2, Release 3, Release 4. <p>Ref: PCOR Implementation timeline Ref: Guide</p>	
		1.1.4 When and by whom was the reform it approved?	<p>Approved by General Conference (GC) in 2009 based on an independent feasibility study conducted by Deloitte of the comprehensive change management initiative proposed by the Secretariat.</p> <p>The approval of the ongoing changes and development were made by Industrial Development Board (with support of the Programme and Budget Committee) based on reports by the Director General.</p> <p>The PBC is the first reviewer of budgetary recommendations to IDB. They needed to endorse the budget for PCOR.</p> <p>Member States Liaison Group from each region were fully consulted on PCOR:</p>	

Review Question	Review Sub-Question	Sub-sub Question	Key Findings	Remarks
<i>(Adapted from overall Review Framework)</i>			<i>(After stating findings Indicate source by letter, corresponding to document list below)</i>	<i>(Include list of documents that may be applicable)</i>
			Ref: PCOR Documents to Governing Bodies, showing the various documents submitted to each Governing Bodies.	
		<p>1.1.5 Was the reform evaluated?</p> <p>What were the achievements, results, and/or outcomes?</p>	<p>There were several reviews, assessments, and surveys conducted and many reports of the DG on the implementation of the report.</p> <p>There was no comprehensive evaluation serving as the basis for organizational reports.</p> <p>The assessments included:</p> <ul style="list-style-type: none"> • Report of DG May 2030 provides report on progress in implementation. • Independent assessment of ERP/SAP implemented conducted by a German company 2011, 2012, 2013. It reported that implementation is on track: High level staff commitment and involvement; no risks identified. • (Report of DG 2013) ERP user satisfaction and identify areas for improvements in system implementation and business processes. Also ERP impact and benefits achieved from PCOR (2014). (Ref: DG report on Efficiency Gains) <p>The expected benefits of the reform – expected in 2014 after full operation, included the following:</p> <ul style="list-style-type: none"> • Empowerment of field staff and decentralisation of responsibilities; • Institutionalization of RBM enabling UNIDO to report on results; • Systematic management of risks; • Increased transparency by enabling stakeholders to have full overview of country portfolios, funding status, projects in the pipeline; • Better communication and knowledge sharing among all stakeholders; • Fostering team work and enabling the organization to Deliver as One UNIDO; 	

Review Question	Review Sub-Question	Sub-sub Question	Key Findings	Remarks
<i>(Adapted from overall Review Framework)</i>			<i>(After stating findings Indicate source by letter, corresponding to document list below)</i>	<i>(Include list of documents that may be applicable)</i>
			<ul style="list-style-type: none"> Streamline operations via process changes in many areas (...) to bring efficiency gains, empower managers, foster accountability and result in new roles and responsibilities. <p>See also PCOR Benefits and KPI December 2013</p> <p>Ref: IDB.40/5 dated 3 May 2012, titled PCOR – Report of the DG.</p> <p>Ref: IDB.41/9 dated 11 March 2013, titled PCOR – Report of the DG.</p> <p>Ref: IDB.42/8 dated 14 October 2014, titled Efficiency gains achieved through the implementation of PCOR.</p> <p>Ref: ERP survey plus ERP KPIs</p> <p>Ref: Annual Reports show that TC delivery capacity increased – ie. clearly demonstrates that UNIDO implemented more with less regular budget resources</p>	
	<p>1.2 What were the underlying factors or drivers behind this reform/initiative ?</p> <p>Where distinct or additional to broader drivers of change, what specific events or triggers signalled the start? Each of these will affect the approach, speed, scope, resources and</p>	<p>1.2.1 What were the drivers? The causes of the initiative, generally an overarching, longer-term shift affecting how the organization operates.</p>	<p>See GC 13/8/Add 1 7-11ecember 2009</p> <p>UNIDO needed to bring extensive changes to its businesses processes and systems if it is to maintain the effectiveness of its contribution to supporting the aspirations of its Member States to achieve the Millennium Development Goals.</p> <p>See GC.13/8/Add.1</p> <p>(a) The need to implement a fast-growing portfolio of funded and fundable projects based on country demand;</p> <p>(b) The need to comply with strict donor requirements, such as the GEF fiduciary standards and the "four pillars" required by the European Union;</p> <p>(c) The need to have systems in place allowing the monitoring of results and resources spent on achieving those results (results-based management and budgeting);</p> <p>(d) The need for better connectivity and linkages between Headquarters and field offices to allow real-time transmission of, and access to, relevant information flows; and</p>	

Review Question	Review Sub-Question	Sub-sub Question	Key Findings	Remarks
<i>(Adapted from overall Review Framework)</i>			<i>(After stating findings Indicate source by letter, corresponding to document list below)</i>	<i>(Include list of documents that may be applicable)</i>
	adoption of change management. They can be both expected or unexpected.		<p>(e) The need to contribute effectively to the ongoing process of harmonization of business practices as part of the United Nations system-wide coherence agenda.</p> <p>Number of external and internal drivers</p> <ul style="list-style-type: none"> • Ongoing independent change initiatives needed to be addressed holistically • Nov 2008: launch of Change Management initiative • Apr-June 2009: Informal consultations with Member States (Documents for Policymaking Organs) • Sept-Nov 2009: Feasibility Study carried out by Deloitte • Dec 2009: MS approved funding at the General Conference • Jan 2010: Definition of scope at the BoD Retreat 2010 • End Jan 2010: Launch of the Programme for Change and Organizational Renewal (PCOR) <p>Ref: PCOR briefing to newcomers</p>	
		1.2.2 Was there a specific event that acted as a trigger to get it started? It may be internal or external. These might include funding depletion, reputational (fraud, mismanagement) or other.	<p>The decline in the budget. Ref: Report on Efficiency Gains</p> <p>The DG wanted to reform the organization and established CM working group prior to PCOR to assess the need for reform and the various factors such as IPSAS, EU pillar assessment, linkages with One UN reforms, outdated IT systems and processes etc... The first step was to commission Deloitte to trigger discussions.</p> <p>Ref: Hierarchy of events including financial triggers that required UNIDO</p> <p>Pressure from member states to increase operational efficiency (V. Slater)</p>	

Review Question	Review Sub-Question	Sub-sub Question	Key Findings	Remarks
<i>(Adapted from overall Review Framework)</i>			<i>(After stating findings Indicate source by letter, corresponding to document list below)</i>	<i>(Include list of documents that may be applicable)</i>
PLAN OF CHANGE MANAGEMENT PROCESS				
2. Which change management approaches have been used in the <u>design</u> of the above reform or initiative? (The 'How' question on design – what did they set out to do?)	2.1 Describe the design or plan for change management in the initiative?	2.1.1 What were the specific objectives of change management within the design of the initiative? <i>Examples of specific objectives include:</i> <i>Behaviour change to facilitate fuller adoption of new technology (e.g. UMOJA);</i> <i>Empowerment of all staff to increase adoption of new policy;</i> <i>Improve communication of new roles and responsibilities</i> <i>Enhance openness and transparency as part of an effort to increase accountability culture in an organization</i>	<p>The Change management was a holistic process following ICOR principles recommended following senior management leadership training in Harvard. Ref: attached document titled Harvard Report-Final. This lays out the principles and measures for change management.</p> <p>Joint assessment of work carried out during the blueprint phase (UNIDO and SAP team) – identified key success factors for change:</p> <ul style="list-style-type: none"> ➤ Motivation and high commitment from all actors involved; ➤ willingness to achieve results; ➤ good collaboration between UNIDO and SAP team; ➤ proactive team members looking into innovative solutions; ➤ high dedication to meet deadlines and support from senior management and Member States throughout the process. <p>Ref: IDP 23 June 2011</p> <p>The change management initiative sought to:</p> <ul style="list-style-type: none"> ➤ enhance internal ownership; ➤ Enhance team work through a highly participatory approach; ➤ increasing staff motivation to contribute to the programme to and keep costs as low as possible <p>Ref: SAP_ERP User Satisfaction Survey Summary of Results dated 5 August 2014</p>	.
		2.1.2 Did the approach to change management draw from established practices (Kotter, McKinsey, PWC, UNLOCK etc) or not? If so, how?	<p>Reference to <i>leading change and organizational model</i> (IDB 11 March 2013)</p> <p>Developed by Senior managers who attended Harvard Executive Business School. Ref: PCOR Guide pages 4 and 5. Ref: Harvard Report-Final</p> <p>SAP Deloitte (V.Slater)</p>	

Review Question	Review Sub-Question	Sub-sub Question	Key Findings	Remarks
<i>(Adapted from overall Review Framework)</i>			<i>(After stating findings Indicate source by letter, corresponding to document list below)</i>	<i>(Include list of documents that may be applicable)</i>
		<p>2.1.3 Was a specific plan prepared outlining the change management process(es)?</p> <p><i>Examples of elements of plan:</i></p> <p><i>change readiness assessment:</i></p> <p><i>definition of type and scope of change:</i></p> <p><i>Approach to engaging with staff and stakeholders:</i></p> <p><i>Institutional framework (governance, management, change management team, etc):</i></p> <p><i>Defined role of leadership:</i></p> <p><i>Process plan (training, engagement etc):</i></p> <p><i>Reflexive learning plan (monitoring and internal evaluation.</i></p> <p>Who prepared this plan – done internally or by an outside company? If external, please state who?</p>	<p>There was a plan that was based on:</p> <ul style="list-style-type: none"> ▪ Assessment of factors that would enhance success of the change process (see above) ▪ Use of a highly participatory approach led by a central office. ▪ To benefit from in house knowledge during the phases and to facilitate communication of the upcoming changes used staff serving as: functional leads; change agents; subject matter experts <p>Ref: PCOR Implementation Timeline. Plan prepared by Deloitte and OCOR in consultation with DG, CCOR members, and Member States</p> <p>Implementation Plan: The component on People and Culture has the following planned components:</p> <ul style="list-style-type: none"> ➤ Vision, ➤ Culture Survey, ➤ Communication strategy, ➤ KM Report, ➤ 360 Performance management pilot, ➤ Continuous alignment with operational improvements and ERP implementation. <p>These are quite well described.</p> <p>Other planning documents included the:</p> <p>PCOR Guide The Governance Structure The Implementation Time line</p>	
	2.2 How did the triggers of the organizational reform or management initiative	2.2.1 What effect, if any, did the drivers or triggers of the reform have on the objectives and plan for change management?	All efforts made to align to the PCOR Benefits e.g. BPR exercise then ERP.	

Review Question	Review Sub-Question	Sub-sub Question	Key Findings	Remarks
<i>(Adapted from overall Review Framework)</i>			<i>(After stating findings Indicate source by letter, corresponding to document list below)</i>	<i>(Include list of documents that may be applicable)</i>
	influence the change management approach?			
IMPLEMENTATION OF CHANGE MANAGEMENT PROCESS				
3. How have the change management approaches been adopted/ adapted and implemented? (The 'How' question on implementation)	3.1 What was the scope – breadth and depth of the change process?	3.1.1 Was it system-wide, organization, department etc.	<p>The PCOR is described as having an organization wide holistic approach covering all aspects of change: vision, leadership, business processes and ERP system; organizational structure; staff competencies, and organizational culture, institutionalization of RBM, risk management, and knowledge management, It also include coherence or harmonization with UN system organizations.</p> <p>Ref: Many documents and also see PCOR Guide</p>	
	3.2 How was the change management process led?	3.2.1 Who led the change management process? Who was the owner/sponsor of the change? What is their position in relation to management?	<p>CM was led by Director General through the Office for Change and Organizational Renewal.</p> <p>The initial structure for management included:</p> <ul style="list-style-type: none"> ▪ Committee for Change and Organizational Renewal (CCOR) ▪ Office for Change and Organizational Renewal (OCOR), the Task Force for Organizational ▪ Efficiency and Effectiveness (TF-OEE), ▪ the Task Force for Management and Working Culture (TFMWC), ▪ and/or through such activities as the BPR workshops, the Quick Wins realization, and <p>the evaluation and negotiations for the ERP selection</p> <p>2011: In order to meet the challenges during the next phases of the PCOR and ensure a smooth implementation of the new ERP system while addressing issues relating to staff development and organizational culture, the PCOR governance structure was refined.</p>	

Review Question	Review Sub-Question	Sub-sub Question	Key Findings	Remarks
<i>(Adapted from overall Review Framework)</i>			<i>(After stating findings Indicate source by letter, corresponding to document list below)</i>	<i>(Include list of documents that may be applicable)</i>
			<p>The two Task Forces (TF-OEE and TF-MWC) have completed their mandates and will therefore be dissolved with immediate effect.</p> <p>The refined structure from 2011 consisted of the following entities:</p> <ul style="list-style-type: none"> <input type="checkbox"/> Committee for Change and Organizational Renewal (CCOR), including a Project Board <input type="checkbox"/> Office for Change and Organizational Renewal (OCOR) <input type="checkbox"/> Functional Leads for each ERP release (Core Business/TC Activities; HRM and Payroll; Finance, Procurement and Logistics; Knowledge Management and Collaboration) <input type="checkbox"/> Change Agents for each ERP release supported by subject matter experts <input type="checkbox"/> Culture Operational Group <p>Culture Operational Group will ensure that all staff are well prepared for this major change undertaking and are able to make full use of the new processes and the ERP system</p> <p>(ref: PCOR Governance Structure – see for details on roles)</p> <p>Ref: IOM dated 16 Dec 2010 announcing the TOR for Governance Structure.</p>	
		3.2.2 Were consultants involved in implementation? If so, in what role?	<ul style="list-style-type: none"> ▪ DELIOTE FOR FEASIBILITY STUDY ▪ HARVARD FOR LCOR MODEL ▪ CRANFEILD FOR BPR ▪ SAP FOR ERP IMPLEMENTATION <p>Also reported on a lot of benchmarking with other UN system organizations and an invitation by Secretariat for presentation</p>	

Review Question	Review Sub-Question	Sub-sub Question	Key Findings	Remarks
<i>(Adapted from overall Review Framework)</i>			<i>(After stating findings Indicate source by letter, corresponding to document list below)</i>	<i>(Include list of documents that may be applicable)</i>
		3.2.3 What was the size of the team? Where was the CM team located?	<p>The change management team was made up of the “core group” meaning a handful of people, selected to advise the DG on change management. It began with an informal group to provide advice</p> <p>The Office for Change and Organizational Renewal had 6 people: 1 D2; 1 P5; 1 L5; 1P4 ; 1L2 ; 1GS</p> <p>There were 34 Change agents in total</p>	
		3.2.4 Is there an institutionalized function for change management in the organization or was the function time-bound for this specific initiative? <u>If yes, please include information in question 7 as well.</u>	<p>It was time bound for this project. The Office for Change and Organizational</p> <p>Key elements in management of the change process included the following which relate to governance and management of the change:</p> <ul style="list-style-type: none"> ➤ Committee for Change and organizational renewal ➤ The Office for Change and Organizational Renewal was established as part of PCOR after 2011. It was closed in December 2013. ➤ Task Force on management and Working culture ➤ Change Agents (staff working a functional lead, change agents and subject matter experts) ➤ Culture Operational group (COG) established in 2011 ➤ Communication ➤ PCOR Liaison Group of Member states <p>On culture, the culture change framework and 6 pillars as guiding principles for a desired culture defined in late 2011 are expected to continue to guide the organization. (IDB 2013)</p>	
		3.2.5 What mechanisms were put in place to oversee the change management process? Did it include the head of organization, the governing body, just senior	<p>Member states were involved in all stages of the reform as part of the change process.</p> <p>Constant communication and DG reports on the change effort including on CM components.</p> <p>Also special website established for member States.</p>	

Review Question	Review Sub-Question	Sub-sub Question	Key Findings	Remarks
<i>(Adapted from overall Review Framework)</i>			<i>(After stating findings Indicate source by letter, corresponding to document list below)</i>	<i>(Include list of documents that may be applicable)</i>
		managers, or other? What role was played by each?	Ref IOM on TOR for governance structure with details on roles and responsibilities. Ref: Multiple Reports of the DG to member states	
	3.3 How was the change management process structured?	3.3.1 Did the process have a definitive start and end?	Yes Ref: implementation timeline Jan 2010 – December 2013	
		3.3.2 How long did it last?	3 years	
	3.4 How was it implemented?	3.4.1 Describe the implementation process (refer to the plan in 2.1.3)	<p>For the plan to be defined under 2.1.3, what was the level of implementation? What was the process of implementation? The process of implementation has the following elements.</p> <p><u>Level of Head of Organization and Member States</u></p> <ul style="list-style-type: none"> ▪ Reports of the Director General to the General Council and to the Industrial Board ▪ PCOR liaison group of member states established in consultation with regional groups (After 2011) <p><u>Senior management Level</u></p> <ul style="list-style-type: none"> ▪ Office for Change and Organizational Renewal (dates) <p><u>Staff Level</u></p> <ul style="list-style-type: none"> ▪ Change Agents working with functional and expert agents. <p>There were 34 change agents with defined task:</p> <ul style="list-style-type: none"> ➤ Work with SAP consultants on various releases ➤ Obtain feedback and commitment from their functional areas and the braider user community ➤ Facilitate communications and passing on knowledge ➤ Training users on the new system, processes and procedures <ul style="list-style-type: none"> ▪ Task Force on management and working culture 2010 ▪ Culture Operational Group (COG) established in 2011 ➤ Focuses on staff development and cultural organization change 	

Review Question	Review Sub-Question	Sub-sub Question	Key Findings	Remarks
<i>(Adapted from overall Review Framework)</i>			<i>(After stating findings Indicate source by letter, corresponding to document list below)</i>	<i>(Include list of documents that may be applicable)</i>
			<ul style="list-style-type: none"> ➤ Culture change framework defined in later 2011 has six pillars of UNIDO's desired culture serving as guiding principles ➤ Seeks to ensure UNIDO staff work in a proactive culture within an efficiency system (as spelled out in the PCOR benefits) ➤ Training Plan for all staff on SAP and new roles and responsibilities and improved teamwork, collaboration and knowledge sharing <p>Ref: PCOR governance structure which has details on roles and responsibilities</p>	
		3.4.2 What communication mechanisms were used?	<ul style="list-style-type: none"> ➤ Internal system established: All concerns organizational units briefed and updated and feedback used throughout development process ➤ Communication with Member States and stakeholders via information and progress reports and continuous exchange (IDB 2011) <p>Ref page 16 of PCOR Guide - Communication strategy</p>	
		3.4.3 How was the change initially framed and presented to staff?		

Review Question	Review Sub-Question	Sub-sub Question	Key Findings	Remarks
<i>(Adapted from overall Review Framework)</i>			<i>(After stating findings Indicate source by letter, corresponding to document list below)</i>	<i>(Include list of documents that may be applicable)</i>
			<p>PCOR Background docs</p> <hr/> <div> <p>Contents [hide]</p> <ul style="list-style-type: none"> 1 Town Hall Meeting, 1 October 2012 2 Town Hall Meeting, 19 March 2012 3 Board of Directors Retreat 2012 4 Briefing to all staff, 31 January 2011 5 Senior Management Retreat on PCOR, 30 October 2010 6 Joint PCOR Meeting (Fitness Club, Culture Club and CCOR), 23 August 2010 7 PCOR Briefing to new staff members, June 2010 8 Town Hall Meeting, 21 June 2010 9 Executive Training on Leading Change and Organizational Renewal at Harvard, 2 10 Board of Directors Retreat 2010 11 Feasibility Report by Deloitte </div> <p>Reference: Hierarch of events</p> <p>Also: Briefings to New Comers</p> <p>Ref: Briefings to New Comers</p>	
	3.5 How much reflexive learning took place during the process? Was it evaluated during or after?	3.5.1 What learning and adaptive management processes were put in place during or after the CM process? (please specify when put in place in relation to the process)	<p>The reports of the DG to the IDB provide substantial information on progress, changes made, and way forward.</p> <p>There is however no information on the adaptive management of the change process.</p> <p>The following are identified by UNIDO on the review and adaptive process as part of PCOR. The focus is on the systems. I need to go over these again to see specifics to CM></p> <p>SAP assessment study:</p> <p>Outcome of SAP Operations Maturity Assessment report</p> <p>ERP survey report and KPIs</p>	

Review Question	Review Sub-Question	Sub-sub Question	Key Findings	Remarks
<i>(Adapted from overall Review Framework)</i>			<i>(After stating findings Indicate source by letter, corresponding to document list below)</i>	<i>(Include list of documents that may be applicable)</i>
			<p>Who carried out such functions?</p> <p>SAP/OCOR during implementation</p> <p>PSM/BSS after implementation</p> <p>Plus, Internal Audits conducted on certain modules e.g. SRM, PPM, GM etc...</p> <p>Information was used to:</p> <p>To realign the project plan and ensure improvement are implemented and aligned to strategic objections ongoing...</p> <p>DG bulletins issued on Project Formulation Functions.</p> <p>What adaptive management and evaluation model was used, if any?</p> <p>Used the SAP Operations Maturity Assessment report</p> <p>See SAP Operations Maturity Assessment report</p> <p>No internal evaluation carried out by the office</p>	
4. What have been the resource implications of change management?	4.1 How was the CM budgeted?	4.1.1 What was the source of financing- core resources/XB. Implications.	<p>Unutilized balances of appropriations</p> <p>Source: (GC 2009)</p> <p>The funding came mainly from EU exchange gain reserve.</p>	
	4.2 What were the major cost elements and actual costs (where available)?	4.2.1 What were the cost elements – financial, human (non-financial), etc? (Actual cost breakdown if possible to estimate)	<p>Total budget for overall reform 2010-2013 = 13million Euro</p> <p>There is no disaggregated information for the CM components</p> <p>It is noted the success of the reform was associated with the commitment and hard work of staff, role of senior managers and role of member states.</p> <p>An internal detailed budget was prepared - (To find this by UNIDO)</p>	

Review Question	Review Sub-Question	Sub-sub Question	Key Findings	Remarks
<i>(Adapted from overall Review Framework)</i>			<i>(After stating findings Indicate source by letter, corresponding to document list below)</i>	<i>(Include list of documents that may be applicable)</i>
RESULTS OF CHANGE MANAGEMENT PROCESS				
5. What are the results and critical success factors of the change process or approach?	5.1 What were the results of the change process? <i>(Is there evidence of sustainability of these changes? What is the degree to which organization is working differently and people are behaving differently? Degrees of result or proxies around these include cost reduction (staff and non-staff); service levels; reduced risks; behavioural changes; improved collaboration etc.)</i>	5.1.1 What were the <u>short-term</u> outputs or results? How were they assessed? Examples of outputs (effective implementation of CM processes): Implementation of standards and practices: Staff being able to apply new work practices: Reduced time spent on processes (efficiency measure)	Examples from UNIDO <ul style="list-style-type: none"> • Faster turnaround time due to reductions in no of approvers based on 4 eyes principle adopted in SAP workflows. ▪ Faster turn-around time in hiring consultants due to decentralised approach. ▪ Greater accountability for results due to recording of KPIs in the system for Project Approvals. ▪ Centralised reporting – 1 version of the truth. ▪ Seamless and paperless workflows from Employees, Managers, HRM to Payroll. ▪ SPM process better placed to differentiate performances and with linkages to HR processes, allows for reward and recognition as well as a process for under-performers. ▪ Better monitoring of travels and costs. ▪ Transparency Initiatives– Dashboard for Member States 	
		5.1.2 What were the <u>intermediate or long</u> outcomes? How were they assessed? Did they bring about the desired transformation? (linked back to objectives in 2.1.1) Examples of specifically change management outcomes (changes in practice and behaviour): Defined improvements in accountability as a consequence of redefined	<ul style="list-style-type: none"> - PCOR was a catalyst for mainstreaming actions -Perhaps an impact evaluation is required to gather results of direct and incremental changes in all parts of the house? <p>PCOR may not be remembered as a name/fixture, but its impact as a catalyst is perpetuated in respective areas of the organization.</p>	

Review Question	Review Sub-Question	Sub-sub Question	Key Findings	Remarks
<i>(Adapted from overall Review Framework)</i>			<i>(After stating findings Indicate source by letter, corresponding to document list below)</i>	<i>(Include list of documents that may be applicable)</i>
		and communicated roles and responsibilities: Staff satisfaction levels: Client satisfaction levels:		
	5.2 How did the process affect the results?	5.2.1 How did the change management results contributed to the reform results or outcomes and in what way? What is the value-add of the change management structured plan and process, where used?	PCOR was a critical ingredient for process improvements, policy developments, organizational structural changes etc - ie An essential catalyst.	
LESSONS FROM CHANGE MANAGEMENT PROCESS				
Please provide your assessment and opinion in response to the following questions in this section and also provide any pertinent documents?				
6. What lessons can be derived to guide future change management initiatives?	6.1 What are considered critical factors +/-	6.1.1 What do those involved, and those affected considered a) The key factors of success b) factors that led to failure and the challenges and constraints to the change management process>	Results achieved on reform could only be achieved through: <ul style="list-style-type: none"> ➤ development of a clear vision and strategy; ➤ the holistic management of all changes under one umbrella (Office for Change and Organizational Renewal – recommended by the leading change and organizational renewal model LCOR; ➤ the continuous involvement of all stakeholders, ➤ the dedication shown and hard work put in by staff ➤ as well as the visible support and engagement from the Director General, senior management, and Member States Ref attached document titled SWOT-Future of UNIDO” (by Informal working group on the Future. For Culture Change: -A culture diagnostic survey leading to the development of a strategy and plan was developed and survey was conducted.	

Review Question	Review Sub-Question	Sub-sub Question	Key Findings	Remarks
<i>(Adapted from overall Review Framework)</i>			<i>(After stating findings Indicate source by letter, corresponding to document list below)</i>	<i>(Include list of documents that may be applicable)</i>
			<p>The results of the survey was used to finalise the behavioural indicators for the Managerial Competencies; its inclusion in the 360 feedback for the SPM module and also influenced the design of Leadership/Management Programme.</p> <p>Reported: IDB 2013</p> <p>With the limited resources of the Organization, internal resources were key to the change.</p> <p>Their institutional memory/expertise, personal commitment to the Organization as well as mainstreaming of changes in their areas of work, are instrumental to the success of UNIDO's CM process (UNIDO feedback but for other question)</p>	
	6.2 What positive features identified are transferable or scalable, which are not and why?			
		6.2.1 How unique are these to the context in which they were implemented?	In your view, are these factors unique to UNIDO or organizations like UNIDO>	
		6.2.3 What generalizable lessons can be identified?		
	6.3 What has the organization learnt from this process?	6.3.1 Would the organization run the process the same way again, or do things differently? If so, how?	<p>Top down approach</p> <p>Engagement at top level</p> <p>Clear holistic change management model to follow</p> <p>Switch in leadership, guiding principles and structure may not be aligned.</p> <p>Do not hire different management consultants (v. Slater)</p>	

Change Management Functions in the Organization

If information on organizational level change management initiatives is found while reading through documents, please note details/findings below

Review Question	Review Sub-Question	Additional Description	Key Findings	Gaps and Questions
7. To what extent have change management functions been institutionalized?	7.1 Does the Participating Organization (PO) have a Change Management function – formalized or otherwise?	7.1.1 Is there a team – time-bound or fixed – working on CM across multiple initiatives (i.e. beyond a single time-bound change process)?	Like a catalyst, it fades into the background once its purpose is served. Its outcomes are however, mainstreamed into the responsibilities of organizational units. PSM/BSS was established – ref TOR This took care of the major part of the investment in ERP. POCOR was also a temporary structure to coordinate the very specific actions within strict timelines. Unlike in other institutions where large Project Teams were specifically appointed to Change Management Offices which became permanent fixtures, UNIDO drew on its current staff to serve as Functional Leads, Change Agents and Team Members, with the view of achieving the KPIs while also having the same internal resources to mainstream incremental changes in their ongoing areas of responsibilities. Hence major responsibilities for various outcomes of PCOR were mainstreamed into the TOR of organizational units. PCOR became the main catalyst for many initiatives in various organizational units. The absence of clear mention in various documents may be a result of not having one permanent structure for CM.	
	7.2 What are its objectives?	7.2.1 How was it established? When? What is its purpose? How sustainable is it?		
	7.3 How is it structured, staffed and funded?	7.3.1 How many staff, and at what grades? Who does it report to? How is it funded and to what levels?		

Document Key

Document	Document Title
A.	There is an extensive list of documents. I went through many of them. The following were main ones used in completing this case summary. GC.13/8/Add.1 General Conference 13 th Session Vienne December 2009. Report of the Director General Unutilized balance of appropriation and <i>Feasibility Study of a Comprehensive Change Management (CM) Initiative at United National Industrial Development Organization</i>
B.	Series of Reports of the Director General on the Programme of Change and Organizational Renewal between 2010 and 2013 Strengthening UNIDO Programmes through unutilized balances of appropriations
C.	JIU Reports: ERP 2012 Management and Administrative Review of UNIDO 2017
D.	UNIDO Annual Report 2017 The Future of UNIDO - Report of the UNIDO Workshop – 31 st January 2013 (Philip Moran) Independent Strategic Evaluation: Implementation of the Expanded UNIDO Medium-Term Programme Framework 2010-2013. UNIDO Secretariat Proposal: Medium Term Programme Framework 2016-2019
E.	IDB 42/3 PBC 30/3 Report of the External Auditor on the accounts of the UNIDO for the financial year 1 to 31 st 12.2013
G	Key Performance Indicators for PCOR: baseline as of 2009. Targets to be achieved by 2014
H	PCOR Guide
I	PCOR documents to Governing Bodies
J	Efficiency gains achieved through the implementation of the Programme for Change and Organizational Renewal. Report by the Director General 14.10.2014
K	Programme for Change and Organizational Renewal Report by the Director-General 05.3.2012
L	Programme for Change and Organizational Renewal Report by the Director General 11 March 2013
M	Hierarchy of events PCOR background documents
N	Executive Training on Leadership for Change and Organizational Renewal Harvard Business School, 21 – 26.03.2010
O	Survey on “What’s your SAP/ERP experience?” Summary of Results by Business and Systems Support Unit (PSM/BSS) 5.08.2014
P	PCOR Implementation Timeline (with all key components and sub-components)
Q	Subject: Refined Governance Structure for the Programme for Change and Organizational Renewal (PCOR) 16.12.2010
R	Programme Support and General Management Division Business and Systems Support Services (PSM/BSS) and Information and Communication Management Services (PSM/ICM) Director General’s Bulletin 15.01.2014
S	Director Bulletin Board, The programme and project formulation and approval function – Technical Cooperation delivery 30.05.2016
T	Programme for Change and Organizational Renewal (PCOR) Orientation Programme for new staff 22.06.2010
U	Workshop in the context of the informal working group on the future, including programmes and resources, of UNIDO 16.11.2012
V	Interview Notes

45. UNWTO – Collaborator Contractual Scheme

Overall comments	<ul style="list-style-type: none"> The case summary was completed by UNWTO. JIU had very limited additional information to fill gaps and corroborate the information provided. The information and answers provided give a good overview of the scheme. However, there is no specific evidence of change management in terms of an approach or actions to change practice, culture and behaviour to ensure the adoption and sustainability of organizational reforms. (See JIU definition and guide document) Further requests for information to address gaps have not been forthcoming. The case summary is considered complete
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Review Question	Review Sub-Question	Sub-sub Question	Key Findings	Remarks
<i>(Adapted from overall Review Framework)</i>			<i>(After stating findings Indicate source by letter, corresponding to document list below)</i>	<i>(Include list of documents that may be applicable)</i>
REFORM/INITIATIVE OVERVIEW				
1. Details of the organizational reform/initiative (The 'What' question – what the initiative and reasoning behind it was?)	1.1 A brief summary of the reform/initiative.	1.1.1 What is its purpose? What are the objectives?	To implement a mechanism that regulates the conditions of service for persons (“non-staff”) who are not subject to the UNWTO Staff Regulations and Rules, in line with UN common-system practices	
		1.1.2 When did it start? When did it end?	2015 – ongoing (the system is continuously being reviewed for updates to the conditions)	
		1.1.3 What are the key elements/sub-initiatives?	1) Recognize the value of non-staff and ensure fair and equal conditions, considering their role in the work of the Organization 2) Create a competitive package of benefits for non-staff, in view of the increasing work demand of the Organization and its limited resources	
		1.1.4 When and by whom was it approved?	December 2015; UNWTO Secretary-General	
		1.1.5 Was the reform evaluated? What were the achievements, results, and/or outcomes?	Not formally evaluated. The results were: 1) Established an appropriate recruitment practices for the selection of non-staff 2) Implemented appropriate conditions of service for non-staff and ensure alignment with other UN-system Organizations, based <i>inter alia</i> on local labor market conditions 3) Identified appropriate contractual modalities for the recruitment of non-staff	
	1.2 What were the underlying factors or drivers behind this reform/initiative?	1.2.1 What were the drivers? The causes of the initiative, generally an overarching, longer-term shift affecting	The workload of the Organizational substantially increased but resources did not. In view of the financial limitations and the temporary nature of some of the assignments, the Organization decided that to achieve its goals and responsibilities towards its Member States, it	

Review Question	Review Sub-Question	Sub-sub Question	Key Findings	Remarks
(Adapted from overall Review Framework)			(After stating findings Indicate source by letter, corresponding to document list below)	(Include list of documents that may be applicable)
	Where distinct or additional to broader drivers of change, what specific events or triggers signalled the start? Each of these will affect the approach, speed, scope, resources and adoption of change management. They can be both expected or unexpected.	how the organization operates.	would need to create a mechanism that would allow them to recruit to meet temporary project needs in line with cost-effective solutions.	
		1.2.2 Was there a specific event that acted as a trigger to get it started? It may be internal or external. These might include funding depletion, reputational (fraud, mismanagement) or other.	No information available.	Was there a particular resource decision or budgetary action that prompted this initiative or forced action?
PLAN OF CHANGE MANAGEMENT PROCESS				
2. Which change management approaches have been used in the <u>design</u> of the above reform or initiative? (The 'How' question on design – what did they set out to do?)	2.1 Describe the design or plan for change management in the initiative?	2.1.1 What were the specific objectives of change management within the design of the initiative?	No evidence of specific ‘change management’ objectives. The closest that could be identified are as follows: <ul style="list-style-type: none">• Provide non-staff with additional benefits and rewards for the successful performance of their functions• To ensure more involvement of non-staff as a fundamental part of Improve on responsibility and tasks of non-staff	
		2.1.2 Did the approach to change management draw from established practices (Kotter, McKinsey, PWC, UNLOCK etc) or not? If so, how?	Not according to UNWTO	
		2.1.3 Was a specific plan prepared outlining the change management process(es)? Who prepared this plan – done internally or by an	Specific trainings and communications were provided to ensure that all staff became familiar with the processes that had been established.	No further evidence available from the information provided that pertain to a specific change management plan or elements of a CM plan

Review Question	Review Sub-Question	Sub-sub Question	Key Findings	Remarks
<i>(Adapted from overall Review Framework)</i>			<i>(After stating findings Indicate source by letter, corresponding to document list below)</i>	<i>(Include list of documents that may be applicable)</i>
		outside company? If external, please state who?		
	2.2 How did the triggers of the organizational reform or management initiative influence the change management approach?	2.2.1 What effect, if any, did the drivers or triggers of the reform have on the objectives and plan for change management?	No information available	
IMPLEMENTATION OF CHANGE MANAGEMENT PROCESS				
3. How have the change management approaches been adopted/ adapted and implemented? (The 'How' question on implementation)	3.1 What was the scope – breadth and depth of the change process?	3.1.1 Was it system-wide, organization, department etc.	Organization-wide	
	3.2 How was the change management process led?	3.2.1 Who led the change management process? Who was the owner/sponsor of the change? What is their position in relation to management?	The reform / process itself was led by HR and the Office of the Secretary-General to ensure that the change was understood by all relevant parties and that appropriate information was provided.	
		3.2.2 Were consultants involved in implementation? If so, in what role?	No, it was implemented internally; due to cost limitations and the fact that the information could be reviewed by internal experts on the matter.	
		3.2.3 What was the size of the team? Where was the CM team located?	Implementation (rather than CM) team. Approximately 5-7 people, the team consisted of various HR team members, members from the Office of the Secretary-General and the Office of the Legal Counsel; the Staff Association also provided important input	
		3.2.4 Is there an institutionalized function for change management in the organization or was the function time-bound for this specific initiative? <u>If yes, please include information in question 7 as well.</u>	No.	

Review Question	Review Sub-Question	Sub-sub Question	Key Findings	Remarks
(Adapted from overall Review Framework)			(After stating findings Indicate source by letter, corresponding to document list below)	(Include list of documents that may be applicable)
		3.2.5 What mechanisms were put in place to oversee the change management process? Did it include the head of organization, the governing body, just senior managers, or other? What role was played by each?	It included management and also HR staff who would verify that the changes were properly adhered to by all personnel.	
	3.3 How was the change management process structured?	3.3.1 Did the process have a definitive start and end?	It was decided to launch the initiative as at 1 January 2016, by which time all the changes had to be implemented	Unclear (statement from UNWTO)
		3.3.2 How long did it last?	On-going review	
	3.4 How was it implemented?	3.4.1 Describe the implementation process (refer to the plan in 2.1.3)	Negotiated internally first, then presented to management, then implemented	
		3.4.2 What communication mechanisms were used?	Internal Circular and memoranda	
		3.4.3 How was the change initially framed and presented to staff?	Through a Circular	
	3.5 How much reflexive learning took place during the process? Was it evaluated during or after?	3.5.1 What learning and adaptive management processes were put in place during or after the CM process? (please specify when put in place in relation to the process)	Training sessions and continuous consultations with staff	
	RESOURCE IMPLICATIONS OF CHANGE MANAGEMENT PROCESS			
4. What have been the resource implications of change management?	4.1 How was the CM budgeted?	4.1.1 What was the source of financing- core resources/XB. Implications.	Core resources, mainly human resources.	
	4.2 What were the major cost elements and actual costs (where available)?	4.2.1 What were the cost elements – financial, human (non-financial), etc? (Actual cost breakdown if possible to estimate)	Varied (financial and human)	No further financial details available

Review Question	Review Sub-Question	Sub-sub Question	Key Findings	Remarks
<i>(Adapted from overall Review Framework)</i>			<i>(After stating findings Indicate source by letter, corresponding to document list below)</i>	<i>(Include list of documents that may be applicable)</i>
RESULTS OF CHANGE MANAGEMENT PROCESS				
5. What are the results and critical success factors of the change process or approach?	5.1 What were the results of the change process?	5.1.1 What were the <u>short-term</u> outputs? How were they assessed?	The development and implementation of a mechanism and policy. HR measured compliance with the new policies and how they were adhered to by all staff	
	<i>(Is there evidence of sustainability of these changes? What is the degree to which organization is working differently and people are behaving differently? Degrees of result or proxies around these include cost reduction (staff and non-staff); service levels; reduced risks; behavioural changes; improved collaboration etc.)</i>	5.1.2 What were the <u>intermediate or long</u> outcomes? How were they assessed? Did they bring about the desired transformation? (linked back to objectives in 2.1.1)	The intermediate and long term outcomes are to align UNWTO's non-staff recruitment practices and benefits with UN system standards. The long outcomes were assessed by evaluating morale through informal and formal consultations and Town Hall meetings. Adjustments were made, where necessary.	Further evidence of 'assessment of moral' would be helpful to verify this.
	5.2 How did the process affect the results?	5.2.1 How did the change management results contributed to the reform results or outcomes and in what way? What is the value-add of the structured process, where used?	No information available	
LESSONS FROM CHANGE MANAGEMENT PROCESS				
6. What lessons can be derived to guide future change	6.1 What are considered critical factors +/-	6.1.1 What do those involved, and those affected considered:	To ensure that appropriate recognition of the non-staff functions was provided and that a harmonious culture was implemented in the Organization.	

Review Question	Review Sub-Question	Sub-sub Question	Key Findings	Remarks
<i>(Adapted from overall Review Framework)</i>			<i>(After stating findings Indicate source by letter, corresponding to document list below)</i>	<i>(Include list of documents that may be applicable)</i>
management initiatives?		(kk) the key factors of success (ll) factors that led to failure and the challenges and constraints to the change management process?		
	6.2 What positive features identified are transferable or scalable, which are not and why?	6.2.1 How unique are these to the context in which they were implemented?	Important, in view of possible resistance to change.	
		6.2.2 What generalizable lessons can be identified?	Change management needs to be clearly explained to those impacted and the implementation of new policies should be regularly assessed to ensure understanding by all those involved.	
	6.3 What has the organization learnt from this process?	6.3.1 Would the organization run the process the same way again, or do things differently? If so, how?	The organization would follow a similar process again in the future; considering our limited resources, we were unable to consult with a change management specialist or identify external resources to carry out the project.	

Document Key

Document	Document Title	Document Source
A.	Circular NS/827 and NS/827/rev (CONFIDENTIAL)	UNWTO Intranet
B.	In-House Emails	Email

46. UPU – Union Reform

Overall comments	<ul style="list-style-type: none"> The following information has been extracted based on the emails from the Change Management focal point and the available resolutions listed towards the end. The documentation provides some interesting and useful information on the overall reform. Assessment of the information does not indicate a comprehensive change management process that can be used to draw lessons. The case is considered complete and we are sharing this for your information.
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Review Question	Review Sub-Question	Sub-sub Question	Key Findings	Remarks
<i>(Adapted from overall Review Framework)</i>			<i>(After stating findings Indicate source by letter, corresponding to document list below)</i>	<i>(Include list of documents that may be applicable)</i>
REFORM/INITIATIVE OVERVIEW				
1. Details of the organizational reform/initiative (The 'What' question – what the initiative and reasoning behind it was?)	1.1 A brief summary of the reform/initiative.	1.1.1 What is its purpose? What are the objectives?	<p>The primary purpose is to make the UPU more adaptable to changing circumstances and ensure it can give a more reliable, constant support/service to its member states (A3)</p> <p>For your information: Since the 1989 Washington Congress, the Universal Postal Union has been making enormous efforts to keep its mission, structure, constituency, project financing and working methods constantly under review to adapt to the rapidly changing postal environment and to reflect the interests of its member countries and all players in the postal sector. The reform (change) agenda has been a subject of discussion at every successive Congress, with the following Congress resolutions being adopted: C 59/1994, C 105/1999, C 109/1999, C 110/1999, C 54/2004, C 16/2008, C 26/2012 and c27/2016. All of these resolutions instructed the CA (governing body) to study ways to better structure and improve the functioning of Union bodies, with a view to improving the efficiency of the decision-making processes and working methods of Union bodies, and to study how to make optimum use of resources.</p>	
		1.1.2 When did it start? When did it end?	<p>2008 ?- ongoing</p> <p>For your information: The reform process in UPU started long time ago, not from 2008</p>	
		1.1.3 What are the key elements/sub-initiatives?	Examples of key elements -	

Review Question	Review Sub-Question	Sub-sub Question	Key Findings	Remarks
<i>(Adapted from overall Review Framework)</i>			<i>(After stating findings Indicate source by letter, corresponding to document list below)</i>	<i>(Include list of documents that may be applicable)</i>
			1. Change in the number of plenary of CA and POC from once a year to twice a year 2. Creation of task forces with specifics mandated and limited duration 3. Increase of the POC seats with wider representation in different regions and the simplification of the POC election mechanism. (Source – email exchange with CM focal point)	
		1.1.4 When and by whom was it approved?	The 24 th Congress issued the resolutions but assigned the Council of Administration (CA) with the task of following, overseeing and implementing the mandates mentioned above (A3)	
		1.1.5 Was the reform evaluated? What were the achievements, results, and/or outcomes?		
	1.2 What were the underlying factors or drivers behind this reform/initiative? Where distinct or additional to broader drivers of change, what specific events or triggers signalled the start? Each of these will affect the approach, speed, scope, resources and adoption of change management. They can be both expected or unexpected.	1.2.1 What were the drivers? The causes of the initiative, generally an overarching, longer-term shift affecting how the organization operates.	The continual recognition that the postal environment is ‘undergoing profound and rapid change’ making the UPU to constantly reflect and adapt its decision-making, operations, work methods and activities (B1)	
		1.2.2 Was there a specific event that acted as a trigger to get it started? It may be internal or external. These might include funding depletion, reputational (fraud, mismanagement) or other.	The clearest specific trigger was internal routine mandates whereby new resolutions maybe issues or renewal of existing ones are made (A3,4) Based on a 4-year Congress cycle, new or refined changes may occur depending on recent events, such as streamlining decision-making	

Review Question	Review Sub-Question	Sub-sub Question	Key Findings	Remarks
<i>(Adapted from overall Review Framework)</i>			<i>(After stating findings Indicate source by letter, corresponding to document list below)</i>	<i>(Include list of documents that may be applicable)</i>
PLAN OF CHANGE MANAGEMENT PROCESS				
<p>2. Which change management approaches have been used in the <u>design</u> of the above reform or initiative?</p> <p>(The 'How' question on design – what did they set out to do?)</p>	<p>2.1 Describe the design or plan for change management in the initiative?</p>	<p>2.1.1 What were the specific objectives of change management within the design of the initiative?</p> <p>Examples of specific objectives</p> <ul style="list-style-type: none"> - Behaviour change to facilitate fuller adoption of new technology (e.g. UMOJA) - Empowerment of all staff to increase adoption of new policy - Improve communication of new roles and responsibilities - Enhance openness and transparency as part of an effort to increase accountability culture in an organization 		
		<p>2.1.2 Did the approach to change management draw from established practices (Kotter, McKinsey, PWC, UNLOCK etc) or not? If so, how?</p>		

Review Question	Review Sub-Question	Sub-sub Question	Key Findings	Remarks
<i>(Adapted from overall Review Framework)</i>			<i>(After stating findings Indicate source by letter, corresponding to document list below)</i>	<i>(Include list of documents that may be applicable)</i>
		<p>2.1.3 Was a specific plan prepared outlining the change management process(es)? Who prepared this plan – done internally or by an outside company? If external, please state who?</p> <p>Examples of elements of plan:</p> <ul style="list-style-type: none"> - change readiness assessment - definition of type and scope of change - Approach to engaging with staff and stakeholders - Institutional framework (governance, management, change management team, etc) - Defined role of leadership - Process plan (training, engagement etc) - Reflexive learning plan (monitoring and internal evaluation) 		
	2.2 How did the triggers of the organizational reform or management initiative influence the change management approach?	2.2.1 What effect, if any, did the drivers or triggers of the reform have on the objectives and plan for change management?		

Review Question	Review Sub-Question	Sub-sub Question	Key Findings	Remarks
<i>(Adapted from overall Review Framework)</i>			<i>(After stating findings Indicate source by letter, corresponding to document list below)</i>	<i>(Include list of documents that may be applicable)</i>
IMPLEMENTATION OF CHANGE MANAGEMENT PROCESS				
3. How have the change management approaches been adopted/ adapted and implemented? (The 'How' question on implementation)	3.1 What was the scope – breadth and depth of the change process?	3.1.1 Was it system-wide, organization, department etc.		
	3.2 How was the change management process led?	3.2.1 Who led the change management process? Who was the owner/sponsor of the change? What is their position in relation to management?		
		3.2.2 Were consultants involved in implementation? If so, in what role?		
		3.2.3 What was the size of the team? Where was the CM team located?		
		3.2.4 Is there an institutionalized function for change management in the organization or was the function time-bound for this specific initiative? <u>If yes, please include information in question 7 as well.</u>		
		3.2.5 What mechanisms were put in place to oversee the change management process? Did it include the head of organization, the governing body, just senior managers, or other? What role was played by each?		

Review Question	Review Sub-Question	Sub-sub Question	Key Findings	Remarks
<i>(Adapted from overall Review Framework)</i>			<i>(After stating findings Indicate source by letter, corresponding to document list below)</i>	<i>(Include list of documents that may be applicable)</i>
	3.3 How was the change management process structured?	3.3.1 Did the process have a definitive start and end?		
		3.3.2 How long did it last?		
	3.4 How was it implemented?	3.4.1 Describe the implementation process (refer to the plan in 2.1.3)		
		3.4.2 What communication mechanisms were used?		
		3.4.3 How was the change initially framed and presented to staff?		
	3.5 How much reflexive learning took place during the process? Was it evaluated during or after?	3.5.1 What learning and adaptive management processes were put in place during or after the CM process? (please specify when put in place in relation to the process)		
RESOURCE IMPLICATIONS OF CHANGE MANAGEMENT PROCESS				
4. What have been the resource implications of change management?	4.1 How was the CM budgeted?	4.1.1 What was the source of financing- core resources/XB. Implications.		
	4.2 What were the major cost elements and actual costs (where available)?	4.2.1 What were the cost elements – financial, human (non-financial), etc? (Actual cost breakdown if possible to estimate)		
RESULTS OF CHANGE MANAGEMENT PROCESS				
5. What are the results and critical success factors of the change process or approach?	5.1 What were the results of the change process? <i>(Is there evidence of sustainability of these</i>	5.1.1 What were the <u>short-term</u> outputs? How were they assessed? Examples of outputs (effective implementation of CM processes)		

Review Question	Review Sub-Question	Sub-sub Question	Key Findings	Remarks
<i>(Adapted from overall Review Framework)</i>			<i>(After stating findings Indicate source by letter, corresponding to document list below)</i>	<i>(Include list of documents that may be applicable)</i>
	<i>changes? What is the degree to which organization is working differently and people are behaving differently? Degrees of result or proxies around these include cost reduction (staff and non-staff); service levels; reduced risks; behavioural changes; improved collaboration etc.)</i>	<ul style="list-style-type: none"> - Implementation of standards and practices - Staff being able to apply new work practices - Reduced time spent on processes (efficiency measure) 		
		<p>5.1.2 What were the <u>intermediate or long</u> outcomes? How were they assessed? Did they bring about the desired transformation?</p> <p>Examples of specifically change management outcomes (changes in practice and behaviour)</p> <ul style="list-style-type: none"> - Defined improvements in accountability as a consequence of redefined and communicated roles and responsibilities - Staff satisfaction levels - Client satisfaction levels 		
	5.2 How did the process affect the results?	<p>5.2.1 How did the change management results contributed to the reform results or outcomes and in what way?</p> <p>What is the value-add of the structured process, where used?</p>		

Review Question	Review Sub-Question	Sub-sub Question	Key Findings	Remarks
<i>(Adapted from overall Review Framework)</i>			<i>(After stating findings Indicate source by letter, corresponding to document list below)</i>	<i>(Include list of documents that may be applicable)</i>
LESSONS FROM CHANGE MANAGEMENT PROCESS				
6. What lessons can be derived to guide future change management initiatives?	6.1 What are considered critical factors +/-	6.1.1 What do those involved, and those affected considered: (mm) the key factors of success (nn) factors that led to failure and the challenges and constraints to the change management process?		
	6.2 What positive features identified are transferable or scalable, which are not and why?	6.2.1 How unique are these to the context in which they were implemented?		
		6.2.2 What generalizable lessons can be identified?		
	6.3 What has the organization learnt from this process?	6.3.1 Would the organization run the process the same way again, or do things differently? If so, how?		

Change Management Functions in the Organization

If information on organizational level change management initiatives is found while reading through documents, please note details/findings below

Review Question	Review Sub-Question	Additional Description	Key Findings	Gaps and Questions
7. To what extent have change management functions been institutionalized?	7.1 Does the Participating Organization (PO) have a Change Management function – formalized or otherwise?	7.1.1 Is there a team – time-bound or fixed – working on CM across multiple initiatives (i.e. beyond a single time-bound change process)?		
	7.2 What are its objectives?	7.2.1 How was it established? When? What is its purpose? How sustainable is it?		
	7.3 How is it structured, staffed and funded?	7.3.1 How many staff, and at what grades? Who does it report to? How is it funded and to what levels?		

Document Key

Document	Document Title	Document Source
A.	reform of Union cng_doc_d017	Provided by UPU
B.	Resolution C 27/2016	Provided by UPU

47. WHO – WHO Reform 2011-17

Overall comments	<ul style="list-style-type: none"> The case summary was completed by JIU based on documentation provided by WHO. The documents provide a good overview of the reform, its purpose, components and roll-out. The evaluation reports of the three phases have been particularly helpful. From the information provided no evidence was found of the planned use of change management approaches or processes. However, substantial lessons were learnt, that have been used as part of the WHO reform 2018- onwards (these have been included in a separate case summary on WHO Transformation Plan and Architecture 2018-20) The case is considered complete.
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Review Question	Review Sub-Question	Sub-sub Question	Key Findings	Remarks
<i>(Adapted from overall Review Framework)</i>			<i>(After stating findings Indicate source by letter, corresponding to document list below)</i>	<i>(Include list of documents that may be applicable)</i>
REFORM/INITIATIVE OVERVIEW				
1. Details of the organizational reform/initiative (The 'What' question – what the initiative and reasoning behind it was?)	1.1 A brief summary of the reform/initiative.	1.1.1 What is its purpose? What are the objectives?	System-wide reform focused on finances, governance, and human resources (E.3) “Improved the overall performance and accountability of the Organization to address the changing public health needs of the population going forward into the 21 st century” (B.7)	
		1.1.2 When did it start? When did it end?	2011-17 Initiated November 2011 (B.7)	
		1.1.3 What are the key elements/sub-initiatives?	Three Substantive Areas (A.1): 1. <u>Programmes and Priority Setting</u> - setting high level goals based on WHO’s functions and comparative advantages 2. <u>Governance</u> - more rational scheduling, alignment and harmonization of governance processes; strengthening oversight; more strategic decision 3. <u>Management</u> - (a) effective technical and policy support for all Member States; (b) staffing that is matched to needs at all levels; (c) a financing mechanism that respects agreed priorities; (d) effective systems for accountability and risk management; (e) a culture of evaluation; and (f) strategic communications. 17 initiatives being implemented in 2013, with 5 more planned to begin in 2014 (F.10)	

Review Question	Review Sub-Question	Sub-sub Question	Key Findings	Remarks
<i>(Adapted from overall Review Framework)</i>			<i>(After stating findings Indicate source by letter, corresponding to document list below)</i>	<i>(Include list of documents that may be applicable)</i>
		1.1.4 When and by whom was it approved?	The Executive Board began reviewing reform proposals in May 2011 and approved them at a special session in November 2011 (E.3, B.54)	
		1.1.5 Was the reform evaluated? What were the achievements, results, and/or outcomes?	<p>The reform was evaluated after stage 1, 2, and 3 (E, F, B)</p> <p>Stage 1 evaluation: WHO still needs to identify expected outcomes and their relevant indicators (E.55)</p> <p>Stage 3 evaluation: need to prioritize achievements to be obtained Governance 1. increase in Member States engagement in meetings, 2. continues to play an important role in shaping the global health agenda, 3. implemented adaptation to optimize harmonize, and align global Governing Bodies, 4. WHO Framework of engagement with non-state actors passed and very transparent (B.8) Programmatic priority setting 1. increased alignment with national health strategies and plans, 80% of country office budgets on a maximum of 10 priorities 2. Implementation of programme and category networks to improve coordination between the three levels of the organization 3. Increase in transparency of resource allocation (B.8) Management 1. strengthened oversight and accountability by setup of Compliance Risk and Ethics department, Evaluation Office, and various polices 2. Movement towards culture of evaluation 3. HR improvements in strategy and policy (B.8)</p> <p>Stage 3 evaluation: main factors hindered reform:</p> <ul style="list-style-type: none"> - “Working methods which have proved to be effective during the reform should be institutionalized. ” (B.10) these were slow at the beginning - “This change in priorities linked to the Ebola outbreak shows how important it is to 1) secure results early on during change initiatives, and 2) ensure change initiatives are not overly dependent on a limited pool of resources.” (B.10) - Too mechanistic in approach to reform- end up not achieving what they want to achieve because of process (B.10) <p>Stage 3 evaluation: staff perception has improved in areas of</p>	

Review Question	Review Sub-Question	Sub-sub Question	Key Findings	Remarks
<i>(Adapted from overall Review Framework)</i>			<i>(After stating findings Indicate source by letter, corresponding to document list below)</i>	<i>(Include list of documents that may be applicable)</i>
			<p>coordination and risk management. “However staff perceptions have remained largely unchanged in the other areas of reform. They have also deteriorated sharply in the belief that reform would improve the situation of the Organization“ (B.9)</p> <p>Suggestions from PWC for future change: 1. Put people at center 2. Ensure change results in simplified process 3. Make achievements visible throughout process 4. Find balance between needing member states oversight and simplifying reporting requirements to governing bodies 5. Ensure member states meet commitments for financing, focus, and governance of WHO (B.10)</p> <p>Challenges to reform: “External events have also continued to challenge the continued relevance and purpose of the Organization, and forced adaptations to reform. This is notably the case of the Ebola outbreak in West Africa, the multiplication of humanitarian crises and on a more positive note the adoption of the Sustainable Development Goals (SDGs) by the UN General Assembly in autumn 2015. ^[1]” (B.7)</p>	
	1.2 What were the underlying factors or drivers behind this reform/initiative?	1.2.1 What were the drivers? The causes of the initiative, generally an overarching, longer-term shift affecting how the organization operates.	Need for effectiveness and relevance: Far-reaching reform agenda initiated by the WHO in 2011 to improve the overall performance and accountability of the Organization to address the changing public health needs of the population going forward into the 21 st century. (B. Page 7)	
	Where distinct or additional to broader drivers of change, what specific events or triggers signalled the start? Each of these will affect the approach, speed, scope, resources and adoption of change management. They can be both	1.2.2 Was there a specific event that acted as a trigger to get it started? It may be internal or external. These might include funding depletion, reputational (fraud, mismanagement) or other.	“One of the major reasons for initiating the process of reform was the continued unpredictability of funding and the difficulty WHO was having to secure financing for its priority activities and programmes.” (B.7)	

Review Question	Review Sub-Question	Sub-sub Question	Key Findings	Remarks
<i>(Adapted from overall Review Framework)</i>			<i>(After stating findings Indicate source by letter, corresponding to document list below)</i>	<i>(Include list of documents that may be applicable)</i>
	expected or unexpected.			
PLAN OF CHANGE MANAGEMENT PROCESS				
<p>2. Which change management approaches have been used in the <u>design</u> of the above reform or initiative?</p> <p>(The 'How' question on design – what did they set out to do?)</p>	2.1 Describe the design or plan for change management in the initiative?	2.1.1 What were the specific objectives of change management within the design of the initiative?	“The strengthening of results-orientation, accountability, internal controls and risk management throughout the Organization represents a major cultural shift which will require significant behavioral change at all levels of the organization. To achieve this, the Secretariat will need to go beyond the current focus on policies, procedures and systems.” (F.9)	
		2.1.2 Did the approach to change management draw from established practices (Kotter, McKinsey, PWC, UNLOCK etc) or not? If so, how?	“approach has to an extent been rather ad-hoc, the drive of the RST not completely making up for the lack of experienced programme and change skills” (F.10) rework of the theory of change on the reform (F.10)	
		<p>2.1.3 Was a specific plan prepared outlining the change management process(es)?</p> <p>Who prepared this plan – done internally or by an outside company? If external, please state who?</p> <p>-</p>	<p>The Reform Support Team produced a <u>High Level Implementation Plan</u>, monitoring framework (HLIP) for the reform, and communication tools including a website and WHO reform story. The team has also made improvements in planning, monitoring, and risk management of the reform (F. 8)</p> <p>Organizational effectiveness, alignment and efficiency: “At the heart of organizational effectiveness lie <u>processes aims at people, process and technology</u>. These reforms of WHO are only aimed at addressing process related issues but do not address people and technology issues like culture of the organization, changing formal structures and informal relationships within WHO.... We are of the opinion that this area of reform is the driver of the whole reform process. It proposes changes in the organizational way of functioning, promoting alignment and bringing in synergy. We feel that this area needs further detailing as it proposes creation of new equations in existing systems. At the same time, unless these changes are put in place, the reforms in other areas of governance would not yield results.” (E.41-42)</p>	

Review Question	Review Sub-Question	Sub-sub Question	Key Findings	Remarks
<i>(Adapted from overall Review Framework)</i>			<i>(After stating findings Indicate source by letter, corresponding to document list below)</i>	<i>(Include list of documents that may be applicable)</i>
	2.2 How did the triggers of the organizational reform or management initiative influence the change management approach?	2.2.1 What effect, if any, did the drivers or triggers of the reform have on the objectives and plan for change management?	Drivers and Triggers are: Need for performance (RBM and RM), accountability, and responsiveness to changing times Unpredictability of funding	
IMPLEMENTATION OF CHANGE MANAGEMENT PROCESS				
3. How have the change management approaches been adopted/ adapted and implemented? (The 'How' question on implementation)	3.1 What was the scope – breadth and depth of the change process?	3.1.1 Was it system-wide, organization, department etc.	System-wide	
	3.2 How was the change management process led?	3.2.1 Who led the change management process? Who was the owner/sponsor of the change? What is their position in relation to management?	<p>1. Member states Top-down, member-state led: strong oversight by the Program Management and Administration Committee (PBAC). Governance structures highly involved (B.53)</p> <p>2. Reform Support Team “The Secretariat designed and implemented a delivery model reform with the support of a dedicated central Reform Support Team (RST) located in the Director General’s Office (DGO).”(F.8) - Reform Support Team is responsible for all aspects of the project and change management and reform. Business Owners (directors at HQ level) assigned to oversee discrete portions of the reform. There are also task forces, working groups, and networks made up of the above mentioned individuals working on specific reform initiatives and outcomes. (F.69)</p> <p>3. Change agents Eval stage 2: still need to engage and secure support of the 250 change agents. (F.11)</p> <p>4. DG’s office “clear and demonstrated commitment to reform from WHO elected leadership” (F.10) - At the Secretariat the DG supported by the deputy director general and advisors from the director generals office led the</p>	

Review Question	Review Sub-Question	Sub-sub Question	Key Findings	Remarks
<i>(Adapted from overall Review Framework)</i>			<i>(After stating findings Indicate source by letter, corresponding to document list below)</i>	<i>(Include list of documents that may be applicable)</i>
			reforms. At the regional level, the regional directors led the reforms. At the country level the WRs are the key figures (F.68)	
		3.2.2 Were consultants involved in implementation? If so, in what role?		
		3.2.3 What was the size of the team? Where was the CM team located?	The Secretariat designed and implemented a delivery model reform with the support of a dedicated central Reform Support Team (RST) located in the Director General's Office (DGO)." (F.8)	
		3.2.4 Is there an institutionalized function for change management in the organization or was the function time-bound for this specific initiative? <u>If yes, please include information in question 7 as well.</u>		
		3.2.5 What mechanisms were put in place to oversee the change management process? Did it include the head of organization, the governing body, just senior managers, or other? What role was played by each?		
	3.3 How was the change management process structured?	3.3.1 Did the process have a definitive start and end?		
		3.3.2 How long did it last?		
	3.4 How was it implemented?	3.4.1 Describe the implementation process (refer to the plan in 2.1.3)		
		3.4.2 What communication mechanisms were used?	After initially focusing communication efforts on Member States, shifted communication efforts to address staff at all levels. Build momentum around the reform (F.10)	

Review Question	Review Sub-Question	Sub-sub Question	Key Findings	Remarks
<i>(Adapted from overall Review Framework)</i>			<i>(After stating findings Indicate source by letter, corresponding to document list below)</i>	<i>(Include list of documents that may be applicable)</i>
			Eval stage 2: Communication and engagement strategy for external and internal stakeholders. Organizational framework to manage change (F.80) Reform infographic, three newsletters, web updates, engagement of member states through SharePoint, including those in remote areas in the Finance Dialog through video conference (F.80)	
		3.4.3 How was the change initially framed and presented to staff?	Eval stage 2: communications so far have been done through broadcasts, however evaluation suggests it needs to change to be tailored to recipient's needs. (F.11)	
	3.5 How much reflexive learning took place during the process? Was it evaluated during or after?	3.5.1 What learning and adaptive management processes were put in place during or after the CM process? (please specify when put in place in relation to the process)	There was ex-post evaluation of the reform at the end of each of the three stages to guide subsequent reforms.	
4. What have been the resource implications of change management?	4.1 How was the CM budgeted?	4.1.1 What was the source of financing- core resources/XB. Implications.	"Identification of resources for implementing the reform proposals was yet to be done by WHO" As of March 2012 (E.4)	
	4.2 What were the major cost elements and actual costs?	4.2.1 What were the cost elements – financial, human (non-financial), etc?		
RESULTS OF CHANGE MANAGEMENT PROCESS				
5. What are the results and critical success factors of the change process or approach?	5.1 What were the results of the change process? <i>(Is there evidence of sustainability of these changes? What is the degree to which organization is working</i>	5.1.1 What were the <u>short-term</u> outputs? How were they assessed?	The reform was evaluated after stage 1, 2, and 3. All evaluations spoke to the change management process. (E, F, B) – But focused on the systems, structures, mechanism and processes - The final evaluation highlighted the need focus on the people side of changes required and how to manage this. Stage 2 eval: "The robustness of the reform results-chain, theory of change and monitoring framework needs to be strengthened. Most notably outcome indicators are weak." Need more outcome measures to focus on training and status of implementation and	

Review Question	Review Sub-Question	Sub-sub Question	Key Findings	Remarks
<i>(Adapted from overall Review Framework)</i>			<i>(After stating findings Indicate source by letter, corresponding to document list below)</i>	<i>(Include list of documents that may be applicable)</i>
	<i>differently and people are behaving differently? Degrees of result or proxies around these include cost reduction (staff and non-staff); service levels; reduced risks; behavioural changes; improved collaboration etc.)</i>		institutionalization of deliverables. (F.11) Stage 2 eval: strength that CM leadership used mostly existing structures and positions Stage 3 eval: “The above results are illustrative of a certain disillusion or fatigue from staff with reform. This is likely to impact the prospects of success of future change initiatives” (B.9)	
		5.1.2 What were the <u>intermediate or long</u> outcomes? How were they assessed? Did they bring about the desired transformation? (linked back to objectives in 2.1.1)	-	
	5.2 How did the process affect the results?	5.2.1 How did the change management results contributed to the reform results or outcomes and in what way? What is the value-add of the structured process, where used?		
LESSONS FROM CHANGE MANAGEMENT PROCESS				
6. What lessons can be derived to guide future change management initiatives?	6.1 What are considered critical factors +/-	6.1.1 What do those involved, and those affected considered critical factors in success/ failure of the change management process? Are these distinguishable from the reforms behind the change etc.	Success: member states support, donors providing resources and exercising pressure for change (B.55) Collaboration increased- between elected leadership, business owners, reforms teams at HQ and regional level, technical sectors within HQ and regions, between regions, between the Secretariat and Member States. This was done through task forces, meetings, collaborating on projects, and retreats. (B.56) Strong leadership, alignment, and disciplined execution (B.57)	

Review Question	Review Sub-Question	Sub-sub Question	Key Findings	Remarks
<i>(Adapted from overall Review Framework)</i>			<i>(After stating findings Indicate source by letter, corresponding to document list below)</i>	<i>(Include list of documents that may be applicable)</i>
			<p>Timing of leadership renewal- key directors took office as momentum for the reform was picking up, and were able to quickly begin initiating changes (B.57)</p> <p>Technology- Business intelligence systems, communications systems, transactional systems (B.58)</p> <p>Barriers and unintended negative effects of reform: process being slowed down by the need to garner support from different levels of organization and member states</p> <p>Ebola outbreak and shift to emergency response Mechanistic vs. organic approach to reform and change management: 1. number of meetings it took to coordinate and gather support 2. New processes and procedures to improve accountability, risk management, and culture of learning 3. Led by governing bodies instead of by staff (so staff feel left behind 4. “No change management plan was defined, let alone executed” (B.59)</p> <p>Things that impeded reform “Working methods which have proved to be effective during the reform should be institutionalized.” (B.10) these were slow at the beginning</p> <p>“This change in priorities linked to the Ebola outbreak shows how important it is to 1) secure results early on during change initiatives, and 2) ensure change initiatives are not overly dependent on a limited pool of resources.” (B.10)</p> <p>Too mechanistic in approach to reform- end up not achieving what they want to achieve because of process (B.10)</p> <p>Suggestions from PWC for future change- 1. Put people at center 2. Ensure change results in simplified process 3. Make achievements visible throughout process 4. Find balance between needing member states oversight and simplifying reporting requirements to governing</p>	

Review Question	Review Sub-Question	Sub-sub Question	Key Findings	Remarks
<i>(Adapted from overall Review Framework)</i>			<i>(After stating findings Indicate source by letter, corresponding to document list below)</i>	<i>(Include list of documents that may be applicable)</i>
			bodies 5. Ensure member states meet commitments for financing, focus, and governance of WHO (B.10)	
			Stage 2 eval: need to prioritize achievements to be obtained	
	6.2 What positive features identified are transferable or scalable, which are not and why?	6.2.1 What features seem to be key to a successful CM process?	The Global Transformation Agenda for 2018 highlights a significant number of key principles reflecting lesson learned from the reforms of 2011-2017	
		6.2.2 How unique are these to the context in which they were implemented?	The key principles are identical to those also noted as significant for reforms in UN system as well as outside the UN.	
		6.2.3 What generalizable lessons can be identified?		
	6.3 What has the organization learnt from this process?	6.3.1 Would the organization run the process the same way again, or do things differently? If so, how?	No The Report of Global Transformation Agenda indicates a set of changes in how the organization will run change management in the future. See Case framework for Global Transformation	

Change Management Functions in the Organization

If information on organizational level change management initiatives is found while reading through documents, please note details/findings below

Review Question	Review Sub-Question	Additional Description	Key Findings	Gaps and Questions
7. To what extent have change management functions been institutionalized?	7.1 Does the Participating Organization (PO) have a Change Management function – formalized or otherwise?	7.1.1 Is there a team – time-bound or fixed – working on CM across multiple initiatives (i.e. beyond a single time-bound change process)?	“creation of an organizational learning and change network” (B.8)	
	7.2 What are its objectives?	7.2.1 How was it established? When? What is its purpose? How sustainable is it?		
	7.3 How is it structured, staffed and funded?	7.3.1 How many staff, and at what grades? Who does it report to? How is it funded and to what levels?		

Document Key

Document	Document Title	Document Source
A.	WHO Reform: Consolidated report by the Director General A65/5	Organization Sent
B.	WHO Reform Stage 3 Evaluation	Organization Sent
C.	Modalities for the independent evaluation of the WHO reform: stage two EB132/5 Add.7	Organization Sent
D.	WHO reform for a healthy future EUR/RC61/WG/Report	Organization Sent
E.	Evaluation Report of Stage 1 of Reform Proposals of WHO	Organization Sent
F.	Evaluation Second Stage evaluation on WHO reform EB134/39	Organization Sent

48. WHO – African Regional Office Transformation Agenda

Overall comments	<ul style="list-style-type: none"> • The case summary was completed by JIU. Further information was included based on notes from interviews. • The information provides details on both the overall reform and its change management elements. • There was a renewed focus on change management during the second phase of the reform (2018-20), on changing mind-sets and behaviours to align with the systemic transformation (L.1). • The interviews have highlighted key lessons that can be used to draw upon. • The case is considered complete. We may follow-up on behavioural aspects of the reform in January/ February 2019 with respect to the chapter of our study on behavioural factors/insights.
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Review Question	Review Sub-Question	Sub-sub Question	Key Findings	Remarks
<i>(Adapted from overall Review Framework)</i>			<i>(After stating findings Indicate source by letter, corresponding to document list below)</i>	<i>(Include list of documents that may be applicable)</i>
REFORM/INITIATIVE OVERVIEW				
1. Details of the organizational reform/initiative (The 'What' question – what the initiative and reasoning behind it was?)	1.1 A brief summary of the reform/initiative.	1.1.1 What is its purpose? What are the objectives?	<p><i>The Transformation Agenda of the WHO Secretariat in the African Region</i> which marks a commitment to positive change, is a programme for accelerating the implementation of WHO global reform within the WHO African Region</p> <p>Purpose: “The reform programme is a vision and a strategy for change aimed at facilitating the emergence of “the WHO that the staff and stakeholders want”: more transparent, responsive and results-driven” (A.1).</p> <ul style="list-style-type: none"> • To become an: effective, accountable, results-driven and transparent Organization that people wish to see • To achieve a health transformation in Africa, with all member states making significant progress on the SDGs (A.1) <p><u>Objectives:</u> Please see below under elements or component parts of the reform.</p>	
		1.1.2 When did it start? When did it end?	<p>The Transformation Agenda (TA) was launched in the African Region in 2015. (A.viii) (First Phase 2015-2017)</p> <p>The next phase of the TA is from Feb 2018-Jan 2020. (A.ix)</p>	

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<i>(Adapted from overall Review Framework)</i>			<i>(After stating findings Indicate source by letter, corresponding to document list below)</i>	<i>(Include list of documents that may be applicable)</i>
		1.1.3 What are the key elements/sub-initiatives?	<p>Four objectives and work areas of the Agenda are as follows. Each of these focus areas have a set of strategic actions with clear implementation timelines, and are closely aligned with the ongoing global reforms (managerial, programmatic and governance) of WHO.</p> <ol style="list-style-type: none"> Pro-Results Values- foster an organizational culture characterized by the values of excellence, team work, accountability, integrity, equity, innovation and openness (B.v) <ol style="list-style-type: none"> Strong alignment by senior leadership in the change process; Greater staff awareness of accountability, transparency, ethical behaviour, and producing results Better staff engagement and ownership leading to a clearer vision of expected results Improved partner recognition Smart Technical Focus- strengthen regional capacity through unified emergency program (WHE), control of Ebola virus in West Africa and DRC, improved emergency risk assessment and prevention, creation of the adolescent Flags Programme, expanded special project of neglected diseases. Responsive Strategic Operations- Improved managerial accountability, transparency and risk management, a framework of key performance indicators (KPIs), realignment of HR at Regional and Inter-country support team level, realignment of HR at country team level, setting up emergency centres in Dakar and Nairobi, better value for money in procurement Effective Communications and Partnerships- Enhance internal communications, reinforced external communications, strengthened strategic partnerships <p>2nd phase of the agenda – emphasis on restructuring (E.)</p> <ol style="list-style-type: none"> Regional offices Inter country offices Country offices 	

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<i>(Adapted from overall Review Framework)</i>			<i>(After stating findings Indicate source by letter, corresponding to document list below)</i>	<i>(Include list of documents that may be applicable)</i>
			<p>Member states – staffing is not aligned with the needs of country offices (G)</p> <ul style="list-style-type: none"> - Functional review (2017 – ongoing) – working with member states and donors to define the staffing requirements at countries and its management - which function requires national and international staff - included going to the specific countries and discussing their needs with the ministers, governments etc - Next step is to mobilize; staff members were re-recruited or to apply for external positions – transparent way to manage any resistance 	
		1.1.4 When and by whom was it approved?	The TA represents the Regional Director's vision and was launched by her.	
		1.1.5 Was the reform evaluated? What were the achievements, results, and/or outcomes?	<p>Yes: "These reforms have been validated by an independent evaluation of the Transformation Agenda, a staff perception survey as well as through consultations with key stakeholders and advisors" (A.40)</p> <p>Achievements by work area:</p> <p>Pro-results values</p> <p>1. Collective support of senior leadership 2. Improved staff awareness 3. Better staff engagement and ownership 4. Improved partner recognition</p> <p>Smart Technical Focus</p> <p>1. Strengthened health security with improved prevention, detection, and response 2. Progress towards polio-free certification and good polio transition planning 3. Strengthening of health systems and the UHC/SDGs Framework of Actions 4. Creation of the adolescent flagship program and expanded special project for elimination of neglected tropical diseases 5. Progress in communicable and non-communicable disease</p> <p>Responsive Strategic Operations</p>	Report of the Mid-Term Evaluation of the Transformation Agenda of the WHO Secretariat in the African Region. World Health Organization, Evaluation Office: Geneva; 2017

Review Question	Review Sub-Question	Sub-sub Question	Key Findings	Remarks
<i>(Adapted from overall Review Framework)</i>			<i>(After stating findings Indicate source by letter, corresponding to document list below)</i>	<i>(Include list of documents that may be applicable)</i>
			<p>1. Improved internal controls, performance of individual staff and budget centres and mechanisms to measure, monitor and report on progress and trends (for examples through Key Performance Indicators) 2. Realignment of human resources at Regional, Inter-country Support Team, and Country Office Level 3. Setting up of emergency hubs in Dakar and Nairobi 4. Better value for money in the procurement of goods and services</p> <p>Communications and partnerships</p> <p>1. Enhanced communications through a regional communications strategy 2. Reinforced external communications through engagement of strategic regional and global media and stakeholders 3. Strengthened strategic partnerships for example through the Harmonization for Health in Africa platform and Africa Health Forum (A.2)</p>	
	1.2 What were the underlying factors or drivers behind this reform/initiative?	1.2.1 What were the drivers? The causes of the initiative, generally an overarching, longer-term shift affecting how the organization operates.	<p>“This desire to create a more dynamic organization was partly motivated by lessons learnt during the Ebola Virus Disease outbreak in West Africa.” (B.1)</p> <p>The expectations of Member States and regional and global stakeholders regarding a change in the way WHO does business in the African Region.</p> <p>A new Regional Director for Africa in 2015.</p>	
	Where distinct or additional to broader drivers of change, what specific events or triggers signalled the start? Each of these will affect the approach, speed, scope, resources and adoption of change management. They can be both expected or unexpected.	1.2.2 Was there a specific event that acted as a trigger to get it started? It may be internal or external. These might include funding depletion, reputational (fraud, mismanagement) or other.		

Review Question	Review Sub-Question	Sub-sub Question	Key Findings	Remarks
<i>(Adapted from overall Review Framework)</i>			<i>(After stating findings Indicate source by letter, corresponding to document list below)</i>	<i>(Include list of documents that may be applicable)</i>
PLAN OF CHANGE MANAGEMENT PROCESS				
2. Which change management approaches have been used in the <u>design</u> of the above reform or initiative? (The 'How' question on design – what did they set out to do?)	2.1 Describe the design or plan for change management in the initiative?	2.1.1 What were the specific objectives of change management within the design of the initiative? Examples of specific objectives Behaviour change to facilitate fuller adoption of new technology (e.g. UMOJA) Empowerment of all staff to increase adoption of new policy Improve communication of new roles and responsibilities Enhance openness and transparency as part of an effort to increase accountability culture in an organization	<p>“WHO AFRO will strive to effectively implement the change management process.” (A.ix)</p> <p>Two of the components of the reform address change management with a focus on how the reform affects people and what management actions to take.</p> <p>Pro-Results Values- foster an organizational culture characterized by the values of excellence, team work, accountability, integrity, equity, innovation and openness (B.v)</p> <ul style="list-style-type: none"> • Strong alignment by senior leadership in the change process; • Greater staff awareness of accountability, ,transparency, ethical behaviour, and producing results • Better staff engagement and ownership leading to a clearer vision of expected results • Improved partner recognition <p>Communications and partnerships - This component seeks to foster a more response and interactive organization internally among staff members and externally with stake holders.</p> <ul style="list-style-type: none"> • Enhanced communications through a regional communications strategy • Reinforced external communications through engagement of strategic regional and global media and stakeholders • Strengthened strategic partnerships for example through the Harmonization for Health in Africa platform and Africa Health Forum <p>(A.2)</p> <p>To change the mind-sets and behaviour to align with the systemic transformation (K) – renewed focus after the mid-term independent evaluation – focus will be placed on pro-results values and putting people at the centre of change</p>	

Review Question	Review Sub-Question	Sub-sub Question	Key Findings	Remarks
<i>(Adapted from overall Review Framework)</i>			<i>(After stating findings Indicate source by letter, corresponding to document list below)</i>	<i>(Include list of documents that may be applicable)</i>
		2.1.2 Did the approach to change management draw from established practices (Kotter, McKinsey, PWC, UNLOCK etc) or not? If so, how?	Delloite's understanding of change management used in the training workshops for the change agents	
		2.1.3 Was a specific plan prepared outlining the change management process(es)? Who prepared this plan – done internally or by an outside company? If external, please state who? What were the elements of the plan?	No documents on planning available.	
	2.2 How did the triggers of the organizational reform or management initiative influence the change management approach?	2.2.1 What effect, if any, did the drivers or triggers of the reform have on the objectives and plan for change management?		
IMPLEMENTATION OF CHANGE MANAGEMENT PROCESS				
3. How have the change management approaches been adopted/ adapted and implemented? (The 'How' question on implementation)	3.1 What was the scope – breadth and depth of the change process?	3.1.1 Was it system-wide, organization, department etc.	The change process has been implemented system-wide within the African Region.	
	3.2 How was the change management process led?	3.2.1 Who led the change management process? Who was the owner/sponsor of the change? What is their position in relation to management?	<p>“Change Agent Network of staff is leading change through four strategic work streams selected for their potential multiplier effects and it is championing the principles of accountability, quality, value-for-money and promoting a healthy workplace.” (B.v)</p> <p>There is a change management team (B.24) “WHO AFRO will strive to implement the change management process effectively while continuing efforts to engage staff in the</p>	

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<i>(Adapted from overall Review Framework)</i>			<i>(After stating findings Indicate source by letter, corresponding to document list below)</i>	<i>(Include list of documents that may be applicable)</i>
			activities of the Transformation Agenda. This will include building staff knowledge and awareness through briefings or training and <u>identifying and supporting change agents and champions at the Regional Office, Inter-country Support Teams and Country Offices</u> . The change agent network established with volunteers from both the Regional Office and 47 country offices is expected to be central in this process. “(A.40)	
			Pro Results Values: “Strong alignment by senior leadership in the change process. Recognizing that change requires ownership and time commitments, WHO AFRO has sought to ensure that leadership acts as one team to guarantee alignment on everything from aspirations and direction to the design and implementation of the Transformation Agenda” (A.vi)	
		3.2.2 Were consultants involved in implementation? If so, in what role?	1. McKinsey conducted the culture survey 2. Deloitte provided trainings to the change agent network	
		3.2.3 What was the size of the team? Where was the CM team located?	1 Change Management Advisor and 2 other staff members. In the process of expanding the team (G)	
		3.2.4 Is there an institutionalized function for change management in the organization or was the function time-bound for this specific initiative? <u>If yes, please include information in question 7 as well.</u>	Yes	
		3.2.5 What mechanisms were put in place to oversee the change management process? Did it include the head of organization, the governing body, just senior	Twice directors meet to take stock of the results of the transformation agenda (E) a. Regional programme management b. Global meeting	

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<i>(Adapted from overall Review Framework)</i>			<i>(After stating findings Indicate source by letter, corresponding to document list below)</i>	<i>(Include list of documents that may be applicable)</i>
		managers, or other? What role was played by each?		
	3.3 How was the change management process structured?	3.3.1 Did the process have a definitive start and end?		
		3.3.2 How long did it last?		
	3.4 How was it implemented?	3.4.1 Describe the implementation process (refer to the plan in 2.1.3)	<p>1. <u>Staff retreats and cluster/country office /IST meetings</u> “appointment of a staff welfare officer and the conduct of staff welfare activities. Staff retreats and cluster/Country Office/IST meetings about the transformation process have been a positive way of actively engaging staff to discuss the changes occurring in their work and to ensure full understanding and participation of staff in the reform process. Furthermore, activities have been held for staff and their families to encourage a sense of organizational unity “ (A.5)</p> <p>2. <u>Regional programme meetings</u> “In the first phase of the Transformation Agenda, a special Regional Programme Meeting was held with senior leadership to engender buy-in, ownership, and joint implementation.” (A.4)</p> <p>3. Selection of change agents (E.)</p> <ul style="list-style-type: none"> - People volunteered (+300 volunteered) - A list of staff that are most influential was created based on the organizational culture survey (As part of the survey the staff was asked to nominate people where most of colleagues go when some work needs to be done i.e. most influential people) - Compared these 2 and then checked with the supervisors for their views. - The group that volunteered but not selected as change agents was also pushed and trained to address resistance <p>4. Training for the change agents</p> <ul style="list-style-type: none"> - What is happening in the transformation agenda - Understanding their role as change agents - Started working on key skills that are critical to drive change, such as 	

Review Question	Review Sub-Question	Sub-sub Question	Key Findings	Remarks
<i>(Adapted from overall Review Framework)</i>			<i>(After stating findings Indicate source by letter, corresponding to document list below)</i>	<i>(Include list of documents that may be applicable)</i>
			<ul style="list-style-type: none"> ○ Dealing with differences in individual personalities ○ How to influence people, given the personality types ○ How to structure brainstorming sessions - Working with them to design <ul style="list-style-type: none"> ○ The change agents helped us to see what the needs are and how they can be addressed ○ Discussed different changes that are implemented in different departments. Example pushing for country focus - functional review – also need to work on behaviors – change agents - solution for behavioral gaps 5. Incentives for the change agents <ul style="list-style-type: none"> - People were interested to be part of the change - People want to see the organization shining – linked to the damage after the reputation ebola crisis – touched all staff - Change was framed more as a movement - Only incentive was training - Gaining new skills in terms of change management. WHO – mostly doctors but complementary skills, made sure that they understand implications of non-technical skills 6. Leadership workshops tailored for (a) senior leaders (b) country representatives (c) directors (H) 7. Deloitte workshops on speaking in public, developing conviction skills and building an elevator pitch (I) 	
		3.4.2 What communication mechanisms were used?	<p>1. Different communication channels</p> <p>“Better staff engagement and ownership leading to a clearer vision of expected results. Sustainable change can only happen if staff at all levels understand, own and take leadership of the process. Staff must be at the centre of change, to continue and deepen the transformation. There has been a broad use of communication channels to engage and inform staff. “(A.vi)</p>	

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<i>(Adapted from overall Review Framework)</i>			<i>(After stating findings Indicate source by letter, corresponding to document list below)</i>	<i>(Include list of documents that may be applicable)</i>
			<p>2. Town hall meetings “Town hall meetings, the intranet, and the Regional Director’s mission reports have been useful for sharing information on the Transformation Agenda and its progress with staff. The Regional Director’s early communications provided a foundation for the restructuring and transformation process.” (A.5)</p> <p>3. Regular briefings and SharePoint “staff have received regular briefings on the work of WHO AFRO. Additionally, a web-based, collaborative platform called SharePoint has increased staff networking by allowing for online knowledge and experience-sharing and support. These have encouraged a more open environment where change can be communicated and discussed.” (A.5)</p> <p>4. For country involvement (F)</p> <ul style="list-style-type: none"> - Communication strategy – head of country offices – values and got feedback on what is required - Paper presented to regional committee of ministers – country leaders and ministers would understand what is going on - Regional directors at every event engaged and communicated the change process 	
		3.4.3 How was the change initially framed and presented to staff?	<p>“Staff were consulted at the beginning of the transformation process and asked to reflect on their contribution to the transformation of the Organization over the next five years. “ (A.5)</p> <p>The change was framed more as a movement (E)</p>	
	3.5 How much reflexive learning took place during the process? Was it evaluated during or after?	3.5.1 What learning and adaptive management processes were put in place during or after the CM process?	Staff survey and consultations with stakeholders and advisors (A.40)	
	4. What have been the resource implications of	4.1 How was the CM budgeted?	4.1.1 What was the source of financing- core resources/XB. Implications.	

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change management?	4.2 What were the major cost elements and actual costs (where available)?	4.2.1 What were the cost elements – financial, human (non-financial), etc? (Actual cost breakdown if possible to estimate)	Design and Delivery of the Leadership and Management Program 2018 – 1060000\$ (K)	
RESULTS OF CHANGE MANAGEMENT PROCESS				
5. What are the results and critical success factors of the change process or approach?	5.1 What were the results of the change process? <i>(Is there evidence of sustainability of these changes? What is the degree to which organization is working differently and people are behaving differently? Degrees of result or proxies around these include cost reduction (staff and non-staff); service levels; reduced risks; behavioural changes; improved collaboration etc.)</i>	5.1.1 What were the <u>short-term</u> outputs? How were they assessed?	81% of staff say they are moderately to actively involved in efforts of transformation agenda. 65% had seen tangible changes in their work. (A.4) Change Management workshops – P6 sitting next to G staff and doctors – engaging and discussing issues on behaviour (E.) Short term - Staff empowered – feeling comfortable putting forward their views – want to continue discussing challenges (E.)	
		5.1.2 What were the <u>intermediate or long</u> outcomes? How were they assessed? Did they bring about the desired transformation? (linked back to objectives in 2.1.1)	1. Improvement in terms of staff and management (F) a. Increase in communication levels b. Town hall meetings have drastically changed, more engagement and pushing everyone in a positive direction c. Staff empowerment, no longer a problem - have a voice 2. In terms of accountability (F) a. Improvement in terms of financial accountability b. KPI's have shown improvement c. Next month – the mid-term review (2018) – can compare to the last review 3. Medium term - Process + change in behaviors will affect the country offices (E) 4. Long term - Results of staff experience survey – proud to work here and their work matters - Survey conducted by McKinsey (E)	
	5.2 How did the process affect the results?	5.2.1 How did the change management results contributed to the reform results or outcomes and in what way? What is the value-add of the structured process, where used?		

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<i>(Adapted from overall Review Framework)</i>			<i>(After stating findings Indicate source by letter, corresponding to document list below)</i>	<i>(Include list of documents that may be applicable)</i>
LESSONS FROM CHANGE MANAGEMENT PROCESS				
6. What lessons can be derived to guide future change management initiatives?	6.1 What are considered critical factors +/-	6.1.1 What do those involved, and those affected considered critical factors in success/ failure of the change management process?	<ul style="list-style-type: none"> - The role of the regional director in communicating the passion to staff was important (E) - Change management team + change agents + cluster directors – but also focus that the change also needs to be at the individual level – we have defined structures but everyone is responsible (F) - Acceptance from staff that change is necessary - Before the design – a wide selection of staff from all levels were bought together to see what needs to be done (F) what's in it for them (G) - Involvement from external teams - independent teams that know how to change (F) - Communicating on what is going on to stop rumours – as soon as possible – remind staff and external partners what the change is about (F) - To get honest feedback to stop making the same mistakes (F) - Understanding and knowing how to deal with different types of behaviours (G) - Conducive environment (G) - Continuous evaluation - just established an evaluation unit a few months ago. Earlier it was done by an HQ team, consultants or other external bodies (G) - Compiling good practices (G) 	
		Are these distinguishable from the reforms behind the change etc.		
	6.2 What positive features identified are transferable or scalable, which are not and why?	6.2.1 What features seem to be key to a successful CM process?		
		6.2.2 How unique are these to the context in which they were implemented?		
		6.2.3 What generalizable lessons can be identified?		
	6.3 What has the organization learnt from this process?	6.3.1 Would the organization run the process the same way again, or do		

Review Question	Review Sub-Question	Sub-sub Question	Key Findings	Remarks
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		things differently? If so, how?		

Change Management Functions in the Organization

If information on organizational level change management initiatives is found while reading through documents, please note details/findings below

Review Question	Review Sub-Question	Additional Description	Key Findings
7. To what extent have change management functions been institutionalized?	7.1 Does the Participating Organization (PO) have a Change Management function – formalized or otherwise?	7.1.1 Is there a team – time-bound or fixed – working on CM across multiple initiatives (i.e. beyond a time-bound change process)?	<ul style="list-style-type: none"> - Have a permanent Change Management Advisor (E.) - In the process of hiring more people and efforts are being made to institutionalize the function. (E.)
	7.2 What are its objectives?	7.2.1 How was it established? When? What is its purpose? How sustainable is it?	<p>Initially (2015-17) not a change management team but realized later that they had missed something - CM team was put in place to develop a CM strategy (F)</p> <ul style="list-style-type: none"> - Realised that they needed a full time person and CM was time consuming - The person needs to manage the processes - Now 3 staff members working towards the transformation - External communication across countries and partners is important - Requires planning, monitoring and implementing - Role includes organizing leadership trainings (H), compiling best practices (G)
	7.3 How is it structured, staffed and funded?	7.3.1 How many staff, and at what grades? Who does it report to? How is it funded and to what levels?	3 staff members

Document Key

Document	Document Title	Document Source
A.	The Transformation Agenda of the WHO in the African Region, 2018	WHO
B.	The Transformation Agenda of WHO Secretariat in the African Region: Phase 2, 2017	WHO
C.	WHO path to culture change: Discussion on WHO transformation and Culture Change action plan	WHO
D.	The Transformation Agenda of WHO Secretariat in the African Region: 2015-2020	WHO
E.	Interview 1 notes	JIU
F.	Interview 2 notes	JIU

G.	Interview 3 notes	JIU
H.	Pathways to leadership for transformation of health in Africa 2018	WHO
I.	AFRO Transformation – Change Workstreams 2018	WHO
J.	Culture Practices in Rwanda WHO Office	WHO
K.	Leadership and Management program 2018	WHO
L.	WHO Transformation Agenda in the Africa Region – concept note for training of Regional-office based change agents	WHO
M.	Change Workshop – Flash report 2018	WHO

49. WHO – Transformation Plan and Architecture 2018-20

Overall comments to the organization	<ul style="list-style-type: none"> • Very comprehensive and clear change management process evident from the documents, correspondence and interviews conducted. • If there is a gap it appears to be around the implementations and results and anticipated results and measurement of expected behavioural changes. • Case is considered complete, but may follow-up on behavioural aspects of the reform in January / February 2019 with respect to the chapter of our study on behavioural factors/insights.
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(Adapted from overall Review Framework)			(After stating findings Indicate source by letter, corresponding to document list below)	(Include list of documents that may be applicable)
REFORM/INITIATIVE OVERVIEW				
<p>1. Details of the organizational reform/initiative</p> <p>(The 'What' question – what the initiative and reasoning behind it was?)</p>	1.1 A brief summary of the reform/initiative.	1.1.1 What is its purpose? What are the objectives?	<p>Vision: WHO that is agile, flexible, and innovative in a rapidly changing global environment</p> <p>GPW13 charts a bold and ambitious new strategy for WHO to deliver on the SDGs. Ensuring the organization is fit for purpose and to fulfil its mission and achieve the targets of the GPW13 require an equally bold transformation of WHO to optimize its impact on people's health at country level.</p> <p>Who is embarking on major transformation to increase its impact at country level and to be fit-for-purpose in the era of the SDGs and a rapidly changing world.</p> <p>Goal: Goal of Transformation process:</p> <ol style="list-style-type: none"> 1. Impact: to make a measurable difference in peoples' health at country level (Strategic shifts) 2. Organizational goal: Successful transformation of WHO: To fundamentally reposition, reconfigure, and re-capacitate the Organization to increase its impact at country level. (organizational shifts) <p>Strategy: Transformational change that will last is built on 8 guiding principles;</p>	

Review Question	Review Sub-Question	Sub-sub Question	Key Findings	Remarks
(Adapted from overall Review Framework)			(After stating findings Indicate source by letter, corresponding to document list below)	(Include list of documents that may be applicable)
			<ol style="list-style-type: none"> 1. Senior leadership must be aligned and seen to be proactively and collectively leading the change efforts 2. A clear destination and expected results for change to avoid loss of focus and dilution. 3. It all starts and ends with staff mind-sets and behaviours – their engagement and ownership are the ‘glue’ of successful and lasting change 4. The transformation must capture and reinforce the full scope of ongoing and previous reform and transformation work at all levels of WHO 5. Headquarters, Regional and Country offices must be ‘in it together’ to improve country impact 6. The entire organization must be committed to a sustained, long-term effort to transform WHO 7. Under-resourcing a reform effort is one of the most common drivers of failures 8. A holistic approach to the transformation must tightly integrate all dimensions of the agenda. <p>Objectives: WHO seeks to ensure that its normative and technical work is of an even higher quality and more sharply focussed on and translate directly into measurable difference in people’s health at country level</p> <p>The plan lays out the destination for change. It describes the integrated transformation process to drive across the 3 levels of the organization, to reach the destination.</p> <ol style="list-style-type: none"> 1, Integrated transformation across the 3 levels 2. Longer term roadmap for transformation <p>Objectives and Success criteria:</p> <ul style="list-style-type: none"> ▪ WHO is an authoritative voice on global health issues. ▪ Country outcomes are at the centre of WHO’s work and the primary measure by which its impact is measured ▪ High performing country offices are working hand in hand with country stakeholders to drive impact 	

Review Question	Review Sub-Question	Sub-sub Question	Key Findings	Remarks
(Adapted from overall Review Framework)			(After stating findings Indicate source by letter, corresponding to document list below)	(Include list of documents that may be applicable)
			<ul style="list-style-type: none"> ▪ Normative and technical work matters ▪ A mobile, well supported workforce, focussed on impact ▪ A transformed partnership, communications and resource mobilization ▪ Relentlessly focused on results <p>It is noted that ...This transformation process is not a one off efforts. Done in the context of a volatile, uncertain and complex world (VUCA)</p> <p>Succeeding in VUCA and making change happen is am imperative. Thus WHO putting a place a longer term capacity to continuously adapt through more agile organizational arrangements and sustainable continuous improvement process (See under Change management section)</p>	
		1.1.2 When did it start? When did it end?	To start: 2018-2020	
		1.1.3 What are the key elements/sub-initiatives?	<p>Key components: Transformation Roadmap- 5 areas of work (or organizational shifts) to deliver on strategic priorities. This requires further developing the organization's culture and design, its core processes, and its approach or external engagement</p> <ol style="list-style-type: none"> 1. Staff Engagement and Organizational Culture {Roles: GPG, Leaders and line manager; Global Change network members}; 2. Strategy Translation Process and WHO Operating Model (Strategic approach and operational plans) {Roles: DPM working group, DDG of Programmes; key managers and staff GPG; Business owners/responsible officers} 3. Fit-For-Purpose WHO Processes and Tools (for management and administration) {DAF working group; ADG/GMG; DDG of corporate operations and other key managers and staff; GPG oversight} 4. New External Engagement and Partnership Model – mobilize predictable resources for WHO and transparency 	

Review Question	Review Sub-Question	Sub-sub Question	Key Findings	Remarks
(Adapted from overall Review Framework)			(After stating findings Indicate source by letter, corresponding to document list below)	(Include list of documents that may be applicable)
			<p>{Roles: Working group on External Relations; ADG/External Relations; staff input ; GPG oversight}</p> <p>5. Coordination of transformation and measuring and monitoring of Results - Setting up and running the transformation process and tracking and coordinating initiatives across the organization</p> <p>{ Role: Global Transformation Team- dedicated full time helping the CPG set strategy and direction and presenting progress to GPG and to organization at large }</p> <p>See: Figure 3 – areas, tasks and timelines See details on Roles and responsibilities including for Global Change Network See also details on implementation plan for each area.</p>	
		1.1.4 When and by whom was it approved?	TBD	
		1.1.5 Was the reform evaluated? What were the achievements, results, and/or outcomes?	<p>New Plan</p> <p>It however build upon findings from three evaluations of WHO reform, from lessons and experiences from past and ongoing reforms e.g. regional reforms, and recent assessments of organizational needs and proposals for new initiatives and other reviews and evaluations by evolution office</p>	
	1.2 What were the underlying factors or drivers behind this reform/initiative? Where distinct or additional to broader drivers of change, what specific events or triggers signalled the start? Each of these will affect the approach, speed, scope, resources and adoption of change management.	1.2.1 What were the drivers? The causes of the initiative, generally an overarching, longer-term shift affecting how the organization operates.	<ul style="list-style-type: none"> ○ 2030 Agenda ○ Limited success from efforts at reform ○ New Director General ○ Evaluation Report – 3rd Stage Evaluation of WHO Reform ○ Visibility of need for new approach and being closer to ground (EBOLA etc.) 	.
		1.2.2 Was there a specific event that acted as a trigger to get it started? It may be internal or external. These might include funding depletion, reputational (fraud, mismanagement) or other.	<ul style="list-style-type: none"> ○ 2030 Agenda ○ Limited success from efforts at reform ○ New Director General ○ Evaluation Report – 3rd Stage Evaluation of WHO Reform ○ Visibility of need for new approach and being closer to ground (EBOLA etc.) 	

Review Question	Review Sub-Question	Sub-sub Question	Key Findings	Remarks
(Adapted from overall Review Framework)			(After stating findings Indicate source by letter, corresponding to document list below)	(Include list of documents that may be applicable)
PLAN OF CHANGE MANAGEMENT PROCESS				
2. Which change management approaches have been used in the <u>design</u> of the above reform or initiative? (The 'How' question on design – what did they set out to do?)	2.1 Describe the design or plan for change management in the initiative?	2.1.1 What were the specific objectives of change management within the design of the initiative?	Culture Shifts: Culture behaviours and mind set shifts <ul style="list-style-type: none">- Alignment towards a shared vision,- Ability to execute on the core mission- Ability to change/adapt to the internal and external environment- Collaboration across silos.- Staff capabilities for work and partnerships- See others under the 8 guiding principles on culture and behaviour changes in the organization Note: Work is planned in 2018 to lead to culture change plan to defined clear set of cultural behavioural and mind set shifts See also under plan for Staff engagement and Cultural Change Changes in leadership behaviours and capabilities: Changes in line management capabilities: Changes in the change teams established:	
		2.1.2 Did the approach to change management draw from established practices (Kotter, McKinsey, PWC, UNLOCK etc) or not? If so, how?	It appears the plan (based on past evidence and lessons) was developed by the Working Group on Initiatives for Change and plans for implementation were developed by its Sub-Groups. It drew extensively from lessons learned See Appendix 1 for Key Risks and Lessons Learnt from Past Reforms	
		2.1.3 Was a specific plan prepared outlining the change management process(es)? Who prepared this plan – done internally or by an outside company? If external, please state who?	Steps in WHO transformation <ul style="list-style-type: none">1. Major cross organizational consultative efforts before start of transformation. This was led by the Working Group on Transformation efforts)2. This led to the establishment of the Working Group on Initiatives for Change (identified flagship initiatives and major enablers)3. Creation of Sub Groups with GPG nominees – representing a broad spectrum of the organizations functions and expertise and levels- to develop prioritized implementation plans	

Review Question	Review Sub-Question	Sub-sub Question	Key Findings	Remarks
(Adapted from overall Review Framework)			(After stating findings Indicate source by letter, corresponding to document list below)	(Include list of documents that may be applicable)
			<p>This led to the development of the 5 areas of the reform</p> <p>4. Bring in external experts to help structure and catalyse the transformation process.</p> <p>Plan includes: Allowing for flexibility and tailoring by the various regions</p> <p>Staff Engagement:</p> <ul style="list-style-type: none"> - Creation of a global change network - Broad based staffing of the Global Transformation Team - Focal Points in the Global Transformation Team at Hqt to connect across organizational levels - Tailored activities to encourage broad participation - Open sharing and communication across all levels 	
	2.2 How did the triggers of the organizational reform or management initiative influence the change management approach?	2.2.1 What effect, if any, did the drivers or triggers of the reform have on the objectives and plan for change management?		
IMPLEMENTATION OF CHANGE MANAGEMENT PROCESS				
3. How have the change management approaches been adopted/ adapted and implemented? (The 'How' question on implementation)	3.1 What was the scope – breadth and depth of the change process?	3.1.1 Was it system-wide, organization, department etc.	It is system-wide – across global and regional and country levels	
	3.2 How was the change management process led?	3.2.1 Who led the change management process? Who was the owner/sponsor of the change? What is their position in relation to management?	<u>Governance Structure</u> See pages 18 and 19 for all parties Director General Regional Directors All teams and structures created for the reform	
		3.2.2 Were consultants involved in implementation? If so, in what role?		

Review Question	Review Sub-Question	Sub-sub Question	Key Findings	Remarks
(Adapted from overall Review Framework)			(After stating findings Indicate source by letter, corresponding to document list below)	(Include list of documents that may be applicable)
		3.2.3 What was the size of the team? Where was the CM team located?	6. Working Group on Transformation efforts 7. Working Group on Initiatives for Change 8. Sub Groups of the working Group for Change 9. Global change network	
		3.2.4 Is there an institutionalized function for change management in the organization or was the function time-bound for this specific initiative?	Yes	
		3.2.5 What mechanisms were put in place to oversee the change management process? Did it include the head of organization, the governing body, just senior managers, or other? What role was played by each?	Primary oversight is by the GPG.	
	3.3 How was the change management process structured?	3.3.1 Did the process have a definitive start and end?	Figure 10 (page 23) indicates a duration from 2018 – 2020 in three phases (that merge into each other) 1. Quick wind and designing 2. Reinforcing and consolidation 3. Evolving – transition to a continuous improvement and strategy office	
		3.3.2 How long did it last?	On going	
	3.4 How was it implemented?	3.4.1 Describe the implementation process (refer to the plan in 2.1.3)	- There is an operational plan for implementation. - Implementation is currently in 2018 at: Phase 1 = Quick wins and designing Phase 2 = Reinforcing and consolidating (in early stages)	
		3.4.2 What communication mechanisms were used?	There was a lot of consultation and communication in the early stages.	
		3.4.3 How was the change initially framed and presented to staff?	The first phase of the reform and extensive consultations and engagement of staff.	

Review Question	Review Sub-Question	Sub-sub Question	Key Findings	Remarks
(Adapted from overall Review Framework)			(After stating findings Indicate source by letter, corresponding to document list below)	(Include list of documents that may be applicable)
	3.5 How much reflexive learning took place during the process? Was it evaluated during or after?	3.5.1 What learning and adaptive management processes were put in place during or after the CM process? (please specify when put in place in relation to the process)	There is a plan for continuous measuring and monitoring	
RESOURCE IMPLICATIONS OF CHANGE MANAGEMENT PROCESS				
4. What have been the resource implications of change management?	4.1 How was the CM budgeted?	4.1.1 What was the source of financing- core resources/XB. Implications.		
	4.2 What were the major cost elements and actual costs (where available)?	4.2.1 What were the cost elements – financial, human (non-financial), etc? (Actual cost breakdown if possible to estimate)		
RESULTS OF CHANGE MANAGEMENT PROCESS				
5. What are the results and critical success factors of the change process or approach?	5.1 What were the results of the change process?	5.1.1 What were the <u>short-term</u> outputs? How were they assessed?		
		5.1.2 What were the <u>intermediate or long</u> outcomes? How were they assessed? Did they bring about the desired transformation? (linked back to objectives in 2.1.1)	<p>The objectives and Success criteria are listed as follows:</p> <ul style="list-style-type: none"> WHO is an authoritative voice on global health issues Country outcomes are at the centre of WHO's work and the primary measure by which its impact is measured High performing country offices are working hand in hand with country stakeholders to drive impact Normative and technical work matters A mobile, well supported workforce, focussed on impact A transformed partnership, communications and resource mobilization Relentlessly focused on results 	
	5.2 How did the process affect the results?	5.2.1 How did the change management results contributed to the reform results or outcomes and in what way?		

Review Question	Review Sub-Question	Sub-sub Question	Key Findings	Remarks
(Adapted from overall Review Framework)			(After stating findings Indicate source by letter, corresponding to document list below)	(Include list of documents that may be applicable)
		What is the value-add of the structured process, where used?		
LESSONS FROM CHANGE MANAGEMENT PROCESS				
6. What lessons can be derived to guide future change management initiatives?	6.1 What are considered critical factors +/-	6.1.1 What do those involved, and those affected considered: (oo) the key factors of success (pp) factors that led to failure and the challenges and constraints to the change management process?	The DG asked staff what do you want send crazy ideas, and tell me what you think needs to be changes, and reached out to the whole organization. Got back 400 ideas and established a change initiative group that engaged with some of the ideas. (B.2)	
	6.2 What positive features identified are transferable or scalable, which are not and why?	6.2.1 How unique are these to the context in which they were implemented?		
		6.2.2 What generalizable lessons can be identified?	address the concerns, mindsets and listen to the staff and lead by that example (B.3)	
	6.3 What has the organization learnt from this process?	6.3.1 Would the organization run the process the same way again, or do things differently? If so, how?		

Change Management Functions in the Organization

If information on organizational level change management initiatives is found while reading through documents, please note details/findings below

Review Question	Review Sub-Question	Additional Description	Key Findings
7. To what extent have change management functions been institutionalized?	7.1 Does the Participating Organization (PO) have a Change Management function – formalized or otherwise?	7.1.1 Is there a team – time-bound or fixed – working on CM across multiple initiatives (i.e. beyond a single time-bound change process)?	<p>Building Internal Capability: This transformation process is not a one off efforts. Done in the context of a <u>Volatile, Uncertain, Complex and Ambiguous world (VUCA)</u></p> <p>Thus WHO putting a place a longer term capacity to continuously adapt through more agile organizational arrangements and sustainable continuous improvement process:</p> <p>On page 23, it is stated that by late 2019 the Global Transformation Team could start to evolve into a continuous improvement and strategy unit to help support the continuous evolution of the organization and to ensure continuous learning and capability building throughout the 2020-2021 biennium and beyond. The TORS for this continuous improvement function will be defined in the second half of 2018 as the transformation progresses</p>
	7.2 What are its objectives?	7.2.1 How was it established? When? What is its purpose? How sustainable is it?	
	7.3 How is it structured, staffed and funded?	7.3.1 How many staff, and at what grades? Who does it report to? How is it funded and to what levels?	

Document Key

Document	Document Title	Document Source
A.	WHO Transformation Plan and Architecture - Delivering on the SDs through WHO's 13 th General Programme of Work (2018)	WHO
B.	WHO Interview 2018	JIU

50. WIPO – Strategic Realignment Program

Overall comments	<ul style="list-style-type: none"> The case summary was completed by JIU and further documents and responses were provided by WIPO. The documents provide substantial information on both the overall reform and the change management processes with documentation on it communication strategy and a core values survey. The case is considered complete, but may follow-up on behavioural aspects of the reform in January / February 2019 with respect to the chapter of our study on behavioural factors/insights.
Themes for consideration in JIU report	<ul style="list-style-type: none"> - Use of the Kotter's model - Elements of a change management plan and its implementation <ul style="list-style-type: none"> o Communication strategy o Benefits realization and measurement

Review Question	Review Sub-Question	Sub-sub Question	Key Findings	Remarks
(Adapted from overall Review Framework)			(After stating findings Indicate source by letter, corresponding to document list below)	(Include list of documents that may be applicable)
REFORM/INITIATIVE OVERVIEW				
1. Details of the organizational reform/initiative (The 'What' question – what the initiative and reasoning behind it was?)	1.1 A brief summary of the reform/initiative	1.1.1 What is its purpose? What are the objectives?	<p><u>Purpose</u> To enhance the Organization's responsiveness, efficiency and capacity to achieve its Strategic goals and provide global leadership on IP issues. (A,4)</p> <p><u>Objectives</u> To promote the Four Core Values of; 1. Service Orientation- increasing WIPO's responsiveness to global stakeholders and ensuring customers are satisfied with WIPO service 2. Working as One- integrated, responsive and efficient entity that is fit for purpose and delivers value for money 3. Accountability for Results- WIPO to take ownership for our performance and achieve results 4. Environmental, Social and Governance Responsibility - perform in an ethical manner and care about our staff, community and the environment (B, 1)</p>	As a general comment, it is noted that the Joint Inspection Unit Review A382 "Review of Management and Administration in the World Intellectual Property Organization" included the SRP. (2014)
		1.1.2 When did it start? When did it end?	Started in 2010 concluded in December 2012 (D,5)	
		1.1.3 What are the key elements/sub-initiatives?	To promote the four core values, there were 19 sub-initiatives of the reform. These are listed in 1.1.5.	
			Each of the 19 initiatives had a team leader and SMT champion.	

Review Question	Review Sub-Question	Sub-sub Question	Key Findings	Remarks
(Adapted from overall Review Framework)			(After stating findings Indicate source by letter, corresponding to document list below)	(Include list of documents that may be applicable)
		1.1.4 When and by whom was it approved?	Approved by member states in 2008 (B,4)	
		1.1.5 Was the reform evaluated? What were the achievements, results, and/or outcomes?	<p>All 19 initiatives of the SRP made significant progress and delivered concrete improvements that clearly contribute to strengthening of our Core Values. (A,10)</p> <p>1. <u>Service Orientation:</u></p> <p>1. Customer interface and experience - Significant improvements can be seen in the perceptions of staff regarding internal service orientation from the Core Values survey data.</p> <p>2. External communications and branding – WIPO publication processes were improved, for example, requiring all requests for new WIPO publications to now go through a Publications Board review process to ensure they are timely and relevant, and meet quality standards. A new level of visible engagement was reached with the local community through some 3,500 visitors received at our headquarters during the first WIPO Open Day. The establishment of WIPO presence in three new social media platforms (Twitter, Flickr and Scribd) increased our social media influence by over 60 per cent.</p> <p>3. Marketing and business development - The initiative delivered a useful, initial marketing and pricing analysis and provided a greater awareness of customer perceptions as a result of the documented feedback from WIPO service users. The project also resulted in closer cooperation between the WIPO services.</p> <p>4. Business continuity - A Business Impact Assessment (BIA) provided a better understanding of WIPO’s critical processes and also serves as a foundation for other subject specific plans, such as IT Service Continuity Management. Staff understanding of business continuity has been improved through an awareness campaign which included all staff training sessions. As a result of this project, WIPO is now better prepared to minimize business disruption</p> <p>B. <u>Working as one</u></p> <p>5. Enterprise Resource Planning (ERP)- Enterprise Resource Planning focused primarily on the planning phase, and brought together many disparate systems into one integrated solution. The initiative to strengthen internal communications has made considerable progress.</p>	

Review Question	Review Sub-Question	Sub-sub Question	Key Findings	Remarks
(Adapted from overall Review Framework)			(After stating findings Indicate source by letter, corresponding to document list below)	(Include list of documents that may be applicable)
			<p>6. ICT framework - Particular benefits have been seen in the area of confidentiality and information control: A high level of staff awareness and sensitivity to external security threats has been achieved as a result of the information security awareness program which has been undertaken.</p> <p>7. Regulatory framework for HR - The WIPO Staff Regulations and Rules (SRR) were comprehensively reviewed to ensure alignment with International Civil Service Commission (ICSC) standards. The new SRR resulted in enhanced benefits for temporary staff, including application of ICSC salary scales, dependency allowances, enhanced maternity and paternity leave and pension provision for temporary professional staff.</p> <p>8. Internal communications - The initiative to strengthen internal communications has made considerable progress. Around 140 staff members attended small workshop sessions to help shape the internal communications recommendations in 2011. A monthly informal “What’s New” program has been established and has proved to be popular; Administration and Management Sector “Question Time” sessions were held with all sectors; thematic briefings were held on selected HR issues and were well received (topics included training, contract reform, and performance management changes); staff briefings following the WIPO Intergovernmental Committee on IP and TK, TCEs and GR (IGC) have been well attended; “start smart” learning modules on administrative procedures have been introduced for new staff. “Quick win” suggestions also implemented include: adding photographs on staff movements circulars; the introduction of new staff at town hall meetings; opening up of the “Tea with the Director General” program and the publishing of town hall agenda. The internal communications initiative has attracted positive comment in the Core Values Survey.</p> <p>9. External offices - This initiative has contributed to the round-the-clock customer service for WIPO, utilizing External Offices to respond to enquiries out of Geneva’s office hours.</p> <p>10. Culture - This initiative focused on enhancing the “Working as one” spirit by engaging with a number of existing projects (“focus projects”) with a view to improving horizontal cooperation; the internal communications SRP initiative contributed to fostering an atmosphere that is aligned with the objectives of this initiative</p> <p>C. <u>Accountability for results</u></p>	

Review Question	Review Sub-Question	Sub-sub Question	Key Findings	Remarks
(Adapted from overall Review Framework)			(After stating findings Indicate source by letter, corresponding to document list below)	(Include list of documents that may be applicable)
			<p>11. Define Medium Term Strategic Plan</p> <p>12. Develop Organizational Design - This initiative aimed to contribute to ensuring that organizational units are equipped to perform effectively. Organizational design is a continuous activity through which the Organization's structure and functions are reviewed and refined as part of the biennial and annual planning cycles to meet evolving needs. Key achievements include the consolidation in 2009 of WIPO's structure into seven sectors that regroups more efficiently related functions and ensures alignment of these with WIPO's Strategic Goals</p> <p>13. Strengthen Results Based Management (RBM)- A holistic, simple-to-understand results-based management system has been developed to ensure that resources are budgeted and utilized in line with Organizational results and priorities. Better coordination of work across the Organization has been achieved, through a first version monitoring and assessment system which includes the ability to view activities by country. Overall a richer results-based performance dialog is now possible internally with staff and managers and externally with Member States and stakeholders.</p> <p>14. Implement Performance Management and Staff Development System (PMSDS) - This has resulted in an increased awareness of WIPO staff with regards to the Expected Results of their Programs (91 per cent) and a high majority of staff believing that their individual objectives relate to those results (89 per cent). The Secretariat can also manage training needs more strategically through better identification of learning priorities and provision of cost-effective cross-sectoral group training initiatives through the extraction of training needs from the system.</p> <p>15. Strengthen internal control system - Through a training program, staff have learnt to identify risks in a more systematic and proactive way, in consideration of the Organizational Expected Results from the Results Framework.</p> <p>16. Strengthen management of financial resources</p> <p><u>D. Environmental, Social and Governance Responsibility</u></p> <p>17. Ethics - Through this initiative over 99 per cent of staff members have attended an interactive (mandatory) half-day ethics training program. Feedback has indicated a very high level of satisfaction with the course, with over 82 per cent (ethics feedback survey) of respondents indicating that it improved awareness of ethical issues.</p>	

Review Question	Review Sub-Question	Sub-sub Question	Key Findings	Remarks
(Adapted from overall Review Framework)			(After stating findings Indicate source by letter, corresponding to document list below)	(Include list of documents that may be applicable)
			18. Impact on the environment 19. Disabled access An independent Core Values staff survey was undertaken at the start of implementation in 2010, midway in 2011 and at the end in 2013. The results of the survey show marked improvement across all four Core Values (E.3)	
	1.2 What were the underlying factors or drivers behind this reform/initiative ? Where distinct or additional to broader drivers of change, what specific events or triggers signalled the start? Each of these will affect the approach, speed, scope, resources and adoption of change management.	1.2.1 What were the drivers? The causes of the initiative, generally an overarching, longer-term shift affecting how the organization operates.	1. JIU recommended a desk-to-desk assessment of human and financial resources needs in 2005 (document JIU/REP/2005/1) (H.2) 2. Desk-to-desk assessment undertaken by PwC in 2007. Key recommendation to conduct an integrated 3-5 year program for Organizational Improvement (WO/GA/34/12) (H.2) 3. GA decision (WO/GA/34/16) of 2007 to approve the recommendation of the Audit Committee for: (H.2) a. a comprehensive integrated program for Organizational Improvement b. a road map to be prepared by the Secretariat 4. Election of a new DG in 2008 (H.4) 5. The pace of technological evolution and the shift in the geographic landscape of innovation (D.4)	
		1.2.2 Was there a specific event that acted as a trigger to get it started? It may be internal or external. These might include funding depletion, reputational (fraud, mismanagement) or other.	The principal trigger was the new DG's taking up office in October 2008 when he announced the SRP. The SMT was formed late 2009, and planning began in 2010. (I.2)	
PLAN OF CHANGE MANAGEMENT PROCESS				
2. Which change management approaches	2.1 Describe the design or plan for change	2.1.1 What were the specific objectives of change management	There was no clear set of objectives outlined for the change management processes. However, there was a results framework used for the overall reform and objectives were set for each of the 19 initiatives. Some of them could be identified as change management objectives and are listed below: 1. Stakeholder satisfaction (D.13)	

Review Question	Review Sub-Question	Sub-sub Question	Key Findings	Remarks
(Adapted from overall Review Framework)			(After stating findings Indicate source by letter, corresponding to document list below)	(Include list of documents that may be applicable)
<p>have been used in the <u>design</u> of the above reform or initiative?</p> <p>(The 'How' question on design – what did they set out to do?)</p>	management in the initiative?	<p>within the design of the initiative?</p> <p>-</p>	<ol style="list-style-type: none"> 2. Improve internal communication – initiatives designed to bridge gaps, break down silos, create feedback opportunities and encourage more informal sharing of communication (D.17) 3. Encourage horizontal cooperation – across sectors and department (D.19) 4. Identification with core values (D.19) 5. Cultivate a 'risk culture' – where discussing risks is the most effective way to get to the heart of the matter (D.23) 	
		<p>2.1.2 Did the approach to change management draw from established practices (Kotter, McKinsey, PWC, UNLOCK etc) or not? If so, how?</p>	<p>The SRP was informed by the Kotter 8 step CM model in addition to assistance provided by Dalberg Consultants:</p> <ol style="list-style-type: none"> 1. Urgency: Director General used his election as the catalyst for this change. 2. Guiding coalition: Each of the 19 initiatives was led by a senior staff member and championed by a Senior Management Team member. In the case of risk management, it was the CFO and the DG. 3. Vision: SRP was developed with Dalberg consultants. 4. Communicating the vision: for the SRP was undertaken by the Program Management Office for the SRP. 5. Empowering employees: Surveys and calls for working groups provided willing employees to participate in the change process. 6. Quick wins: Risks were included in the Program and Budget document to communicate with Member States as one example of a quick win. 7. Initiatives producing results were taken further. 8. Anchoring new approaches: At the end of the SRP, a phase of continuous improvement. (G), (D. 1) <p>Additionally, it was assisted by Dalberg (H1) (L.2)</p>	
		<p>2.1.3 Was a specific plan prepared outlining the change management process(es)?</p> <p>Who prepared this plan – done internally or by an outside company? If</p>	<p>There was a plan in place for the complete WIPO SRP and each of the initiatives. The plan was managed internally, with Dalberg providing assistance and guidance. Some Change Management elements were part of it. There is no specific CM plan provided in the documentation. The following elements were identified from the overall plan:</p> <ol style="list-style-type: none"> 1. Readiness Assessment and Diagnosis <ol style="list-style-type: none"> a. A clear vision and plan are elaborated 	

Review Question	Review Sub-Question	Sub-sub Question	Key Findings	Remarks
(Adapted from overall Review Framework)			(After stating findings Indicate source by letter, corresponding to document list below)	(Include list of documents that may be applicable)
		external, please state who?	<ul style="list-style-type: none"> b. A conceptual design for the ERP is defined c. RBM Coaching and Training programs are provided d. PMSDS Phase 2 performance plans are elaborated and objectives are set e. PMSDS Phase 3 Staff are evaluated against previously defined set objectives (D.1) <p>2. Communications strategy and/or plan</p> <ul style="list-style-type: none"> a. Branding and communication are reviewed and developed b. Define information and communications channels for internal controls c. Ethics and integrity system are communicated. <p>3. Engagement strategy and/or plan</p> <ul style="list-style-type: none"> a. Open staff discussion process is planned and implemented to identify weaknesses and solicit suggestions for improvements <p>4. Training strategy and/or plan</p> <ul style="list-style-type: none"> a. Training needs are identified b. Staff training on ethics. c. The required set of soft skills trainings, customer service policies and standards, and feedback schemes are established <p>5. Benefits realization and measurement</p> <ul style="list-style-type: none"> a. SRP results framework developed <p>(F)</p>	
	2.2 How did the triggers of the organizational reform or management initiative influence the change management approach?	2.2.1 What effect, if any, did the drivers or triggers of the reform have on the objectives and plan for change management?	The triggers for change came from the DG's vision. An example of how this influenced change management is the emphasis he placed on improving customer service throughout the organization. This resulted in widespread training on "soft skills" to embed an attitude of service orientation among staff.	
IMPLEMENTATION OF CHANGE MANAGEMENT PROCESS				
3. How have the change management	3.1 What was the scope – breadth and	3.1.1 Was it system-wide, organization, department etc.	Organisation wide (D1)	

Review Question	Review Sub-Question	Sub-sub Question	Key Findings	Remarks
(Adapted from overall Review Framework)			(After stating findings Indicate source by letter, corresponding to document list below)	(Include list of documents that may be applicable)
approaches been adopted/ adapted and implemented? (The 'How' question on implementation)	depth of the change process?			
	3.2 How was the change management process led?	3.2.1 Who led the change management process? Who was the owner/sponsor of the change? What is their position in relation to management?	<ul style="list-style-type: none"> Francis Gurry, Director General, 2012 (D,5). Project Leaders and Senior Management Team (SMT) Champions (G) SRP Program Management Office (PMO) (G) 	
		3.2.2 Were consultants involved in implementation? If so, in what role?	<p>Dalberg helped structure the SRP in 2010, working with WIPO Staff to create a set of initiatives under four core values. Dalberg also analysed the core values' survey each year for three years, (December 2010, 2011 and 2012) to provide impartiality to the process. Dalberg were separately hired to facilitate part of the internal communications initiative (8) where staff worked in workshops to come up with different ways to communicate up, down and sideways.</p> <p>PwC were not involved in the SRP after the initial desk-to-desk assessment.</p> <p>Training companies, such as Cegos delivered training for Service Orientation.</p> <p>Consultants from a company called gen.a delivered a corporate branding and external communications strategy as part of the SRP.</p> <p>Sage Consultants undertook and delivered WIPO business development proposals as part of SRP.</p> <p>Various companies contributed to the visioning phase of the ERP scoping project, such as PwC, which formed part of the SRP.</p> <p>Training company Learning Tree delivered training for ICT as part of the SRP.</p> <p>Consultants from Acons Governance and Audit undertook over 100 days of consultancy strengthening internal controls as part of the SRP initiative for Risk Management</p>	

Review Question	Review Sub-Question	Sub-sub Question	Key Findings	Remarks
(Adapted from overall Review Framework)			(After stating findings Indicate source by letter, corresponding to document list below)	(Include list of documents that may be applicable)
			Consultants from QED delivered face-to-face training for all staff on Ethics. Independent consultants worked on projects for numerous initiatives including Business Continuity, Financial management, Impact on the environment, Disabled access.	
		3.2.3 What was the size of the team? Where was the CM team located?	<p>There seems to be no specific CM team. The PMO and Project Leaders were key to facilitation and implementation of change management process supported by the external consultants. The PMO was established as part of the Division mandated to strengthen Results Based Management and Resource Planning. The Director of the Division, under the supervision of the A&M ADG, oversaw the PMO which comprised one internal staff member and external consultants</p> <p>The following structure was in place for the implementation of the SRP:</p> <ol style="list-style-type: none"> 1. <u>Project Leaders</u>: The role of the Project Leaders was to plan and execute the initiatives in accordance with the estimated timelines, measure and report progress, identify and escalate issues hindering progress and coordinate with other Project Leaders where there are interrelationships with other initiatives. 2. <u>Senior Management Team Champions</u> provide leadership and strategic guidance to the respective Project Leaders and contribute to resolve issues related to initiatives' interdependencies and conflicts. 3. <u>The Program Management Office</u> supports Project Leaders and Senior Management Team Champions with managing and leading initiatives, ensuring that the governance and management mechanisms are established and working properly and by facilitating reporting to the WIPO Independent Advisory Oversight Committee (IOAC) and Member States. (B,1) 	
		3.2.4 Is there an institutionalized function for change management in the organization or was the function time-bound for this specific initiative?	The SRP PMO was time bound and was dissolved in 2013. Projects sometimes contain change managers.	
		3.2.5 What mechanisms were put in place to oversee the change management process?	<ol style="list-style-type: none"> 1. A dedicated Program Management Office monitors progress and provides coordination between initiatives; 2. A staff survey is undertaken each year by external consultants to measure progress and garner feedback; 	

Review Question	Review Sub-Question	Sub-sub Question	Key Findings	Remarks
(Adapted from overall Review Framework)			(After stating findings Indicate source by letter, corresponding to document list below)	(Include list of documents that may be applicable)
		Did it include the head of organization, the governing body, just senior managers, or other? What role was played by each?	3. Program update provided by Secretariat to Member States in May 2011; 4. SRP results framework measures progress annually towards each Value, linking to other WIPO measurement systems (H.8) the IAOC and member states were reported to on the progress of the SRP and assisted to oversee the change management process. In addition to The Director General provided overall leadership for the change management process.	
	3.3 How was the change management process structured?	3.3.1 Did the process have a definitive start and end?	Yes, started in 2010 concluded in December 2012, coinciding with the reform. (D,5)	
		3.3.2 How long did it last?	2 years	
	3.4 How was it implemented?	3.4.1 Describe the implementation process (refer to the plan in 2.1.3)	1. Training – Service orientation training was provided by Cegos to large group of staff. Project management training was provided externally as part of the ICT initiative (6) specifically for PRINCE2. Additionally, a 2 day training program was developed in house with some external support for staff on project management in the context of RBM 2. Communication – a. Staff met in ten cross-sectoral groups to improve internal communications resulting in 14 practical actions and initiatives designed to bridge gaps, break down silos, create feedback opportunities and encourage more informal sharing of information. b. Horizontal communication: monthly staff-led “What’s New” sessions; informal inter-staff briefings after every committee meeting c. Vertical communication: Tea with the DG and other SMT initiatives to bridge the gap; regular HR information sessions. “Learning at WIPO” presentations d. External communication: New WIPO social media presences on Twitter, Facebook, Flickr and Scribd. e. What the staff say consultations 3. Benefits realization and measurement - a. A staff survey is undertaken each year by external consultants to measure progress and garner feedback (H.8) b. Core Value survey	

Review Question	Review Sub-Question	Sub-sub Question	Key Findings	Remarks
(Adapted from overall Review Framework)			(After stating findings Indicate source by letter, corresponding to document list below)	(Include list of documents that may be applicable)
		3.4.2 What communication mechanisms were used?	<p>1. Briefings to member states (E.1)</p> <p>2. Staff members informed through presentation at town hall meeting and printed materials (E.2)</p> <p>3. External communication – WIPO interned sites, group visits, press releases and presentations (E.2)</p> <p>4. Formal publications – SRP roadmap 2010 and the final brochure (E.2)</p> <p>5. The Director General held specific meetings with Ambassadors to discuss progress. (M)</p> <p>Other communication mechanisms;</p> <p>Empowering employees: Surveys and calls for working groups provided willing employees to participate in the change process.</p> <p>Quick wins: Risks were included in the Program and Budget document to communicate with Member States as one example of a quick win (G)</p>	
		3.4.3 How was the change initially framed and presented to staff?	The SRP was framed in term of the Four Core Values for the staff through the Director General's message	
	3.5 How much reflexive learning took place during the process? Was it evaluated during or after?	3.5.1 What learning and adaptive management processes were put in place during or after the CM process? (please specify when put in place in relation to the process)	<p>1. A staff survey is undertaken each year by external consultants to measure progress and garner feedback (H)</p> <p>Example of risk mitigation based on staff survey results: By the end of 2012, Staff identification with WIPO's Core Values is less than anticipated.</p> <p>Continue to organize staff engagement events and promote the 4 values. (H.11)</p> <p>2. The results framework comprised Value outcomes, indicators, baselines and targets and will be the basis for reporting progress. A Core Values survey was conducted to assess staff perception of the Core Values. The results are used, in part to set baselines for the relevant indicators and also to prioritize activities and scope of relevant projects and initiatives. (B,1) (B,2)</p> <p>The Results Framework tracked the benefits realization. There was not a separate evaluation plan for the change management elements. (n)</p>	

Review Question	Review Sub-Question	Sub-sub Question	Key Findings	Remarks
(Adapted from overall Review Framework)			(After stating findings Indicate source by letter, corresponding to document list below)	(Include list of documents that may be applicable)
RESOURCE IMPLICATIONS OF CHANGE MANAGEMENT PROCESS				
4. What have been the resource implications of change management?	4.1 How was the CM budgeted?	4.1.1 What was the source of financing- core resources/XB. Implications.	Regular budget. One part – the ERP visioning was funded separately from Reserves.	
	4.2 What were the major cost elements and actual costs (where available)?	4.2.1 What were the cost elements – financial, human (non-financial), etc? (Actual cost breakdown if possible to estimate)	<p>The total resources required for the SRP included (i) time dedicated by WIPO's staff to SRP-related activities and initiatives; and (ii) financial resources needed for commercial services, systems and temporary personnel for select initiatives.</p> <p>The first category of resources, time dedicated by WIPO staff, was part of their day-to-day responsibilities within the Organization. This work was therefore budgeted in the Program and Budget (P&B) and the work plans.</p> <p>For the second category of resources in the 2010/11 biennium, approximately 1.55 million Swiss francs was allocated and approximately 1.42 million Swiss francs was actually spent.</p> <p>For the second category of resources in the 2012/13 biennium, the total funds allocated to SRP initiatives amounts to one million Swiss francs which is expected to be fully utilized.</p> <p>(E.8)</p> <p>Change management components were not budgeted separately. However, it is important to note that the entire program was targeted at bringing out change across the Organization and along multiple dimensions. The DG, SMT Champions, Project Leaders, the PMO and a wide cross section of staff were engaged throughout the process in change management activities.</p>	
RESULTS OF CHANGE MANAGEMENT PROCESS				
5. What are the results and critical success factors of the change process or approach?	5.1 What were the results of the change process? (Is there evidence of	5.1.1 What were the <u>short-term</u> outputs? How were they assessed? Examples of outputs (effective implementation of CM processes)	<p>1. Results of the core values staff survey - An independent Core Values staff survey was undertaken at the start of implementation in 2010, midway in 2011 and at the end in 2013. The results of the survey show marked improvement across all four Core Values (E.3) – <i>See document for specific quotes from surveys.</i></p> <p>a. 82% of survey respondents said that the “What’s New” program has made a positive difference to internal communications. Similar</p>	

Review Question	Review Sub-Question	Sub-sub Question	Key Findings	Remarks
(Adapted from overall Review Framework)			(After stating findings Indicate source by letter, corresponding to document list below)	(Include list of documents that may be applicable)
	sustainability of these changes? What is the degree to which organization is working differently and people are behaving differently? Degrees of result or proxies around these include cost reduction (staff and non-staff); service levels; reduced risks; behavioural changes; improved collaboration etc.)	<ul style="list-style-type: none"> - Implementation of standards and practices - Staff being able to apply new work practices - Reduced time spent on processes (efficiency measure) 	<p>responses were observed across surveys, for the “Learning at WIPO” program and HR information sessions (D.18)</p> <p>b. Better understanding of internal communications needs after group consultations with over 130 Staff (B.10)</p> <p>2. Staff understanding of business continuity has been improved through an awareness campaign which included all staff training sessions. As a result of this project, WIPO is now better prepared to minimize business disruption (E)</p> <p>3. Service Orientation training – staff understood better how to communicate. A service charter was developed.</p> <p>4. Project Management training – improved level of project management in the organization.</p> <p>5. Internal communications What the Staff Say Consultation.</p> <p>Most of these proposals were taken forward.</p>	
		<p>5.1.2 What were the <u>intermediate or long</u> outcomes? How were they assessed? Did they bring about the desired transformation? (linked back to objectives in 2.1.1)</p> <p>-</p>	<p>Each of these contributed to the Core Values:</p> <p>(a) Service orientation – we increase our responsiveness to global stakeholders and our customers are satisfied with our services;</p> <p>(b) Working as one – we work as an integrated, responsive and efficient entity that is fit for purpose and delivers value for money;</p> <p>(c) Accountability for results – we take ownership for our performance and achieve results;</p> <p>(d) Environmental, social and governance responsibility – we perform in an ethical manner and care about our staff, community and the environment</p>	
	5.2 How did the process affect the results?	<p>5.2.1 How did the change management results contributed to the reform results or outcomes and in what way?</p> <p>What is the value-add of the structured process, where used?</p>		

Review Question	Review Sub-Question	Sub-sub Question	Key Findings	Remarks
(Adapted from overall Review Framework)			(After stating findings Indicate source by letter, corresponding to document list below)	(Include list of documents that may be applicable)
LESSONS FROM CHANGE MANAGEMENT PROCESS				
6. What lessons can be derived to guide future change management initiatives?	6.1 What are considered critical factors +/-	6.1.1 What do those involved, and those affected considered: (qq) the key factors of success (rr) factors that led to failure and the challenges and constraints to the change management process?	There is not a documented lessons learned; <ul style="list-style-type: none"> • Success factors that worked were: • Being led by the Director General and having SMT sponsorship for each initiative. • Involving a wide cross section of staff early and giving them a say in the process, i.e. being inclusive and open to adjusting initial plans. • Having clear goals and firm timelines. • Communicating with Member States about objectives and progress. • Running as an integrated Portfolio, and managing the interdependencies, project management excellence and communications through a PMO. Challenges included: <ul style="list-style-type: none"> • Demonstrating to staff the benefits to them of the new business processes. • Getting started, given the long lead time on procurement processes (e.g. for consultants). 	
	6.2 What positive features identified are transferable or scalable, which are not and why?	6.2.1 How unique are these to the context in which they were implemented?	Lessons above are all transferable or scalable.	
		6.2.2 What generalizable lessons can be identified?	Lessons above are all transferable or scalable.	
	6.3 What has the organization learnt from this process?	6.3.1 Would the organization run the process the same way again, or do things differently? If so, how?	That would be subjective. We would certainly learn from what worked and those elements that were more challenging.	

Change Management Functions in the Organization

If information on organizational level change management initiatives is found while reading through documents, please note details/findings below

Review Question	Review Sub-Question	Additional Description	Key Findings
7. To what extent have change management functions been institutionalized?	7.1 Does the Participating Organization (PO) have a Change Management function – formalized or otherwise?	7.1.1 Is there a team – time-bound or fixed – working on CM across multiple initiatives (i.e. beyond a single time-bound change process)?	Most Projects in WIPO are Business-led Projects. Managing business change is an integral part of the Business Manager's role. There are independent change managers on two projects currently, but they are not a function. WIPO has an IT PMO, which manages some change management processes for IT projects.
	7.2 What are its objectives?	7.2.1 How was it established? When? What is its purpose? How sustainable is it?	
	7.3 How is it structured, staffed and funded?	7.3.1 How many staff, and at what grades? Who does it report to? How is it funded and to what levels?	

Document Key

Document	Document Title	Document Source
A.	WIPO.03.2013 Core Value Summary	WIPO Provided
B.	WIPO.03.2011 Strategic Realignment Program Progress Report 2011	WIPO Provided
C.	WIPO.03.2012 Strategic Realignment Program Brochure 2012 Edition	WIPO Provided
D.	WIPO.03.2013 Strategic Realignment Program Brochure 2013 Edition	WIPO Provided
E.	WIPO.09.2013 Final Report On The Implementation of the WIPO Strategic Realignment Program	WIPO Provided
F.	WIPO.04.2011 Strategic Realignment Program Roadmap 2011	WIPO Provided
G.	WIPO.14.09.2018 WIPO Response Email, Narayanaswamy, Chitra	WIPO Provided
H.	WIPO.09.2011 WIPO Strategic Realignment Program Progress Report PowerPoint	WIPO Provided
I.	WIPO. 11. 2010 Progress Report	WIPO Provided
J.	WIPO. 12. 2012 Results Framework	WIPO Provided
K.	WIPO. 05. 2012. SRP report to IAOC	WIPO Provided
L.	WIPO.2012 Communications Plan	WIPO Provided
M.	WIPO. 05.2011 Note 11 PBC Presentation	WIPO Provided
N.	WIPO. 05.2013 SRP Report on Survey Analysis	WIPO Provided

51. WIPO – Enterprise Risk Management

Overall comments	<ul style="list-style-type: none"> The case summary was completed by JIU and further information and documentation was provided by WIPO The documents provided good information on the results of the initiative through various documents provided and the audit is particularly helpful. From the information, there does not appear to have been a comprehensive change management process, but facets or change activities were found. These included a communication and training strategy geared towards changing the culture in the organization. The case is considered complete, we may follow-up on any remaining issues in January 2019.
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Review Question	Review Sub-Question	Sub-sub Question	Key Findings	Remarks
<i>(Adapted from overall Review Framework)</i>			<i>(After stating findings Indicate source by letter, corresponding to document list below)</i>	<i>(Include list of documents that may be applicable)</i>
REFORM/INITIATIVE OVERVIEW				
1. Details of the organizational reform/initiative (The 'What' question – what the initiative and reasoning behind it was?)	1.1 A brief summary of the reform/initiative.	1.1.1 What is its purpose? What are the objectives?	Comprehensive development and implementation of an enterprise risk management (ERM) policy and strategy.	
		1.1.2 When did it start? When did it end?	2012-17 In 2010, the Strategic Realignment Plan (SRP) laid the foundation for a ERM. A Risk Management and Internal Controls Board was formed in 2012 and was replaced by a Risk Management Group in 2014 and an initial policy was established in 2014. In 2016, ERM was audited and the policy was updated at the end of 2017. The initiative formally began in 2012, with much of the substantive activity occurring in 2014, and subsequent revisions of the policy in 2017 based on an audit in 2016. The first draft Policy on Risk Management was developed as part of the SRP (first stage of ERM implementation) in 2012. It was revised heavily and issued in 2014. It was revised again in 2017.	
		1.1.3 What are the key elements/sub-initiatives?	<ul style="list-style-type: none"> Creation of Accountability Framework, which outlined risk management in one of the pillars. Creation of an initial policy and a subsequent updated policy Creation and endorsement of a risk appetite. Staff training and user manuals were developed and revised throughout the initiative to guide staff. Implementation of an ERM system. Institutionalization of risk management into planning cycle 	

Review Question	Review Sub-Question	Sub-sub Question	Key Findings	Remarks
(Adapted from overall Review Framework)			(After stating findings Indicate source by letter, corresponding to document list below)	(Include list of documents that may be applicable)
		1.1.4 When and by whom was it approved?	The Director General approved the “Strengthen Risk Management and Internal Control” initiative in 2011.	
		1.1.5 Was the reform evaluated? What were the achievements, results, and/or outcomes?	In December 2016, the Internal Oversight Division conducted an audit of WIPO’s ERM, which included four recommendations. The first recommendation was to update the ERM policy, which was updated at the end of 2017. Other recommendations from the audit were subsequently addressed in 2018.	.
	1.2 What were the underlying factors or drivers behind this reform/initiative? Where distinct or additional to broader drivers of change, what specific events or triggers signalled the start? Each of these will affect the approach, speed, scope, resources and adoption of change management. They can be both expected or unexpected.	1.2.1 What were the drivers? The causes of the initiative, generally an overarching, longer-term shift affecting how the organization operates.	ERM was a part of the larger Strategic Realignment Program (SRP) and a main driver as well as a desire by management to strengthen the internal controls system.	.
		1.2.2 Was there a specific event that acted as a trigger to get it started? It may be internal or external. These might include funding depletion, reputational (fraud, mismanagement) or other.	The SRP was the primary driver and trigger.	
PLAN OF CHANGE MANAGEMENT PROCESS				
2. Which change management approaches have been used in the <u>design</u> of the above reform or initiative?	2.1 Describe the design or plan for change management in the initiative?	2.1.1 What were the specific objectives of change management within the design of the initiative?	The objectives were to: - Identify, prevent and mitigate key risks to operations and assets - Improved compliance with policies and procedures - To ensure WIPO has a comprehensive internal control system	
		2.1.2 Did the approach to change management draw from established practices (Kotter, McKinsey, PWC,	Not directly according to WIPO. Change management was a consideration in all steps of project implementation, not a separate stream as such.	

Review Question	Review Sub-Question	Sub-sub Question	Key Findings	Remarks
<i>(Adapted from overall Review Framework)</i>			<i>(After stating findings Indicate source by letter, corresponding to document list below)</i>	<i>(Include list of documents that may be applicable)</i>
(The 'How' question on design – what did they set out to do?)		UNLOCK etc) or not? If so, how?	Specific elements that focused on change management included broad based consultations, broad training program, senior management sponsorship and oversight, clear linkage of risk management to results based management and achievement of results (operational focus), phased implementation.	
		2.1.3 Was a specific plan prepared outlining the change management process(es)? Who prepared this plan – done internally or by an outside company? If external, please state who?	This initiative grew out of the SRP. A Risk Management Controls Board was established in 2012 to carry out internal supervision of the “Strengthen Risk Management and Internal Controls project.” The Board was replaced in 2014 by Risk Management Group (RMG) in 2014. The RMG oversaw the development the policy, training and implementation of the risk management initiative.	
	2.2 How did the triggers of the organizational reform or management initiative influence the change management approach?	2.2.1 What effect, if any, did the drivers or triggers of the reform have on the objectives and plan for change management?	The SRP Risk Management initiative was managed as an integral part of other organizational change projects.	
IMPLEMENTATION OF CHANGE MANAGEMENT PROCESS				
3. How have the change management approaches been adopted/ adapted and implemented? (The 'How' question on implementation)	3.1 What was the scope – breadth and depth of the change process?	3.1.1 Was it system-wide, organization, department etc.	This was an organization-wide process.	
	3.2 How was the change management process led?	3.2.1 Who led the change management process? Who was the owner/sponsor of the change? What is their position in relation to management?	The Risk Management Group was responsible for the policy implementation. The Risk Management Group led the process for policy development and is chaired by DG and includes ADG for Administration and Management, Chief of Staff, Controller, Chief Economist, Senior Director-PCT Operations Division, Director of Madrid Registry, Director of HRMD and Chief Security Officer. The policy was approved by the DG.	
		3.2.2 Were consultants involved in implementation? If so, in what role?	An RFP was issued for consultants to assist with developing the Risk Management Framework. A second RFP was issued for expert assistance implementing the ERM system.	

Review Question	Review Sub-Question	Sub-sub Question	Key Findings	Remarks
<i>(Adapted from overall Review Framework)</i>			<i>(After stating findings Indicate source by letter, corresponding to document list below)</i>	<i>(Include list of documents that may be applicable)</i>
		3.2.3 What was the size of the team? Where was the CM team located?	Change Management was led by the Project Leader, supported by consultants as required.	
		3.2.4 Is there an institutionalized function for change management in the organization or was the function time-bound for this specific initiative? <u>If yes, please include information in question 7 as well.</u>	No	
		3.2.5 What mechanisms were put in place to oversee the change management process? Did it include the head of organization, the governing body, just senior managers, or other? What role was played by each?	The legislative body endorsed an Accountability Framework in 2014. The Risk Appetite Statement was taken note of by member states in 2014. The RMG was chaired by DG and the policy was approved by DG in 2014 as was the updated version in 2017. The RMG and its earlier board equivalent oversaw the change management process.	
	3.3 How was the change management process structured?	3.3.1 Did the process have a definitive start and end?	The change management process was mapped out as a multi-biennia plan on the Risk Management roadmap, ending according to the roadmap in 2017.	
		3.3.2 How long did it last?	The Roadmap outlined the process starting ‘formally’ in 2012 and fully implemented in 2017.	
	3.4 How was it implemented?	3.4.1 Describe the implementation process (refer to the plan in 2.1.3)	The Risk Management Roadmap from February 2017 outlines the steps for implementing the full ERM. The process started in 2008/9 (phase 1) as informal, then to phase 2 Active (2010/11), then to Formalized phase 3 (2012/13), then ‘erm’ in phase 4 (2014/15) and full implementation in phase 5 with “ERM” (2016/17). The Roadmap identifies key characteristics in each phase, such as coordination levels, building on lessons learned, a risk-aware culture, and finally a proactive risk management culture.	

Review Question	Review Sub-Question	Sub-sub Question	Key Findings	Remarks
<i>(Adapted from overall Review Framework)</i>			<i>(After stating findings Indicate source by letter, corresponding to document list below)</i>	<i>(Include list of documents that may be applicable)</i>
		3.4.2 What communication mechanisms were used?	Emails to staff, manuals and training modules.	
		3.4.3 How was the change initially framed and presented to staff?	Based on limited communication examples (emails), as a solution to a frustrating problem. Training is comprehensive and framed as compliance.	
	3.5 How much reflexive learning took place during the process? Was it evaluated during or after?	3.5.1 What learning and adaptive management processes were put in place during or after the CM process? (please specify when put in place in relation to the process)	The Risk Management Roadmap identified where the organization was in various stages of the development of the ERM – from reactive to proactive maturity.	
RESOURCE IMPLICATIONS OF CHANGE MANAGEMENT PROCESS				
4. What have been the resource implications of change management?	4.1 How was the CM budgeted?	4.1.1 What was the source of financing- core resources/XB. Implications.	Regular budget. Main cost elements: - Risk consultants CHF 344,500 - ERM software and implementation ~ CHF 90,000	
	4.2 What were the major cost elements and actual costs (where available)?	4.2.1 What were the cost elements – financial, human (non-financial), etc?		
RESULTS OF CHANGE MANAGEMENT PROCESS				
5. What are the results and critical success factors of the change process or approach?	5.1 What were the results of the change process?	5.1.1 What were the <u>short-term</u> outputs? How were they assessed? -	Full implementation of an enterprise risk management strategy, which included: - Risk Management policy (updated in 2017) - A risk management platform (Acuity STREAM) - Manual for implementation - Training modules	
		5.1.2 What were the <u>intermediate or long</u> outcomes? How were they assessed? Did they bring about the desired transformation? (linked back to objectives in 2.1.1)	Promotion of a culture of responsible and effective financial and risk management. An audit was conducted in 2016 on governance, implementation and internal linkages of ERM. The audit, in summary, pointed out significant achievements of the initiative and recommended policy updates and further improvements. Strengthened, more robust system of internal control. Greater organizational assurance.	

Review Question	Review Sub-Question	Sub-sub Question	Key Findings	Remarks
<i>(Adapted from overall Review Framework)</i>			<i>(After stating findings Indicate source by letter, corresponding to document list below)</i>	<i>(Include list of documents that may be applicable)</i>
	5.2 How did the process affect the results?	5.2.1 How did the change management results contributed to the reform results or outcomes and in what way? What is the value-add of the structured process, where used?	WIPO notes: It was important to always consider the people side of change. When implementing new processes, we took time to also establish a network of subject matter experts in each sector.	
LESSONS FROM CHANGE MANAGEMENT PROCESS				
6. What lessons can be derived to guide future change management initiatives?	6.1 What are considered critical factors +/-	6.1.1 What do those involved, and those affected considered: (ss) the key factors of success (tt) factors that led to failure and the challenges and constraints to the change management process?	a) Involving staff in the process. Allowing time for the change to be challenged and absorbed. Providing hands-on advice and guidance. Embedding the risk processes in existing processes (i.e. planning) Providing easy access to data through Business intelligence. b) Without ongoing encouragement and guidance, risks and responses can become static.	
	6.2 What positive features identified are transferable or scalable, which are not and why?	6.2.1 How unique are these to the context in which they were implemented?		
		6.2.2 What generalizable lessons can be identified?		
	6.3 What has the organization learnt from this process?	6.3.1 Would the organization run the process the same way again, or do things differently? If so, how?		

Change Management Functions in the Organization

Review Question	Review Sub-Question	Additional Description	Key Findings
7. To what extent have change management functions been institutionalized?	7.1 Does the Participating Organization (PO) have a Change Management function – formalized or otherwise?	7.1.1 Is there a team – time-bound or fixed – working on CM across multiple initiatives (i.e. beyond a single time-bound change process)?	
	7.2 What are its objectives?	7.2.1 How was it established? When? What is its purpose? How sustainable is it?	
	7.3 How is it structured, staffed and funded?	7.3.1 How many staff, and at what grades? Who does it report to? How is it funded and to what levels?	

Document Key

Document	Document Title	Document Source
A.	See G drive folder to documents. The 2016 Audit report is a very good resource for the initiative.	
B.	ToR for Risk Management Group	
C.	Risk Management Roadmap	

52. WMO – WMO Constituent Body Reform

Overall comments	<ul style="list-style-type: none"> The case summary was completed by JIU and further documentation was provided by WMO. The information provides a comprehensive overview on the reform and change management plan. Since, the reform has not yet been implemented there is no information available on its implementation and results. Case is considered complete, but may follow-up on behavioural aspects of the reform in January / February 2019 with respect to the chapter of our study on behavioural factors/insights.
Themes for consideration in JIU report	<ul style="list-style-type: none"> Change Management Plan – (B.7) Communication and engagement strategy – (B.11)

Review Question	Review Sub-Question	Sub-sub Question	Key Findings	Remarks
<i>(Adapted from overall Review Framework)</i>			<i>(After stating findings Indicate source by letter, corresponding to document list below)</i>	<i>(Include list of documents that may be applicable)</i>
REFORM/INITIATIVE OVERVIEW				
1. Details of the organizational reform/initiative (The 'What' question – what the initiative and reasoning behind it was?)	1.1 A brief summary of the reform/initiative.	1.1.1 What is its purpose? What are the objectives?	<p>To enhance the efficiency and effectiveness of the organization and its governance as part of Strategic Plan 2016-2019. The reform is meant to support the implementation of the 2020-2030 Strategic Plan</p> <p>It includes structural and systems operation changes (structural arrangement, roles and responsibilities, procedures, processes, working practices, linkages and alignments.</p> <p>Constituent bodies are the Technical commissions and Regional Associations. The reform would also address linkages with the Secretariat and WMO Officers.</p> <p>Doc B and A</p>	
		1.1.2 When did it start? When did it end?	<p>2020-2023</p> <p>To start after adoption in 2019. It is to be implemented in complement with the 2020-2023 Strategic Plan</p> <p>Ref: Doc A</p>	
		1.1.3 What are the key elements/sub-initiatives?	<p>The reform of the governance and constituent bodies are in the following areas either establishing new unit or enhancing existing ones.</p> <ul style="list-style-type: none"> ➤ Technical commission for weather, climate and water services and application (intergovernmental) 	

Review Question	Review Sub-Question	Sub-sub Question	Key Findings	Remarks
<i>(Adapted from overall Review Framework)</i>			<i>(After stating findings Indicate source by letter, corresponding to document list below)</i>	<i>(Include list of documents that may be applicable)</i>
			<ul style="list-style-type: none"> ➤ Technical commission for observation, infrastructure and information systems (IG) ➤ Scientific Advisory Panel and Research Board (experts) ➤ Regional associations enhanced role ➤ Executive Council w/consolidated structures around a Policy Advisory Committee ➤ Interagency mechanism ➤ Enhanced working arrangement w/other Un agencies ➤ Change management processes for the reform of constituent bodies Ref: Doc A	
		1.1.4 When and by whom was it approved?	Draft resolution – WMO Executive Council – 70 Session June 20-29 2018: (Approved) Ref: Doc B	
		1.1.5 Was the reform evaluated? What were the achievements, results, and/or outcomes?	Not yet Ref: Doc A	
	1.2 What were the underlying factors or drivers behind this reform/initiative? Where distinct or additional to broader drivers of change, what specific events or triggers signalled the start? Each of these will affect the approach, speed, scope, resources and adoption of change management. They can be both	1.2.1 What were the drivers? The causes of the initiative, generally an overarching, longer-term shift affecting how the organization operates.	Key drivers included: <ul style="list-style-type: none"> ➤ Demands for continuous adaptation to rapid changes in the world: (i) Internal/national and Global changes and challenges; (ii) new paradigm of fast development of technology and underpinning knowledge: high degree of interconnection between science, technology and operations; private sector dynamics, ability to innovate, competition; need for end-user focus; ➤ The SDGs ➤ Other conventions and frameworks for climate, weather, water with extreme impacts ➤ Environment, energy, and transport (terrestrial aviation, and marine) security. ➤ Need to reduce the capability gap between developed and developing countries ➤ Through four meetings between 2016 and 2018 (Geneva, 16-19 February 2016; 1-3 March 2017; 28-29 October 2017; 11-13 April 2018) EC WG/SOP reached progressive consensus and 	

Review Question	Review Sub-Question	Sub-sub Question	Key Findings	Remarks
<i>(Adapted from overall Review Framework)</i>			<i>(After stating findings Indicate source by letter, corresponding to document list below)</i>	<i>(Include list of documents that may be applicable)</i>
	expected or unexpected.		<p>consolidated a proposal for the reform of WMO constituent bodies</p> <ul style="list-style-type: none"> - The structure has not been changed since its establishment – the need for a reform was reinstated by the 2016 congress (signalled the change). (E.) - In 2017 the sixty-ninth Executive Council (EC) expressed its agreement with the need for change, noting that it should be implemented through a phased approach ensuring smooth and effective transformation of different kinds of WMO constituent bodies. It also observed that transformative and innovative processes have already started in several key areas. - The WMO EC, at its seventieth session (Geneva, 20–29 June 2018) adopted a broad breadth and innovative proposal of reform of its governance and constituent bodies based on the recommendations of its EC WG/SOP. <p>Ref: Doc A and B Ref: Doc D</p>	
		1.2.2 Was there a specific event that acted as a trigger to get it started? It may be internal or external. These might include funding depletion, reputational (fraud, mismanagement) or other.	<ul style="list-style-type: none"> ➤ The 2016 WMO Stakeholders Survey highlighted the organizational strengths and weaknesses, treats and opportunities in the evolving global socio-economic, scientific and technological context. ➤ As part of Strategic Plan 2016-2019 – launched a holistic review and need for change to enhance efficiency, effectiveness and governance. ➤ Thus, in 2017 the sixty-ninth Executive Council (EC) expressed its agreement with the need for change, noting that it should be implemented through a phased approach ensuring smooth and effective transformation of different kinds of WMO constituent bodies. It also observed that transformative and innovative processes have already started in several key areas. 	
PLAN OF CHANGE MANAGEMENT PROCESS				
2. Which change management approaches have been used in the <u>design</u> of the above	2.1 Describe the design or plan for change management in the initiative?	2.1.1 What were the specific objectives of change management within the design of the initiative?	<p>Transition Process: organizational culture; organizational structure; clear roles and responsibilities; skills and knowledge; policies and procedures; workflow and processes</p> <p>Ref: Doc B</p>	

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reform or initiative? (The 'How' question on design – what did they set out to do?)		Examples of specific objectives <ul style="list-style-type: none"> - Behaviour change to facilitate fuller adoption of new technology (e.g. UMOJA) - Empowerment of all staff to increase adoption of new policy 	From the interview notes (E.) <ol style="list-style-type: none"> 1. importance of changing culture in an organization that hasn't changed since inception – inertia in process – not fully aligned with changes around in technology etc. (rapid advancement in the private sector) 2. To invoke the need for change wasn't easy - Even the partners and member states have similar systems 3. Therefore, a culture change is important to make the organization more agile and relevant 	
		2.1.2 Did the approach to change management draw from established practices (Kotter, McKinsey, PWC, UNLOCK etc) or not? If so, how?	There is no information on basis for conceptual basis (philosophy, theory, models etc.) for the change management proposal.	
		2.1.3 Was a specific plan prepared outlining the change management process(es)? Who prepared this plan – done internally or by an outside company? If external, please state who? Examples of elements of plan: <ul style="list-style-type: none"> - change readiness assessment - definition of type and scope of change - Approach to engaging with staff and stakeholders 	<u>Key Elements in the Transition Plan, Change Management Plan and Communication and Engagement Strategy</u> A. <u>Structures:</u> (i) Constituent Body Reform- -Task Force: change management body for all phases: (ii) Secretariat Change Management Committee to be created in Secretariat to ensure all-inclusive process B. <u>Change management Plan- key elements:</u> Demonstrate reason for change; Define the type and scope of change; Describe stakeholder support; Create a change management team; Develop an approach with organization management; Draw up a plan for each stakeholder; Create a communication plan; Track resistance; Address roadblocks C. <u>Communication and Engagement Strategy</u> (June 2018-June 2019): inform and highlight goals and benefits for change; build support for how the change will strengthen WMOs contribution to global priorities; identify leaders as champions for communication the reform to others	WMO proposal for change management is presented as an Annex in a Transition Plan presented as a draft resolution to the Executive Council. (EC-7-/Doc.16.3 (6) Geneva 20-29 June 2018. Parts of it are copied on the left.

Review Question	Review Sub-Question	Sub-sub Question	Key Findings	Remarks
<i>(Adapted from overall Review Framework)</i>			<i>(After stating findings Indicate source by letter, corresponding to document list below)</i>	<i>(Include list of documents that may be applicable)</i>
		<ul style="list-style-type: none"> - Institutional framework (governance, management, change management team, etc) - Defined role of leadership - Process plan (training, engagement etc) - Reflexive learning plan (monitoring and internal evaluation) 	<p>Ref: Doc B</p> <p>Notes from the interview on the CM plan:</p> <ul style="list-style-type: none"> a. Most of the work has been done internally with various surveys stakeholders b. Actual implementation in June next year c. Established CM committee in the secretariat - chaired by the SG and includes directors of main departments and members of the task force - started in July d. Task force – permanent for the implementation of the reform e. 3 weeks ago a senior management retreat was held to engage them <p>More details on the change management plan outlined above: (B)</p> <p>A. Demonstrate reasons for the change</p> <ul style="list-style-type: none"> <input type="checkbox"/> List factors that led to the decision to change, such as performance gaps, new technology, or a shift in the organization's mission. One approach is to describe the current situation of the organization, and the future situation this plan intends to create. <p>B. Define the type and scope of change</p> <ul style="list-style-type: none"> <input type="checkbox"/> Briefly describe the expected nature of the reform and related need for change management; <input type="checkbox"/> Determine whether this will affect roles, process changes, policy changes, and/or structural organization. List departments, work groups, systems, or other components that may undergo change. <p>C. Describe stakeholder support</p> <ul style="list-style-type: none"> <input type="checkbox"/> List all stakeholders affected by the plan, for example officers, managers, sponsors, users, and/or employees affected by the change. Define how each stakeholder would support the change; <input type="checkbox"/> Consider a chart to communicate this clearly and succinctly. One possible template lists Awareness, Degree of Support, and Influence for each stakeholder, rated on a scale of High/Medium/Low; 	

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			<input type="checkbox"/> Conduct meetings and/or interviews to gauge support. D. Create a change management team <input type="checkbox"/> This team is responsible for communicating with all stakeholders, listening to concerns, and ensuring that the change goes as smoothly as possible. Choose people with high credibility in the organization, and good communication skills; <input type="checkbox"/> This should include a change sponsor at the senior executive level; <input type="checkbox"/> Stress that this involves active work promoting the changes, not just a sign-off on the plan. E. Develop an approach with organization management <input type="checkbox"/> Complete support from organization heavyweights is critical for the success of the change. Allow each senior staff member to provide feedback on the change, and work with each one to create an active role in demonstrating and championing the changes. F. Draw up a plan for each stakeholder <input type="checkbox"/> For each stakeholder, including those who support the change, assess the risks and concerns involved. Assign the change management team the task of addressing these concerns. G. Create a communication plan <input type="checkbox"/> Communication is the most important component of change management. Communicate frequently with every group and person affected. Reinforce the reasons behind the change, and the benefits it will bring; <input type="checkbox"/> Stakeholders should receive personal, two-way communication. Face to face meetings are essential; <input type="checkbox"/> Communication should come from the high-level change sponsor, from the direct supervisor of each employee, and from any additional spokespersons the stakeholder trusts. All communication should have a consistent message. H. Track resistance <input type="checkbox"/> There is always resistance to change. This happens on the individual level, so communicate with stakeholders personally to discover the cause. Monitor grievances so the change management team can address them. These concerns commonly include:	

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			<ul style="list-style-type: none"> (i) No motivation to change, or no sense of urgency; (ii) No understanding of the bigger picture or why the change is necessary; (iii) Lack of input in the process; (iv) Uncertainty concerning job security, future role, or future job requirements and skills; (v) Failure of management to meet expectations concerning change implementation or communication. <p>I. Address roadblocks</p> <p><input type="checkbox"/> Many grievances should be met by an increase in communication, or a change in communication strategy that addresses specific issues. Others require additional approaches, which may be included in your plan or left to the change management team to implement as necessary. Consider which of these is right for your organization:</p> <ul style="list-style-type: none"> (i) For any change in job roles or process, make employee training a top priority; (ii) If you expect low morale or a stressful transition, alleviate this with a company event or employee perks; (iii) If stakeholders are not motivated to change, provide incentives; (iv) If stakeholders feel left out of the loop, hold a meeting to gather feedback and consider alterations to plan. 	
	2.2 How did the triggers of the organizational reform or management initiative influence the change management approach?	2.2.1 What effect, if any, did the drivers or triggers of the reform have on the objectives and plan for change management?	Not yet implemented	
IMPLEMENTATION OF CHANGE MANAGEMENT PROCESS				
Note: The Change management process of WMO is not yet started.				
3. How have the change management	3.1 What was the scope – breadth and depth of the change process?	3.1.1 Was it system-wide, organization, department etc.		

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approaches been adopted/ adapted and implemented? (The 'How' question on implementation)	3.2 How was the change management process led?	3.2.1 Who led the change management process? Who was the owner/sponsor of the change? What is their position in relation to management?		
		3.2.2 Were consultants involved in implementation? If so, in what role?		
		3.2.3 What was the size of the team? Where was the CM team located?		
		3.2.4 Is there an institutionalized function for change management in the organization or was the function time-bound for this specific initiative? <u>If yes, please include information in question 7 as well.</u>		
		3.2.5 What mechanisms were put in place to oversee the change management process? Did it include the head of organization, the governing body, just senior managers, or other? What role was played by each?		
	3.3 How was the change management process structured?	3.3.1 Did the process have a definitive start and end?		
		3.3.2 How long did it last?		
	3.4 How was it implemented?	3.4.1 Describe the implementation process (refer to the plan in 2.1.3)		

Review Question	Review Sub-Question	Sub-sub Question	Key Findings	Remarks
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		3.4.2 What communication mechanisms were used?		
		3.4.3 How was the change initially framed and presented to staff?		
	3.5 How much reflexive learning took place during the process? Was it evaluated during or after?	3.5.1 What learning and adaptive management processes were put in place during or after the CM process? (please specify when put in place in relation to the process)		
RESOURCE IMPLICATIONS OF CHANGE MANAGEMENT PROCESS				
4. What have been the resource implications of change management?	4.1 How was the CM budgeted?	4.1.1 What was the source of financing- core resources/XB. Implications.		
	4.2 What were the major cost elements and actual costs (where available)?	4.2.1 What were the cost elements – financial, human (non-financial), etc? (Actual cost breakdown if possible to estimate)		
RESULTS OF CHANGE MANAGEMENT PROCESS				
5. What are the results and critical success factors of the change process or approach?	5.1 What were the results of the change process?	5.1.1 What were the <u>short-term</u> outputs? How were they assessed?	Examples of outputs (effective implementation of CM processes) <ul style="list-style-type: none"> - Implementation of standards and practices - Staff being able to apply new work practices - Reduced time spent on processes (efficiency measure) 	
	<i>(Is there evidence of sustainability of these changes? What is the degree to which organization is working differently and people are behaving differently? Degrees of result or proxies</i>	5.1.2 What were the <u>intermediate or long</u> outcomes? How were they assessed? Did they bring about the desired transformation? (linked back to objectives in 2.1.1)	Examples of specifically change management outcomes (changes in practice and behaviour) <ul style="list-style-type: none"> - Defined improvements in accountability as a consequence of redefined and communicated roles and responsibilities - Staff satisfaction levels - Client satisfaction levels 	

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	<i>around these include cost reduction (staff and non-staff); service levels; reduced risks; behavioural changes; improved collaboration etc.)</i>			
	5.2 How did the process affect the results?	5.2.1 How did the change management results contributed to the reform results or outcomes and in what way? What is the value-add of the structured process, where used?		
LESSONS FROM CHANGE MANAGEMENT PROCESS				
6. What lessons can be derived to guide future change management initiatives?	6.1 What are considered critical factors +/-	6.1.1 What do those involved, and those affected considered: (uu) the key factors of success (vv) factors that led to failure and the challenges and constraints to the change management process?		
	6.2 What positive features identified are transferable or scalable, which are not and why?	6.2.1 How unique are these to the context in which they were implemented?		
		6.2.2 What generalizable lessons can be identified?		

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	6.3 What has the organization learnt from this process?	6.3.1 Would the organization run the process the same way again, or do things differently? If so, how?		

Change Management Functions in the Organization

If information on organizational level change management initiatives is found while reading through documents, please note details/findings below

Review Question	Review Sub-Question	Additional Description	Key Findings	Gaps and Questions
7. To what extent have change management functions been institutionalized?	7.1 Does the Participating Organization (PO) have a Change Management function – formalized or otherwise?	7.1.1 Is there a team – time-bound or fixed – working on CM across multiple initiatives (i.e. beyond a single time-bound change process)?		
	7.2 What are its objectives?	7.2.1 How was it established? When? What is its purpose? How sustainable is it?		
	7.3 How is it structured, staffed and funded?	7.3.1 How many staff, and at what grades? Who does it report to? How is it funded and to what levels?		

Document Key

Document	Document Title	Document Source
A.	WMO Constituent Body Reform and Change Management	WMO
B.	Transition Plan - WMO Constituent Bodies Reform Transition Plan and Communication Strategy. Draft Resolution 16.3 (6)/1 (EC-70) January 20-29 June 2018 (Approved)	WMO
C.	Ref: Governance Review: Report of the first session of the Executive Council Working Group on WMO Strategic and Operational Planning (Geneva, 11-13 April 2018). WMO Executive Council, 70 th Session Geneva 20-29 June 2018. EC-70/INF.16 Submitted by Secretary General 18 VI.2018 See links in document for details on - Revised structures, composition, TORS and working procedures of these various groups	WMO
D.	Report of the EC Working Group on Strategic and Operational Planning Geneva, 1-3 March 2017 – Report with Conclusions and Recommendation.	WMO
E.	Interview notes	WMO