# REVIEW OF MANAGEMENT AND ADMINISTRATION IN THE UNITED NATIONS EDUCATIONAL, SCIENTIFIC AND CULTURAL ORGANIZATION (UNESCO)

*Prepared by*

**Enrique Roman-Morey**
**Mohamed Mounir Zahran**

**Joint Inspection Unit**

**Geneva 2011**

**United Nations**

# REVIEW OF MANAGEMENT AND ADMINISTRATION IN THE UNITED NATIONS EDUCATIONAL, SCIENTIFIC AND CULTURAL ORGANIZATION (UNESCO)

*Prepared by*

***Enrique Roman-Morey***
***Mohamed Mounir Zahran***

**Joint Inspection Unit**

# EXECUTIVE SUMMARY

**Review of management and administration in the United Nations Educational, Scientific and Cultural Organization (UNESCO)**

**JIU/REP/2011/8**

## Background

This "Review of management and administration in the United Nations Educational, Scientific and Cultural Organization (UNESCO)" is one of a series of reviews of participating organizations undertaken by the Joint Inspection Unit (JIU). It follows up on the first JIU report on the Organization issued in 2000, almost all of the recommendations from which have been implemented by UNESCO.

The objective of the review was to assess and identify areas for improvement in the management and administration of the Organization. This review was conducted in a fast-changing management environment further to the appointment in 2009 of a new Director-General, the 2010 Independent External Evaluation (IEE) and subsequent follow-up action taken during its General Conference in 2011.

This report was prepared by Inspector Roman Morey. However, further to his resignation in October 2011 to take up his appointment as permanent representative of Peru to the United Nations, Inspector Zahran agreed to act as co-author of the report and present it to UNESCO.

In the last two years, many management initiatives aimed at reforming UNESCO and increasing its organizational effectiveness have been launched under the leadership of the present Director-General and her team. The Inspectors welcome the rationale for these and their strategic orientation. These efforts have been made in a difficult context and require long-term commitment for effective implementation. The present report analyses how UNESCO is performing on parameters commonly used in modelling change management such as vision, leadership, action plan and communication.

The report also provides an update on how reform is perceived as well as on results already achieved and intends to offer some food for thought for the future.

The Inspectors make two recommendations to the UNESCO governing bodies and six to the Director-General as executive head of the Organization.

## Main findings and conclusions

UNESCO has made strides forward in a number of areas: the early adoption of IPSAS, the development of a comprehensive oversight framework and attention to risk management. The development of results-based management (RBM) has also been high on the agenda for over a decade. The Inspectors commend this strong commitment to results while, at the same time, encouraging the secretariat to continue efforts such as the improvement of the information management system, the fine-tuning of results-oriented objectives and indicators and dedicated training sessions.

More progress should be made in the area of human resources management. While the human resources policy framework has been reinforced, there is a need to ensure consistency in implementation. Issues such as career management, managerial accountability and the relationship with senior managers continue to require some attention. This situation should be addressed to avoid frustration that may impact on organizational effectiveness.

The Inspectors agree with the IEE, as well as many internal and external stakeholders, that the governance arrangements hinder the effective performance of the institution and that they need further improvement. Building on the IEE recommendations, the Inspectors

encourage member States and the UNESCO secretariat to continue to review the governance framework, to streamline governance arrangements and to improve governance dynamics among UNESCO organs, as a matter of priority, as this is vital for the effective functioning of the Organization.

The review confirmed that UNESCO is facing many challenges and that serious efforts are being made to address these: the streamlining of governance arrangements; the urgent need to develop a more strategic positioning and related prioritization of programmes and activities; a change in organizational culture; the restructuring of the field network and the replacement and adaptation of the workforce due to retirement forecasts. Many of these are interrelated. The Inspectors draw attention to the fact that the sequence of change and the buy-in and full commitment from all stakeholders are key ingredients for success. The ongoing debate on the focus of UNESCO (and related prioritization of its programme activities) is pivotal as it has an impact on many other aspects. This should therefore be tackled as a matter of priority.

Concrete implementation of reforms will require continuous commitment, not only from executive management but from all parts of the Organization. UNESCO should increase its efforts to involve all parts of the institution in order to secure the success of the reform process. The Inspectors recommend enlarging the committee steering the change management process and placing the process under a full-time senior change manager to ensure full coordination and progress of change management in line with the Senior Management Team's mandate and responsibilities. Communication on reform also appears as a key area to be further developed, reaching out to all staff members at all levels and in all locations.

This is the time to invest more rather than less in reform efforts. While there is little immediate prospect of increasing the Organization's budget, given the current global financial situation and the recent decision of a member State to withhold funding and overall trends, the Inspectors recommend that UNESCO establish a dedicated reform trust fund based on a strategic reform initiative with clear benchmarks and results.

# CONTENTS

_____

# ABBREVIATIONS

| | |
|---|---|
| ADG | Assistant Director-General |
| ADG/ADM | Assistant Director-General for Administration |
| ADG/AFR | Assistant Director-General for Africa |
| ADG/BSP | Assistant Directors-General of the Bureau of Strategic Planning |
| ADG/ERI | Assistant Director-General for the Sector for External Relations and Information |
| ADM | Administrative Commission |
| ALD | Appointment of Limited Duration |
| ASPAC | The Asia and Pacific group of States |
| BFC | Bureau of Field Coordination |
| BSP | Bureau of Strategic Planning |
| CAP | Consolidated Appeal Committee |
| CEB | United Nations Chief Executives Board for Coordination |
| CIO | Chief Information Officer |
| CISS | Committee on Information Systems and Services |
| CSC | Corporate Services Committee |
| DDG | Deputy Director-General |
| DG | Director-General |
| DIR/ODG | Director of Director-General Office |
| EB | Executive Board |
| EMC | Executive Management Committee |
| ERI | Sector for External Relations and Information |
| ERP | Enterprise Resource Planning system |
| FABS | Finance and Budget System |
| GRULAC | The Latin American and Caribbean Group of States |
| ICT | Information and Communication Technologies |
| IEE | Independent External Evaluation |
| IOS | Internal Oversight Section |
| IPSAS | International Public Sector Accounting Standards |
| IT | Information Technology |
| JIU | Joint Inspection Unit |
| LMDP | Leadership and Management Development Programme |
| MLAs | Main Line of Actions |
| NGO | Non-governmental organization |
| OAC | Oversight Advisory Committee |
| PMC | Programme Management Committee |
| PRX | General Questions, Programme Support and External Relations Commission |
| RBM | Results-based management |
| RMC | High Level Committee on Risk Management |
| SC | Service Contract |
| SISTER | System of Information on Strategies, Tasks and the Evaluation of Results |
| SMT | Senior Management Team |
| SSA | Special Service Agreement |
| STEPS | System to Enhance Personnel Services |
| WGIEE | Working Group on the Report on the Independent External Evaluation |
| XB | Extra-budgetary |
| ZNG | Zero Nominal Growth |
| ZRG | Zero Real Growth |

# I. INTRODUCTION

1.     As part of its programme of work for 2009, the Joint Inspection Unit (JIU) conducted a review of management and administration in the United Nations Educational, Scientific and Cultural Organization (UNESCO).[1] This report is one of a series of reviews of participating organizations undertaken in recent years. After being informed of an Independent External Evaluation (IEE) process decided by the UNESCO General Conference in 2009[2] and in order to avoid duplication, the Inspectors postponed the completion of their review until after the publication of the IEE report. While the evaluation document presented at the 185th session of the Executive Board[3] (October 2010) did not examine the Organization's internal functioning or management as such, it was taken into consideration in finalizing this review.[4] As requested by UNESCO, this report should be seen as complementary to the external evaluation, therefore does not address the full range of issues as it normally would.

2.     The preamble to the UNESCO Constitution sets out its purpose as "advancing, through the educational and scientific and cultural relations of the peoples of the world, the objectives of international peace and of the common welfare of mankind". The Medium-term Strategy 2008-2013 states its main functions as:[5] (a) a laboratory of ideas; (b) standard-setting; (c) a clearing-house, (d) a capacity-builder in member States in UNESCO's field of competence and (e) a catalyst for international cooperation. UNESCO thus combines its role in international intellectual cooperation in education, science and culture with activities supporting national governments in their projects and programmes for development. The 2010-2011 UNESCO regular budget resources amounted to about 650 million USD per biennium, complemented by roughly the same amount of voluntary contributions. To fulfil its mandates, UNESCO relies on its secretariat, composed of its headquarters in Paris and its field presence worldwide (field offices and various categories of institutes), complemented by a vast network of entities such as national commissions, clubs, chairs and non-governmental organizations (NGOs).

3.     The current UNESCO Director-General took office in November 2009 with an ambitious agenda to revitalize UNESCO that created high expectations among all UNESCO stakeholders: member States, staff members, external partners, etc. A number of initiatives to improve governance, executive management and management practices emerged. These were concomitant with the first steps to follow up on the recommendations contained in the Independent External Evaluation. This JIU review was therefore conducted in a transitional and fast-changing management environment. The Inspectors have been closely following these processes in order to avoid this report's recommendations being obsolete or overtaken by events. The report offers an assessment of change management initiatives, of their actual or potential effects, and how these efforts are perceived in the Organization.

## A. Objectives and scope

4.     This review follows up on the recommendations made in 2000 and identifies the remaining challenges in the following areas: governance, executive management, organizational structure and decentralization, administration, strategic planning and

---

[1] The Unit issued an initial report on UNESCO under JIU/REP/2000/4.

[2] UNESCO General Conference resolution 35/C 102.

[3] 185 EX/18 and IOS/EVS/PI/107, "Independent external Evaluation of UNESCO, Final Report".

[4] Of the six focus areas, two were of interest for the JIU review: (a) the division of competences between the governing bodies and the secretariat and (b) the coherence between the sectors of the Secretariat.

[5] UNESCO Medium-Term Strategy, 34 C/4.

budgeting, human resources management and oversight.[6] Another objective is to pinpoint good practices and share them with other United Nations system organizations.

**B. Methodology**

5. In accordance with the JIU internal standards and guidelines, the methodology followed included:

- A desk review and an in-depth content analysis of the General Conference and the Executive Board parliamentary documents as well as of UNESCO secretariat internal documentation;

- Interviews with the Director-General, the outgoing and current deputy Director-General, with UNESCO officials representing the main corporate management functions based at Paris Headquarters, and with the heads of several substantive sectors of the secretariat;

- Interviews with ambassadors/heads of various delegations of member States, including some members of the Executive Board; discussions with the Chairperson of the Executive Board and the Chairperson of the ad hoc working group on the report on the independent external evaluation (WGIEE);

- Funding constraints imposed limitations concerning the coverage of field entities. Field visits were made to the Havana Office and Regional Bureau for Culture for Latin America and the Caribbean, and to the Santiago de Chile Office and Regional Bureau for Education in the same region, to record the views of officials and staff deployed in the field as well as to meet with relevant host country authorities. Targeted questionnaires were sent to chiefs of field offices and interviews were conducted with some field entities (e.g. Addis Ababa Liaison Office, offices in Dakar and Beirut);

- Data collection and consolidation focusing on budgetary and financial figures and human resources figures as provided by the UNESCO secretariat;

- While ensuring full confidentiality, UNESCO shared the aggregated results of its internal Global Staff Survey (2010). In addition, the Inspectors circulated an online staff survey to seek the opinions of UNESCO employees on the reforms and the changes in management. A total of 1,272 persons participated in the JIU online survey, of which roughly 20 per cent were short-term staff or non-staff personnel. The survey took place after a number of changes had been introduced by the UNESCO secretariat. Details are presented in Annex I.

6. In accordance with the JIU statute, this report has been finalized after consultation among the Inspectors so as to test its conclusions and recommendations against the collective wisdom of the Unit. The UNESCO secretariat provided factual and substantive comments on the draft report that were taken into account in finalizing the report.

7. To facilitate the handling of the report and the implementation of its recommendations and the monitoring thereof, Annex III contains a table specifying those recommendations that require a decision by the UNESCO legislative/governing bodies and those that can be acted upon by the Director-General.

8. The Inspectors wish to express their appreciation to all who assisted them in the preparation of this report, particularly to those who participated in the interviews and so willingly shared their knowledge and expertise.

---

[6] Findings and recommendations made by the Inspectors in 2000 are included in the narrative when deemed relevant. In 2000, the UNESCO Director-General endorsed JIU recommendations with specific comments and reservations as indicated in document 160 EX/41.

## II.    GOVERNANCE

9.    The basic texts of UNESCO define the role and responsibilities of the General Conference, the Executive Board and the secretariat. Governance arrangements are usually referred to as the "relations between the three organs of UNESCO". The UNESCO Constitution was carefully designed to serve the purposes of the Organization and is based on a "one-country one-vote" principle. However, over the years, the many competing demands and additions have put pressure on the existing governance structure, resulting in a de facto dual governance structure with duplication, overlap and overemphasis on multi-tier processes. The General Conference, the Executive Board and the secretariat have spent significant amounts of time, and resources, on debating, reflecting and reporting on governance issues over the years. An analysis of the abundant parliamentary literature shows difficulties and a number of concrete solutions were found. However, the implementation of advocated improvements was too often limited to ensuring streamlining of the existing governance arrangements rather than addressing the real changes needed.[7]

10.    In 2010, the IEE commented extensively on governance issues and again pointed out that the governance framework needs more effectiveness. The IEE stressed the risks of duplication, disconnection and blurred lines of responsibility between the three UNESCO organs. The Inspectors support the call of the IEE for reform and recognize that efforts are under way to address this issue. They therefore only provide comments in this section of the report. Building on the IEE and its follow-up mechanisms, UNESCO has now reached the point at which to take decisive steps to strengthen and enhance the coherence of its governance arrangements, as acknowledged by members of WGIEE[8] as well as by its senior officials.[9] Reforming governance arrangements is a sensitive process for all multilateral organizations. Nothing can be accomplished without strong support from the member States on the matter. During the work of WGIEE, member States seemed ready to discuss the relevance of current institutional arrangements. Some proposals represent positive steps towards change and improvement: for example the merging, on an experimental basis, of the Administrative Commission (ADM) with the General Questions, Programme Support and External Relations Commission (PRX) of the General Conference, and the suspension, on an experimental basis, of the Group of Experts on Financial and Administrative Matters of the Executive Board.

11.    In the Inspectors' opinion, more changes might be needed to achieve greater governance effectiveness. Member States of UNESCO should therefore continue to build on the current momentum and pursue their efforts to streamline the governance arrangements. Many options can be envisaged, each of which has political and financial dimensions. Special attention should be given to the current governance arrangements and their periodicity. For example, in order to reduce its burden and the length of the session, the General Conference could adopt an agenda whereby it would focus alternately on strategic debates (aligned with each new programming cycle) and on administrative and budgetary issues. The reduction to only one Executive Board session per year, preceded by a session of the proposed ad hoc group to prepare substantive matters, should also be considered.

---

[7] See for example: 167 EX/13 (2003), 180 EX/INF.3, 29 C/Resolution 87, 33 C/Resolution 92, 35 C/43.
[8] See 186 EX/17: notably by (a) strengthening the role of the General Conference in strategic policy formulation and priority setting, (b) strengthening the monitoring role of the Executive Board in the execution of UNESCO programmes, including follow-up to the recommendations of all evaluations and to improving the quality and relevance of decisions and ensuring substantive evidence-based information for the General Conference and Executive Board discussions.
[9] The complexity of the governance architecture and the respective roles of the governing bodies were also discussed during the Senior Management Team (SMT) retreat in 2011.

12.    The complexity of governance is derived from the constitution of UNESCO and from other legal texts. As illustrated by Figure 1, the heavy institutional machinery creates the conditions for duplication, ineffective working methods and compartmentalized processes.

**Figure 1: UNESCO Governance Framework**
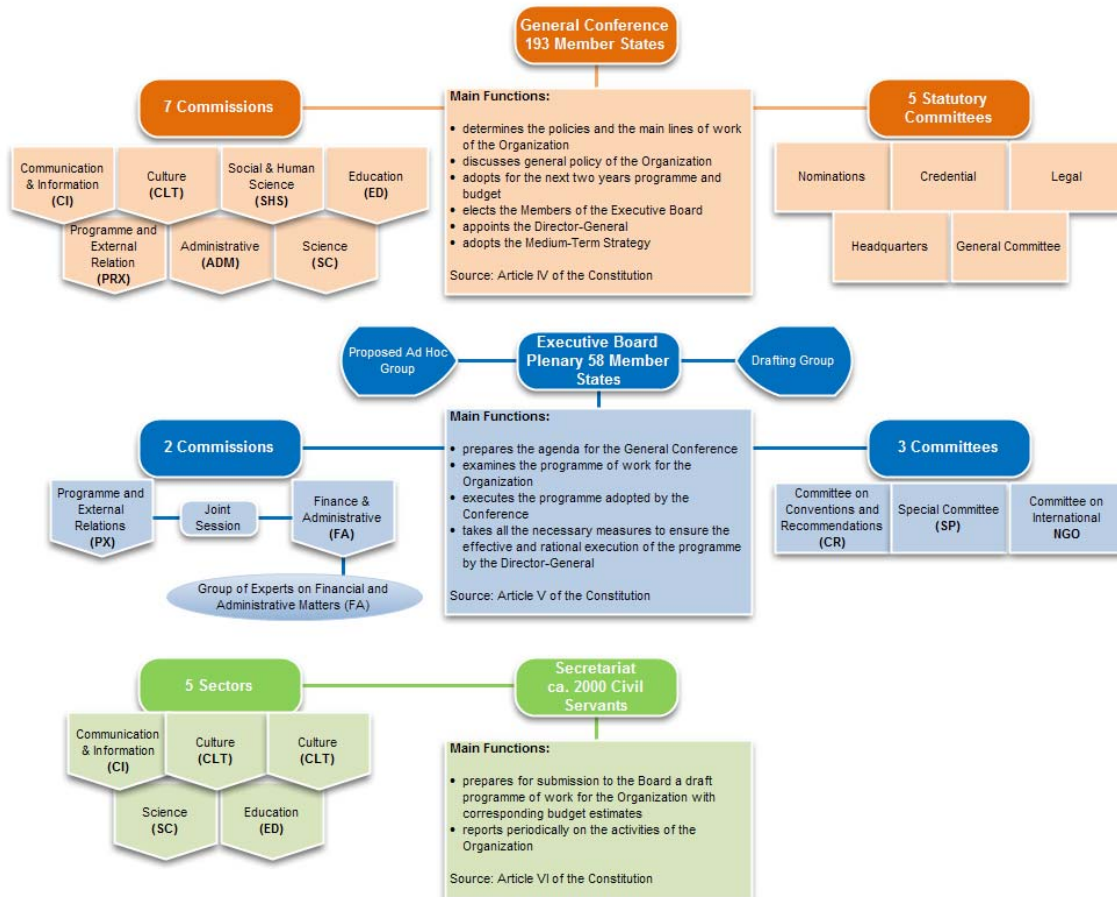


13.    In terms of governance dynamics, the Inspectors welcome the proposal to set up a joint mechanism consisting of member States and the UNESCO secretariat to review the interactions between the governing bodies and the secretariat as well as their working relationship.[10] Several proposals emanating from the IEE follow-up exercise aim to increase communication between the secretariat and member States. It is a positive development since reviewing UNESCO governance should indeed be a common endeavour. It is also a prerequisite for concretization of reform efforts.

14.    The current situation calls for improvement. Interviewees pointed out the need for more communication between member States and the UNESCO secretariat. Communication efforts should focus on better understanding the respective constraints and objectives. On the one hand, the UNESCO secretariat seeks more strategic guidance from member States but, on the other hand, considers some of their requests to amount to micromanagement. Member State representatives requested better information so as to enhance the decision-making process. They shared their concerns with the Inspectors regarding the perceived absence of consultation and transparency at various levels of UNESCO, within UNESCO or between UNESCO and member States. As communicated to the Inspectors, the new initiative of the Director General to hold more frequent information meetings was welcomed by permanent delegations.

---

[10] 186 EX/17.

## III. MANAGEMENT

### A. Executive management

15.    The 2010 Independent External Evaluation was conceptualized as a "strategic and forward-looking" exercise to position UNESCO to meet its future needs and challenges. The efforts of UNESCO developed around the follow-up to the IEE conclusions and recommendations to improve the Organization's governance and effectiveness via a change management process. Similar exercises undertaken by other United Nations organizations show that such exercises have long-term implications.

16.    The IEE recommendations were broad and significant in scope. Member States and the UNESCO secretariat embarked on a series of follow-up exercises. The first round lasted from December 2010 to May 2011 when the UNESCO secretariat and the WGIEE worked in parallel to formulate proposals following the IEE recommendations. Both parties presented separate reports that were consolidated into one Executive Board document for its May 2011 session. The reports put forward a number of proposals. The outcome of the WGIEE contained action-oriented recommendations; most of them were endorsed by the Executive Board in May 2011 and by the General Conference in November of the same year. The majority of the preoccupations of member States were echoed by the Director-General's report presented to member States.

17.    **The Inspectors agree with many interviewees that the establishment of the WGIEE was a positive development that created a forum to openly tackle some of the key issues. However, the IEE follow-up process has to be more effectively coordinated in the future and should ensure greater interaction between member States and UNESCO officials.** As stated by the Director-General, "Reforming UNESCO is a shared responsibility between the Governing Bodies and the Secretariat and will be a long-term process requiring a sustained and coordinated set of actions."[11] The Deputy Director-General provided liaison between the UNESCO secretariat and WGIEE. While UNESCO secretariat officials participated as observers at some WGIEE meetings held in 2011, the level of communication seems to have been below expectations as some member States candidly informed the Inspectors that the content of the secretariat's report (presented to Executive Board session in May 2011) had been "totally new to them". The Inspectors believe that the Director-General and the Executive Board should implement cooperation and information-sharing processes to follow up on the IEE. In that spirit, during the Executive Board meetings in late 2011, follow-up measures with action points formulated by WGIEE and the Director General, together with a timetable for implementation, were discussed in detail and subsequently endorsed by the General Conference.

18.    Since the issuance of the JIU report in 2000, UNESCO has undergone an ongoing programme of management reforms aimed at "rethinking UNESCO's priorities and refocusing its action, streamlining its structures and management procedures, re-motivating its staff and rationalizing its decentralization policy".[12] In the last decade, standardized reports on UNESCO reform such as staff policies and the decentralization process have been presented to governing bodies. Despite some progress, both the IEE and JIU found that progress was limited and incomplete in a number of areas. The IEE highlighted as the remaining difficulty in these areas the need for a "one UNESCO" functioning in a less compartmentalized manner and in partnership with other organizations.

19.    Since July 2010, under the leadership of the current Director-General and a new senior management team, management reforms and organizational restructuring have been announced, both for headquarters and for the field. There are many challenges ahead: the streamlining of governance arrangements and the urgent development of a strategic

---

[11] 186 EX/17 Part 2.
[12] 159 EX/5.

positioning and related programmes and activities are the priority. The need to change the organizational culture; the restructuring of the field network and the replacement and the adaptation of the workforce in line with retirement forecasts are examples of necessary undertakings.

20. **Many of these initiatives are interrelated. The Inspectors draw attention to the fact that the sequence of change is a key element for success. The debate on the future focus of UNESCO (and related prioritization of its programme activities) is the most strategic as it will have an impact on many other aspects. It should therefore be tackled as a matter of priority.**

21. In May 2011, in her remarks introducing the proposal for the 2012-2013 programme budget, the Director-General recognized that the net effect of the changes and improvements already made remains to be seen but stated her conviction that the "message of renewal and change sent within the Organization and towards its partners" was correct.[13] Member States' representatives concurred in their discussions with the Inspectors that signals from the new administration were positive, but also recognized that implementation should be more visible. "The momentum for reform and for change is there but the window for reform is not extensible". UNESCO has thus entered into a transitional and critical period.

22. The JIU survey indicates that many UNESCO employees were sceptical of the benefits of the reform. Interviews and opinions collected from the survey tend to show a divided house on the assessment of reform initiatives. While the assessment made by the directors of the Organization is more positive, almost half question reform benefits. One can also note that one third of respondents do not express any opinion, which may indicate that the results of reforms are unclear to them or be evidence of a general feeling that reform has yet to prove itself.

**Table 1: Views of UNESCO employees on the reform process and change in management (in percentages)**

| Q. The comprehensive reform process undertaken since the arrival of the new management team has been beneficial to UNESCO | | | | | |
|---|---|---|---|---|---|
| | Strongly agree | Agree | Disagree | Strongly disagree | Do not know |
| All employees | 5.2 | 30.2 | 22.8 | 6.6 | 35.2 |
| Directors and above | 14.3 | 40.5 | 31 | 4.8 | 9.5 |
| International professionals | 6.1 | 30.8 | 27 | 7.9 | 28.3 |
| Headquarters staff | 6.1 | 25.8 | 29.8 | 9.7 | 28.7 |
| Field staff* | 4.2 | 35.1 | 15 | 3.2 | 42.5 |
| Q. Current management changes contribute to improving internal efficiency at UNESCO | | | | | |
| | Strongly agree | Agree | Disagree | Strongly disagree | Do not know |
| All employees | 4.6 | 32.9 | 25.9 | 6.8 | 29.8 |
| Directors and above | 11.9 | 40.5 | 33.3 | 4.8 | 9.5 |
| International professionals | 4.3 | 30.1 | 29.7 | 9.4 | 26.5 |
| Headquarters staff | 4.4 | 28.7 | 32.6 | 9.9 | 24.5 |
| Field staff* | 4.9 | 37.6 | 18.4 | 3.4 | 35.7 |

*Source: JIU survey 2011. *In this report, field staff includes all staff deployed outside Paris headquarters*

---

[13] 36 C/5, Draft resolutions 2012-2013, Volume 1.

**B. Change management process**

23.    The analysis of the change management process at UNESCO, based on commonly used criteria[14], shows a mixed picture.

<u>Necessity for change</u>

24.    The necessity for change is well recognized and accepted by member States and UNESCO senior officials, confirming the findings of the IEE. Some interviewees even said that "it was a matter of survival in the long-term". Member States seem conscious of the need to reposition UNESCO and to change several aspects of its functioning.

<u>Vision for change</u>

25.    The Director-General's vision for change is an essential driver for real change at UNESCO. The IEE showed the challenges of building the vision of the future UNESCO, in particular the difficult task of defining the "comparative advantage" of UNESCO. The vision for change is directly related to better defining the Organization's focus and priorities, which is a medium-term endeavour that requires not only taking stock of the current situation and achievements, but also identifying the areas in which UNESCO can make a difference to the benefit of its member States.

26.    The main directions are generally agreed upon, namely: increased focus on the Organization's strengths; partnerships with other United Nations system organizations/entities; and bringing the Organization closer to the field and to the needs of member States. The role of member States is critical in achieving these objectives by providing strategic guidance via the governing bodies, notably via the General Conference.

27.    Since her appointment, the current Director-General has made strong statements regarding her vision for reforming the Organization and its functioning from the management point of view to focus on "streamlining and making organizational structures more responsive". Her stress on the need for being "less costly and bureaucratic and doing more for less, ensuring full transparency, introducing new working methods, and bringing UNESCO closer to the field" is appropriate and much needed. As mentioned above, the implementation and, more importantly, the results of these measures are a work in progress and not yet evident to all stakeholders. The Director-General proposed that a number of actions be monitored to allow the proper oversight of governing bodies. This is a step in the right direction: more indicators for assessing change must be developed and shared with member States so as to put them in a better position to assess the impact of measures taken and exercise the required guidance.

<u>Leadership</u>

28.    The UNESCO senior leadership team appears committed to supporting the Director-General in transforming the Organization. Interviews with senior managers underlined that the team of ADGs is strongly supportive of her vision and agenda.

29.    There is a consensus amongst the Director-General, WGIEE and the nine international experts (see para. 32) on the need for a change management group to lead the Organization through this challenging process. The Director-General stated that she assumes full leadership of the change management process, in close cooperation with her Senior Management team (SMT). She also stated that the SMT should act as a steering group through the Programme Management Committee and the Corporate Services Committee, under the guidance of the Deputy Director-General.

---

[14] Change management is defined as a structured approach to help individuals, teams, and organizations transitioning from a current state to a desired future state. In this section, the Inspector refers to the model developed by Oxford Change management (http://www.oxfordchange.com/welcome).

30.     Change management has become part of the SMT mission in addition to many other equally pressing issues. The Inspectors' opinion on this matter is that, while high level engagement is critical for the success of any change management initiative, it should be recognized that leading and implementing reforms simultaneously are quite challenging tasks in any organization. For this reason, other organizations (for example FAO and UNICEF) have set up temporary change management offices to ensure coordination and communication on the matter. Furthermore, the mission of the change management group is broader than that of a senior management committee. It must ensure corporate buy-in and the commitment for change throughout the Organization. It is its responsibility to ensure that change is explained, understood, accepted and embraced by UNESCO at large. This does not in the eyes of the Inspectors minimize the role of the SMT as a driver for change; it rather strengthens its strategic leadership. During the review, the UNESCO secretariat pointed out its fundamental difference of view on the matter, quoting other research papers on change management that were not arguing for a separate Change Management Office.

31.     **In the opinion of the Inspectors, the composition of a change management group should ideally go beyond the SMT and include heads of substantive sectors or divisions and also staff at various levels, staff representatives and representatives of field offices and Institutes, as well as representatives of major UNESCO partners.** These resource officials should be partly released from their regular tasks to enable them to provide useful contributions. Lessons learned from other organizations that have gone through a similar process indicate that change management requires dedicated full-time leadership in order to oversee the many aspects of change resulting from initiatives. Thus, the group should be placed under the guidance of a specific full-time change manager with a temporary mandate of two years to launch and support the initial steps of the process. This involves most notably coordinating the in-house change management process, keeping all stakeholders informed and involved and monitoring a rigorous implementation plan. The change manager should be part of the SMT and should regularly report back to the Organization's senior officials and solicit their involvement as required. **The Inspectors are aware of the financial implications entailed by this scenario but consider it as essential to ensure a more integrated approach for change and corporate buy-in of reform efforts.**

32.     The Director-General also gathered nine independent international experts and organizational change into a Senior Expert Group on Reforms tasked to advise her on change management and related issues. While the timing of the first meeting of the group did not seem fully appropriate (March 2011, at a time when the WGIEE was finalizing its recommendations), there is benefit to be derived from an external assessment on change management initiatives and their implementation, if comments provided are specific and actionable.

**The implementation of the following recommendation is expected to improve the effectiveness of the change management process.**

---

**Recommendation 1**

**The Director-General should create a dedicated and broadened change management group to be responsible for the change management process. It should be led by a full-time senior change management focal point who would drive the process within a two-year time frame.**

---

Action plan

33.     The Executive Board (186th and 187th sessions) welcomed the Director-General's action plan to follow up on the IEE. The directions set are positive and ambitious for the future of UNESCO and when put into practice will represent major changes in the way UNESCO conducts business. The Inspectors welcome the fact that the plan presented at the 187th session of the Executive Board includes a timetable for implementation. As stated before, the sequence of change is a key parameter and is therefore crucial for success.

Communication

34.    Clear and transparent communication is an essential part of the change process. In managing change, research shows that communication eases the process, decreasing uncertainty and hence anxiety among staff and managers. The Inspectors reviewed some of the Director-General's notes and acknowledged efforts to explain the context and the rationale for management decisions. However, the Inspectors felt that such documents should be more explanatory. Communication should also stress the new perspectives together with the ways in which change will affect current positions or procedures. This aspect of change is always difficult for staff and managers and can affect staff motivation.

35.    Communication to member States about the reform process has been significant and appreciated by them. However, within the secretariat, one-sided communication risks not bringing on board staff, who represent important actors in change management. The UNESCO Global Staff Survey showed that, in general, communication between management and employees is perceived as unsatisfactory. Responses to the JIU survey confirm that communication has been neither sufficient nor very successful: fewer than 40 per cent of respondents stated that the agenda and the objectives of the management team are clear to them. The same percentage feel regularly informed about reform efforts, corporate objectives and priorities. The Inspectors were informed that the Director-General has held two town hall meetings that were broadcast online. The UNESCO secretariat believes that it contributed to improved communication with all staff. At the time of the JIU survey, indeed, the responses filtered by categories of staff indicated a need for better explanation of the reform process in order to gain more in-house support. **This needs to be an ongoing process.**

**Table 2: Views of various categories of UNESCO employees on communication concerning reform efforts undertaken since 2009 (in percentages)**

| Q. The agenda and objectives of the current management team are clear to me | | | | | |
|---|---|---|---|---|---|
| | Strongly agree | Agree | Disagree | Strongly disagree | Do not know |
| **All employees** | 3.8 | 32.8 | 35.2 | 10.8 | 17.4 |
| **Directors and above** | 16.7 | 38.1 | 40.5 | 4.8 | 0 |
| **International professionals** | 4.7 | 32.1 | 39.6 | 14.6 | 9 |
| **Headquarters staff** | 4.2 | 30.2 | 41 | 13.1 | 11.6 |
| **Field staff** | 3.4 | 35.7 | 28.8 | 8.2 | 23.9 |
| Q. UNESCO senior management has informed staff of the rationale behind the current reform initiatives and regularly updates them on progress in their implementation | | | | | |
| | Strongly agree | Agree | Disagree | Strongly disagree | Do not know |
| **All employees** | 2.9 | 28.6 | 39.4 | 10.7 | 18.4 |
| **Directors and above** | 4.8 | 38.1 | 45.2 | 7.1 | 4.8 |
| **International professionals** | 3.1 | 27.4 | 44.7 | 13 | 11.7 |
| **Headquarters staff** | 1.9 | 27.9 | 44 | 11.2 | 15 |
| **Field staff** | 4 | 29.4 | 34.2 | 10.1 | 22.2 |

*Source: JIU survey 2011*

Engagement

36.    For a successful change management process, the engagement of staff members at all functions, levels and locations is essential. The task forces on reform created by the Director-General provided an opportunity for staff to engage and to contribute their views in several areas. To secure support and further engagement, the follow-up given to such initiatives is crucial to show that contributions and suggestions are taken seriously into consideration. However, the Inspectors noted that some staff were unable to see clearly how their contribution was utilized.

37.    The UNESCO Global Staff Survey showed strong support for the Organization's objectives among its staff, and a strong belief in their contribution towards achieving these objectives. But at the same time, the results of the JIU survey highlight the feeling of disconnection among all categories of UNESCO employees with regard to the management reform process, with fewer than 10 per cent feeling involved and more than two thirds feeling not involved. The process must be more inclusive, in particular of the field workforce. When the Inspectors talked to some field-deployed staff, they were not always aware of ongoing reform measures, their rationale and their potential effects. There is an urgent need to reconnect staff at large with the ongoing process. The JIU survey also confirms that staff would like to be more involved in the debate on ways and means to improve internal processes.

**Table 3: Views of various categories of UNESCO employees regarding their involvement in the management reform process (in percentages)**

| Q. Do you feel involved in the management reform process at UNESCO? | | | |
|---|---|---|---|
| | **Yes** | **Somewhat** | **No** |
| **All employees** | 8 | 26.4 | 65.6 |
| **Directors and above** | 21.4 | 40.5 | 38.1 |
| **International professionals** | 8.8 | 28.3 | 62.9 |
| **Headquarters staff** | 11.8 | 25.8 | 62.4 |
| **Field staff** | 3.8 | 27.1 | 69.1 |

*Source: JIU survey 2011*

38.    The involvement of senior and mid-level managers is another necessary condition for success. UNESCO may encounter some difficulties with this, as it requires a shift in organizational culture which has been in place for years. The SMT noted that "some contributions provided by heads of some substantive sectors were short of expectation containing statement of intention that were not addressing actions and specific modalities for achieving results". Such participation continues to be reflective of silo-culture from various substantive sectors and was lacking an integrated and strategic vision for UNESCO as a whole ("One UNESCO").[15] The JIU survey shows that almost half the directors consider that the agenda and objectives of the current management team are unclear and barely 50 per cent see the benefits of reforms currently under way.

**C. Senior management committees**

39.    In 2010, the Director-General established a Senior Management Team (SMT) supported by three management committees: the Executive Management Committee (EMC), the Programme Management Committee (PMC) and the Corporate Services Committee (CSC), each with specific responsibilities. These committees replaced the previous senior managerial arrangements based on the college of ADGs and the Directorate. The goal was to enhance the effective and collegial leadership of UNESCO and to improve cohesion at senior level. UNESCO executive management is satisfied that these arrangements provide an effective forum for strategic and operational information sharing, consensus building and decision-making.

---

[15] SMT minutes, January 2011.

**Box 1: Responsibilities of management committees**

> **The Senior Management Team** (SMT) chaired by the DG and composed of the DDG, all ADGs and the Directors of the Central Services. It meets every two months for an information/consultation session. Additional meetings may address substantive discussion on the leadership, overall strategic reflection, initiatives to strengthen UNESCO and overall organizational performance and cooperation.
>
> **The Executive Management Committee** (EMC) comprises the DG (as chair), the DDG, the Assistant Directors-General of the Bureau of Strategic Planning (ADG/BSP) and of the Sector for External Relations and Information (ADG/ERI) and the Director of Director-General Office (DIR/ODG). This Committee advises the DG on key strategic matters, on the organizational structure, on governance and key choices on the use of resources and other important operational issues.
>
> **The Programme Management Committee** (PMC) comprises the DDG (as chair), the ADG/BSP, all Programme Sector ADGs, ADG/ERI, the Assistant Director-General for Africa (ADG/AFR), the Director of the Bureau of Field Coordination, the DIR/ODG, the Director for Gender Equality (DIR/ODG/GE) and two Field Office/Category I Institute Directors. The Committee coordinates and monitors overall programme implementation and promotes intersectoral dialogue and initiatives (at headquarters and in the field) to ensure the coherence and integration of all UNESCO programmes and to align programmes and resources with its strategic priorities, to oversee programme performance, and to draw on lessons learned during the implementation process.
>
> **The Corporate Services Committee** (CSC) comprises the DDG (as chair), the ADG/ADM, the ADG/ERI and all UNESCO corporate service heads. This Committee coordinates the streamlining of corporate service operations and procedures and ensures that integrated, timely and coherent support is provided to programme sectors and field offices, while ensuring continuous improvement in processes and procedures.

*Source: DG/Note/2010/43*

40. The Inspectors analysed the available minutes of the meetings of the Directorate (2008-2009) and the SMT (2010-2011). The comparative content analysis shows that the substantive content of the meetings has improved. SMT now focuses less on the preparation of governing bodies' sessions and more on management issues, therefore increasingly providing a forum for strategic discussions, information sharing, consensus building and decision-making. While the UNESCO executive management believes that the SMT has become a more effective forum, this is not yet fully recognized by staff members and will need to be better communicated. As acknowledged during the SMT retreat in February 2011, "further improvement is still possible and should be accomplished when senior committees are at cruising speed". The Inspectors wish to point out the following:

- The absence of minutes for some meetings and the absence of recording of any decisions in the minutes provided;

- The lack of consistent participation at the highest levels. The records show that the participation of ADGs of substantive sectors is uneven;

- The lack of focus of the meetings. Chairs of the committees should make sure that meetings remain focused within their scope. For example, from information received, as of November 2011 the CSC has held only five meetings and tackled some issues not directly related to its mandate.

41. As indicated by the JIU survey, the existence and functions of the new committees remain unclear to staff members, in particular in the field. More worrying is that only 32 per cent of directors responding to JIU consider that these committees have improved executive management.

42. As stated in DG/Note/10/43, one of the first tasks of the PMC and the CSC was to review and assess the rationales and the work of all standing or ad hoc UNESCO bodies (task forces, permanent management committees, task teams, steering committees, administrative groups, etc.) and to decide whether their work can be integrated into that of the newly established committees. The Inspectors regret that this simplification exercise has not yet

been fully completed, possibly creating confusion in individual mandates and responsibilities at a time of intense management reform.

**The implementation of the following recommendation is expected to improve the efficiency of the Organization's activities.**

---

**Recommendation 2**

**The Director-General should issue a DG/Note clarifying further the mandates and responsibilities of the existing management structures and their interaction with the senior management committees as part of the delegation of authority.**

---

### D. Other management issues

Enterprise risk management (ERM)

43.    In 2008, a High Level Committee on Risk Management (RMC) was established, thus making UNESCO one of the first United Nations system organizations to tackle risk management organization-wide. It is composed of top officials and managers serving on a rotational basis. A review of the minutes of the eight meetings held in 2008 and 2009 reveals that the RMC focused its work primarily on resources, staffing, partnerships and inter-sectorality. The RMC succeeded in identifying and thoroughly discussing some main corporate risk areas, but rarely came up with actionable decisions. There is a need to bring the RMC closer to other strategic internal bodies and to take full advantage of its work.

44.    The RMC should continue to develop a comprehensive risk management framework for UNESCO based on the identification, prioritization, management and monitoring of risks for the Organization, including those that are strategic, financial, and operational or affect the reputation of UNESCO. The RMC should devote a specific session to internal risks associated with the change management process.

Control mechanisms

45.    UNESCO is making an effort to strengthen internal controls and to enhance standards of conduct within the Organization at all levels. The Inspectors wish to underline the following:

- The establishment of the Ethics Office in 2009, which has been functioning since September 2010. The Ethics Adviser (D-1) reports directly to the Director-General. In line with the JIU recommendation on the subject,[16] the Ethics Office annual report is circulated to the Executive Board. Training sessions are mandatory for all staff;

- The adoption of a whistleblower policy (2010) and the review of the anti-harassment policy (2010) are also positive developments, in particular since several comments made to the Inspectors suggest a climate of mistrust within the Organization;

- The preliminary development of a financial disclosure policy as part of a comprehensive policy on conflict of interest. It should be finalized as a priority, as many United Nations system organizations have already adopted and implemented such a policy;

- The consolidation of the UNESCO administrative and human resources manual available online has been positively recognized as a useful tool. However, some interviewees and respondents to the JIU survey questioned the effective application of the rules and procedures contained therein;

- The procedure for self-assessment for some senior managers, based on personal attestation and questionnaires, has inherent and well-recognized limitations, but is nonetheless welcome. It should be complemented by a proper monitoring mechanism to avoid becoming a bureaucratic exercise with limited added value;

---

[16] JIU/REP/2010/3, "Ethics in the United Nations system".

- The adoption of International Public Sector Accounting Standards (IPSAS): UNESCO is one of the first United Nations organizations to successfully produce its financial statements and accounts under IPSAS for the year 2010.

46.    These improvements are welcome, but require effective implementation and specific evaluations of how they actually contribute to their respective stated objectives. Responses to the JIU survey confirmed that these measures are recognized as positive, but also suggested that better information for employees is needed to increase full awareness and allow them to take advantage of them, in particular at field level.

Organizational structure

47.    The 2000 JIU report found that the UNESCO organizational structure was "far too complex and fragmented and involves many overlapping lines of authority". It recommended that the structure be streamlined and that a strategic plan be developed for delegation of authority. The organizational structure, in particular within substantive sectors, has been modified a number of times in the last decade. The Inspectors concur with the External Auditor in stating that constant restructuring is not an effective management attitude.

48.    Annex II presents the UNESCO organizational structure as envisioned for 2012-2013[17]. It reflects the diversity of UNESCO mandates, notably through its five substantive sectors as main pillars. The structure remains highly thematically fragmented implying a silo effect and compartmentalization of substantive activities rather than cross-cutting programming. As one high-ranking UNESCO official candidly remarked, "one UNESCO is still to be created" by increasing cooperation and cohesion between all substantive sectors. The JIU survey also highlighted some reservations concerning the adequacy of the organizational structure to achieve the mandates.

**Table 4: Views of various categories of UNESCO employees regarding the organizational structure** (in percentages)

| Q. In your opinion, is the current structure of UNESCO overall adequate to help the Organization achieve its mandate? | | | | |
|---|---|---|---|---|
| | **Yes** | **Somewhat** | **No** | **Don't know** |
| **All employees** | 14.5 | 44.5 | 28.1 | 13 |
| **Directors and above** | 17.9 | 43.6 | 33.3 | 5.1 |
| **International professionals** | 11 | 44.4 | 35.2 | 9.4 |
| **Headquarters staff** | 13.8 | 43.7 | 30.3 | 12.2 |
| **Field staff** | 15.2 | 45.5 | 25.6 | 13.8 |

*Source: JIU survey 2011*

49.    The UNESCO secretariat at headquarters is composed of more than 20 different entities, substantive sectors, main corporate divisions (bureaux) or the category 1 Institutes and other entities enjoying various levels of autonomy, sometimes significant. As of July 2011, 16 different entities report to the Director-General and her Office, making a strong and experienced support team necessary to provide an appropriate level of advice and guidance for fast and informed decision-making at high levels of the Organization. Within sectors some entities, such as the World Heritage Centre or the Secretariat of the Intergovernmental Oceanographic Commission (having their own boards for internal governance as described by the IEE) enjoy a certain degree of autonomy.

50.    There are persistent difficulties caused by the structure in terms of overlapping roles and functions due to the decentralization and devolution of a number of support functions to the sectors and field offices, as identified during the SMT retreat in 2011. Each sector has its own executive office which takes care of some management, administrative, financial and other support functions within their individual areas of authority and under the oversight of the

---

[17] See Annex II.

related headquarters entity (procurement, human resources, IT, etc.). This is not unusual in United Nations organizations but it requires intense and timely coordination.

51. The UNESCO Global Staff Survey emphasized the difficulties associated with knowledge-sharing between sectors and bureaux. The findings of the JIU survey confirmed that better communication mechanisms for knowledge-sharing and in-house cooperation are a matter of concern.

**Table 5: Views of various categories of UNESCO employees on coordination and cooperation between UNESCO entities (in percentages)**

| Q. Based on your personal experience, how satisfactory is coordination and cooperation in the following case? | | | | | |
|---|---|---|---|---|---|
| | Very satisfactory | Satisfactory | Unsatisfactory | Very unsatisfactory | Do not know |
| **Across your sector** | 10.2 | 48.9 | 27.7 | 8.6 | 4.6 |
| **Between sectors** | 1.8 | 27.9 | 44.5 | 13.3 | 12.4 |
| **Between headquarters and field offices** | 4 | 32.1 | 32 | 11.8 | 20.1 |
| **Between headquarters and Institutes** | 2 | 21.5 | 21.3 | 8.7 | 46.5 |
| **Between field offices** | 2.1 | 22.6 | 20.9 | 6.9 | 47.5 |
| **Between field offices and Institutes** | 1.9 | 20.7 | 18.2 | 7.1 | 52.1 |

*Source: JIU survey 2011*

52. Significant restructuring has occurred since 2009. The Inspectors are generally in agreement with the rationale as described in Table 6. The gains in effectiveness or in improved management practices have to be analysed in the long term, but the interim assessment looks positive as shown by the responses from staff. The restructuring of the substantive sectors is the next main challenge, a task that started with the Education Sector in 2011. The Inspectors stress that the restructuring of substantive sectors has to be conducted keeping the prioritization strategy in mind.

**Table 6: Views of UNESCO employees regarding the 2009-2010 restructuring (in percentages)**

| Q. Do you believe that the following restructuring initiatives will contribute to enhancing organizational effectiveness at UNESCO? | | | | |
|---|---|---|---|---|
| | Yes | Some what | No | Do not know |
| Merging of the two secretariats serving the Executive Board and the General Conference to enhance synergies and build upon similar competence and skills | 38.5 | 24.9 | 4.8 | 31.7 |
| Merging the Bureau of Strategic Planning (BSP) with part of Bureau of the Budget to consolidate programming and budgeting activities, including extra budgetary resource mobilization | 32.8 | 30.4 | 17.5 | 19.4 |
| Merging the responsibilities for external relations and public information into one consolidated entity to increase visibility and coherence of communication towards member States and external audiences | 43.8 | 33 | 9.9 | 13.4 |
| Merging of the Bureau of the Budget and the Bureau of the Comptroller to create a Bureau of Financial Management to provide one single desk for all UNESCO financial management and financial control | 38.2 | 30.5 | 8.8 | 22.5 |

*Source: JIU survey 2011*

53. General Conference 30 C/Resolution 83 established the UNESCO decentralization strategy and policy. The decentralization process started in the early nineties "to enhance operational effectiveness in meeting UNESCO strategic programme objectives and to cater

more effectively to the needs of member States." The decentralization strategy and action plan was further redefined in 2000/2001.

54. As documented in many interim reports on the decentralization process, there has been a progressive transfer of regular budget resources to field operations in the last decade. Due to a lack of data, it was difficult to assess the magnitude of this redeployment of all types of resources, regular and extra-budgetary, at the corporate level.

55. The investment in the field is likely to continue to position UNESCO closer to stakeholders, as recommended by the IEE and its follow-up documents. Again, the determination of the right balance of resources between headquarters and the field is highly dependent on the debate on the focus of UNESCO and its prioritization strategy. The decisions on these aspects must be consistent with a larger strategic vision. Only once that vision is proposed by the administration and authorized by member States can it be implemented by the secretariat in terms of human and financial resources allocated.

56. Overall, the comments received by the Inspectors on the decentralization question the level of resources allocated to field offices, the level of autonomy accorded to them to establish successful relationships with local partners, and more importantly the benefits for the Organization in terms of capacity to deliver.

**Table 7: Views of UNESCO employees regarding the implementation of decentralization (in percentages)**

| Q. The progressive implementation of decentralization at UNESCO has been overall successful, improving the capacity of the Organization to deliver | | | | | |
|---|---|---|---|---|---|
| | Strongly agree | Agree | Disagree | Strongly disagree | Do not know |
| **All employees** | 4.6 | 24.1 | 26.4 | 11.1 | 33.7 |
| **Directors and above** | 12.8 | 30.8 | 33.3 | 2.6 | 20.5 |
| **International professionals** | 4 | 24.4 | 29.8 | 15 | 26.8 |
| **Headquarters staff** | 2.8 | 21.5 | 25.4 | 12.6 | 37.6 |
| **Field staff** | 6.6 | 27 | 27.7 | 9.3 | 29.5 |

*Source: JIU survey 2011*

57. The JIU review confirms the findings highlighted by previous oversight reports, including the comprehensive internal evaluation exercises conducted in 2001 and 2004, which pointed out several management issues related to decentralization and problems in management practices within decentralized entities:[18]

▪ Lack of resources;

▪ Lack of coordination and information sharing among field offices of the same region and with headquarters;

▪ Lack of uniformity in sectors' decentralization framework and decentralized capacity;

▪ Absence of performance management, in particular of field office heads;

▪ Lack of oversight capacity of field offices;

▪ IT-related issues (connectivity, compatibility, etc.).

58. In the current architecture, the UNESCO field presence is heavily influenced by the sector structure. Regional offices are mainly dedicated to one predominant sector, for example the office in Havana is the Regional Bureau for Culture in Latin America and the Caribbean; its activities are focused on cultural issues and other sector activities within the same countries do not receive the same level of resources/attention. The office also serves as a

---

[18] 171 EX/6, Part III, 182 EX/6, Part II and IOS/EVS/PI/49, "Field Office Evaluations: A report consolidating the results of evaluations".

cluster office for Cuba, the Dominican Republic, Haiti and Aruba. The office in Santiago de Chile is the Regional Bureau for Education in Latin America and the Caribbean and National Office to Chile, with the same negative consequences for other substantive areas. Meetings held with local authorities responsible for cultural issues and educational matters both in Cuba and Chile showed that regional offices' activities are heavily influenced by the parent sector and that local activities falling within another sector's area of responsibility do not receive the same consideration. This is very significant as eight of the ten regional thematic bureaux also have a cluster function, while one has a national mandate. This implies a loss of corporate vision and creates many small UNESCOs across the world. The current architecture also leads to multiple reporting lines whether one focuses on administrative costs or programme costs.

59. The support provided by headquarters concerning substantive programmes has been queried: "Owing to their limited capacity and their lack of comprehensive awareness of regional and country characteristics and needs, programme sectors at Headquarters are not in a position to provide context-specific strategic guidance to field offices and to ensure adequate monitoring of their activities and projects".[19] These issues were confirmed by the Director-General's report on the reform of the field architecture. The reform is intended to address and remedy issues in the current field network architecture, which is seen to be "thinly spread, not fully equipped in terms of human capacity and often working in silos and not with a holistic and systematic approach to multifaceted demands and challenges".[20] **The Inspectors welcome the fact that UNESCO is continuing to improve the relevance and the effectiveness of its field presence.**

60. The reshaping of the decentralized presence of UNESCO is a highly sensitive reform element which has financial and human resources implications. The Inspectors note the uncertainty of the current situation.

61. The exercise has political dimensions as well. During the consultation process, member States underlined "the requirement for a flexible and progressive country presence that is adapted to the nature of the priority needs of various groups of member States". The Inspectors wish to reaffirm that the criteria used for regional and country implementation should primarily focus on how to configure the most appropriate network and achieve the objectives of UNESCO and its impact in the interests of, and as mandated by, member States themselves.

62. **In general, the Inspectors concur with the main options of the reform endorsed by the Executive Board in October 2010.** In particular, the establishment of multi-skilled regional entities (complemented by a network of desk officers deployed in countries as part of the United Nations presence) represents an opportunity to further develop cross-cutting work and bring more clarity to reporting and accountability lines. However, the exercise should not be limited to a mapping exercise: **the debate on the field network architecture needs to be closely linked with the debate on strategic focus and future priorities. The UNESCO secretariat should thus ensure that both processes are conducted in parallel and that member States are both informed and consulted in a timely manner.**

63. The Inspectors commend certain positive steps that have been taken in the process:

- The regular consultations held with member States of each region at various stages of the implementation, as a way to explain rationales and secure their support;

- The phased approach for the implementation of the new network in two budget bienniums and the planning of a pilot phase focusing on one region (Africa);

- The efforts to estimate the budgetary implications of various scenarios with their consequences in terms of redeployment and capacity to deliver;

---

[19] 182 EX/6, Part II.
[20] 186 EX/28.

- The adoption of a flexible "one size does not fit all" approach. The original option of a standard platform for regional offices has been abandoned in favour of a more flexible approach, to build offices tailored to regional or country needs.

64.    It will be of utmost importance, however, to manage the risks associated with this process, namely:

- The absence of support due to political reasons;

- The possible isolation of desk officers in countries where UNESCO does not have a field presence;

- The inadequate level of resources allocated to meet all regional requirements and support desk officers;

- The establishment of a too diverse network may create confusion and ineffectiveness in coordination and cooperation among field entities and with headquarters.

65.    The recent IOS evaluation report on UNESCO liaison offices[21] illustrates the type of management issues to be tackled as a priority with concrete actions when redefining the architecture of the entire field network. The report points out the lack of strategic guidance for liaison offices; the absence of clearly formulated expectations and profiles for liaison office staff (including directors and liaison officers); and the need for better reporting and communication lines with headquarters and decentralized entities. The Inspectors have been informed that the Director General subsequently issued a policy note in 2011 setting out the roles and responsibilities of the liaison offices.

66.    When adopting the reform and the new field structure, UNESCO has an opportunity to resolve some of the difficulties identified in the past. A thorough risk management approach is a prerequisite for successful reform and should be aimed at (a) simplifying the network architecture and enhancing its internal coordination; (b) clarifying the reporting and accountability lines of field entities and of their heads; and (c) improving oversight of field activities.

**The implementation of the following recommendation is expected to improve the effectiveness of the Organization's activities**

---

**Recommendation 3**

**The General Conference and the Executive Board should ensure that decisions regarding the field architecture and field deployment are fully in line with the conclusions of the debate on strategic focus and future priorities of the Organization.**

---

UNESCO network

67.    To fulfil its mandates, UNESCO relies on its secretariat, composed of the Paris headquarters and a worldwide field presence of offices and institutes, complemented by a vast network comprising various types of entities such as national commissions, clubs, chairs, etc. It also has a wide range of partnerships with United Nations system entities, intergovernmental and non-governmental organizations (NGOs) and in the academic world. Figure 2 shows the complexity of the UNESCO spider network and the diversity of entities associated with its secretariat. This network is a unique feature in the United Nations system that should enable UNESCO "to mobilize diverse actors in support of its values and principles, to access specialized knowledge, to implement programmes, to share experience and good practices, and to further international cooperation in its mandated areas of work".[22]

---

[21] IOS/EVS/PI/110 Rev., "Review of UNESCO Liaison Offices".
[22] 186 EX/17.

**Figure 2: UNESCO network**
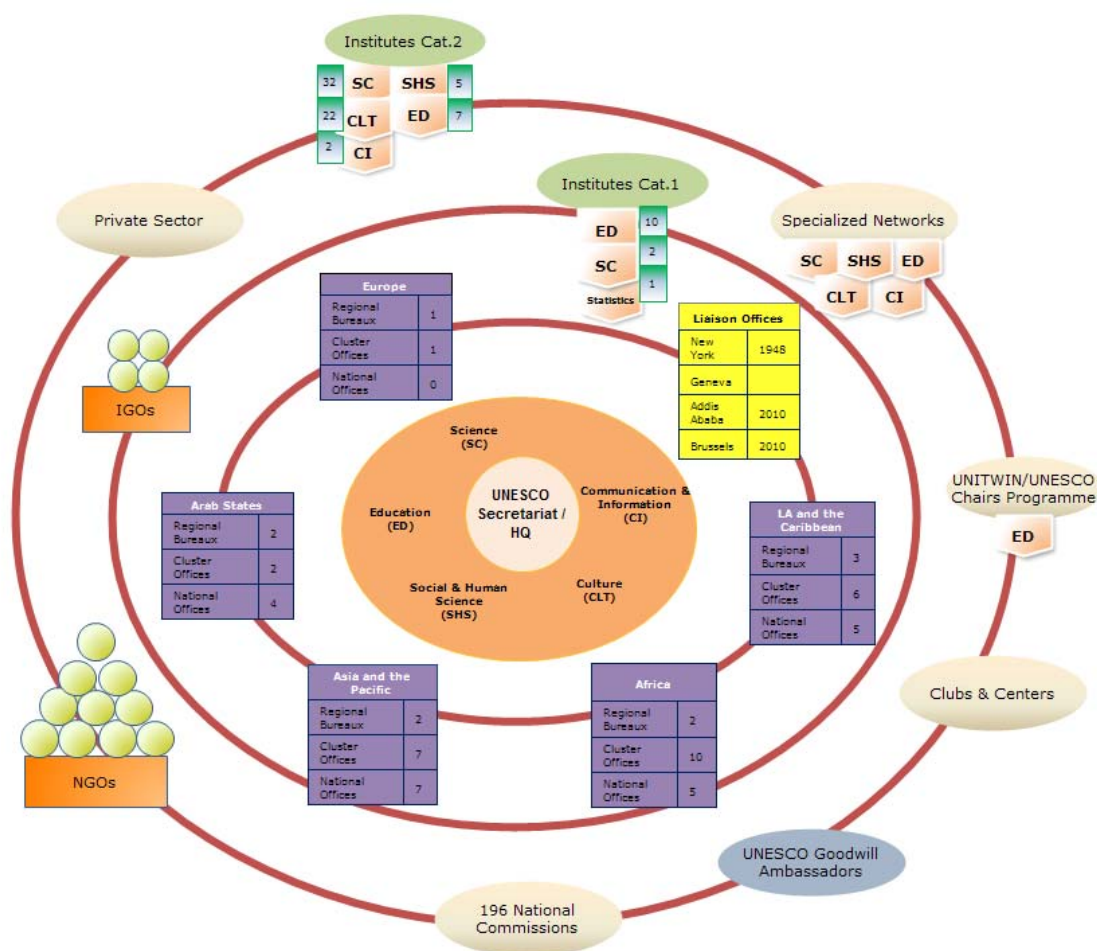


68. This review does not intend to assess how this network is actually mobilized and contributes to UNESCO's goals. This issue was extensively studied in the partnership section of the IEE report that concluded that "at present, this network is under-valued and under-managed". It is a difficult exercise due to the diversity of types of relations between UNESCO and these entities. The added value is difficult to assess and is very much dependent on the specific situation, which might be quite different in each country. One of the proposed actions deriving from the IEE is "to take stock of and assess UNESCO experience of working with different categories of its partners". This task has been initiated by the UNESCO secretariat for some entities such as the UNESCO clubs and NGOs for example.

69. Nevertheless, the network presents some serious challenges and risks in terms of overall management for the UNESCO secretariat: heterogeneity of internal governance, disparate coordination mechanisms with the secretariat, different funding modalities sometimes heavily influencing activities, consistency and accessibility of reporting on results achieved and alignment with UNESCO priorities, etc.

70. While the UNESCO secretariat has adopted policy or strategy documents regarding the network components, and reports thereon to the governing bodies, these issues require more corporate oversight and attention on a case-by-case basis. Table 8 provides an overview of the assessments and evaluations concerning the relations of UNESCO with network components which are not assessed or evaluated on a regular basis from a global perspective. This is of primary importance as there is a reputational risk involved in that all the components of the network are considered by many as UNESCO itself.

**Table 8: Policies and strategies relevant to UNESCO network entities and their assessment**

| Network component | Policy/Strategy document | Assessments |
|---|---|---|
| **National Commissions** | UNESCO Constitution Charter of National Commissions for UNESCO 171 EX/58 171 EX/Decision 64 | Review of the Cooperation of the UNESCO Secretariat with the National Commissions of UNESCO (2011) |
| **Institutes and Centres Cat. 1** | 171 EX/18 171 EX/Decision 23 33 C/19 and decision | Consolidated Findings of the evaluations of UNESCO Major Programme Category I Institutes and Centres (2006), IOS/EVS/PI/58 Evaluation on a case-by-case basis by IOS or the External auditor. |
| **Institutes and Centres Cat. 2** | 171 EX/18 171 EX/Decision 23 33 C/19 and decision | Review of the Implementation of the Framework for UNESCO Category 2 Institutes/Centres (2011) Evaluation on a case-by-case basis by IOS |
| **NGOs** | UNESCO Constitution 165 EX/39 32 C/31 | Evaluation of Non-Governmental Organizations as UNESCO Programme Delivery Mechanisms (2006), IOS/EVS/PI/66 |
| **Chairs** | 26 C/Resolution 1.1(c) 176 EX/10 176 EX/Decision 10 | Several internal and external evaluations, by sector Evaluation of Social and Human Sciences Programming and the UNESCO Chairs/UNITWIN Networks (2006), OS/EVS/PI/67/REV |
| **Prizes** | 171 EX/19 171 EX/Decision 24 | Evaluation of UNESCO Prizes (from Evaluation Plan 2011) |
| **Ambassadors** | | No audit/evaluation conducted |
| **Clubs** | | No audit/evaluation conducted |
| **Associated schools** | | Global Review of UNESCO's Associated Schools Project Network (2004), ED-2004/WS/2 REV |

*Source: Prepared by JIU*

**The implementation of the following recommendation is expected to enhance the controls and compliance of network components.**

---

**Recommendation 4**

**The Director-General should present to the Executive Board and the General Conference (at the 37th session) a comprehensive report on all network components and take appropriate measures for their evaluation at least every four years.**

---

<u>Information and communication technology (ICT)</u>

71.    The Division of Information Systems and Telecommunications (ADM/DIT) is part of the Sector for Administration. Since 2000, radical changes have occurred in the information technology area leading to significant improvement, in particular in operational terms. The implementation of the SAP Enterprise Resource Planning system (ERP) in successive phases is a positive development despite the delays observed. UNESCO should move towards more governance in the ICT area and increased integration of IT systems.

72.    There is a risk of fragmentation in the ICT area due to compartmentalization in sectors and the decentralization of the secretariat. UNESCO sectors and field offices have their own administrative and operational needs, supported by their own IT capacity. UNESCO has a decentralized IT budget. In addition to the ADM/DIT budget, most UNESCO programmes

and services also have their own IT budget. As a result, IT projects and initiatives are decided by the relevant business managers with limited consultation with other UNESCO programmes and managers. Therefore, decisions regarding IT issues may be spread across various levels of the Organization and within individual sectors that maintain their own IT capacity.

73.     UNESCO has made some effort to enhance the governance of its ICT function. The Committee on Information Systems and Services (CISS) was created as a permanent management committee to address ICT issues and investments. It did not fully serve as an ICT governance committee capable of ensuring coherent and coordinated use of ICT across sectors and field offices and institutes, as a result of problems in the frequency of meetings and the participation of business owners and management. The CISS was discontinued and the Corporate Services Committee, whose role is to coordinate the process of streamlining corporate service operations and procedures, should now be the forum for progress in this area, but has not embraced it to date.

74.     UNESCO officials informed the Inspectors that the recruitment of the Chief Information Officer (CIO) in 2011 was specifically intended to meet the objective of developing and implementing an effective knowledge and information management systems corporate strategy. This would be a positive development. There is an urgent need to take the necessary measures to enhance ICT corporate governance in the Organization, a priority area that has not benefited from concrete developments in recent years. The fact remains that UNESCO still has multiple information management systems in place to deal with major corporate processes (Box 2).

**Box 2: Main information management systems at UNESCO**

The System of Information on Strategies, Tasks and the Evaluation of Results (SISTER), introduced in 1999, serves as the main information management system to support RBM (i.e. preparation of the Programme and Budget, development of related work plans and implementation follow-up).

The Finance And Budget System (FABS), introduced in 2002, records financial transactions, maintains the accounts and provides data for budgetary and financial reporting.

The System to Enhance Personnel Services (STEPS), introduced in 2006, was intended to cover human resources management, training information and payroll functions.

**75.     In the view of the Inspectors, UNESCO should endeavour to introduce an integrated system capable of handling its wide range of financial and administrative operations, to better support corporate business processes and backstop its programme activities. UNESCO should make further financial investments to implement fully integrated systems, taking into consideration standardization of hardware and software applications, connectivity and the capacity to deal with programme management requirements.**

## IV: HUMAN RESOURCES MANAGEMENT

76.    The 2000 JIU review called for the strengthening of the human resources section/division "to secure its capacity to ensure respect for staff rules and regulations and objectivity in recruitment, promotion and career development". There are still repeated signals indicating that human resources management requires attention.

▪    Since 2000, several internal and external oversight reports on various human resources management aspects flagged difficulties and problems in procedures as implemented by line managers and by the Bureau of Human Resources Management (HRM).[23] UNESCO executive management informed the Inspectors that the vast majority of recommendations emanating from these oversight reports have been implemented;

▪    Both the UNESCO Global Staff Survey and the JIU survey collected negative opinions in this area. Staff representatives have repeatedly expressed their concerns;

▪    About 30 per cent of requests to the ethics officers are related to human resources issues. In addition, the recommendations contained in the 2010 annual report of the UNESCO Mediators refer to a number of highly problematic cases related to HR practices.

77.    As underlined in the 2010 secretariat's Task Force report, "the opposite trend has taken place with decentralization of personnel matters to the sectors, lack of independent oversight of senior management, recruitment and promotion, and de-professionalization of the staff. Recruitment, rotation, mobility, merit-based rewards, retention and performance evaluation are all substantial parts of what ails UNESCO".[24]

78.    The HR manual and its appendices provide an appropriate framework: relevant policies, rules and procedures have been developed and adopted in the last decade, often in consultation with staff unions and other consultation bodies. The table of delegated authority is comprehensive. This is also recognized by respondents to the JIU survey as shown below. However, there is a general feeling among staff that these regulations and rules are unevenly applied and that procedures are not consistently followed.

**Table 9: Views of UNESCO employees regarding regulations and rules of the Organization (in percentages)**

| Q. Do you find regulations, rules and other administrative instruments sufficient and clear enough for effective implementation? | | | |
|---|---|---|---|
| | **Yes** | **Somewhat** | **No** | **Do not know** |
| | 21.9 | 40.9 | 33.2 | 4 |
| Q. Do you find regulations, rules and other administrative instruments easily accessible? | | | |
| | 35.3 | 37.2 | 25.3 | 2.2 |
| Q. In your views, are administrative regulations and rules implemented in a consistent and fair manner? | | | |
| | 12.6 | 30.3 | 48.5 | 8.6 |

*Source: JIU survey 2011*

79.    The delegation of authority and accountability to sector managers regarding various human resources matters, combined with the decentralization process and the independence of the sectors, have created a risk for the Organization. HR processes (definition of posts, verification of candidates' profiles and eligibility, performance evaluation, etc.) and decisions

---

[23] For example, 186 EX/30 Part IV, External Auditor's audit of the recruitment and end of service procedures and IOS/EVS/PI/96 Rev.2, "Evaluation of UNESCO's Recruitment Policy and Practice".
[24] Quoted from the consolidated report of Task forces created in 2010 to "analyze, examine and mobilize UNESCO's staff at all levels, from Headquarters and from the Field, to propose new ideas and orientations and to assist me in introducing new working methods in order to optimize the work of the Organization."

(recruitment, promotion, etc.) are currently spread across UNESCO. While UNESCO has corporate policies in place on all HR issues, they are handled by entities that vary in size and resources, have different priorities and are led by different types of managers. There is therefore an increased risk of inconsistency in the implementation of policies and rules. UNESCO requires a Bureau of Human Resources capable of providing strong oversight and systematic communication and training on HR matters throughout the Organization both at headquarters and in the field. The placement of HR officers in specific sectors and at field locations when relevant must also be considered.

80.    The above goes along with a perceived lack of accountability on the part of managers, together with a certain feeling of impunity as underlined by the UNESCO Global Staff Survey in which only 38 per cent of respondents consider that their managers promote compliance with regulations and rules. The JIU survey allowed respondents to refine that statement and showed that line managers are perceived more positively compared to senior managers in that regard. Nevertheless, the Inspectors stress here that HR managerial responsibilities should necessarily be linked with managerial accountability.[25]

**The implementation of the following recommendation is expected to enhance the controls of and compliance with human resources processes for accountability purposes.**

---

**Recommendation 5**

**The Director-General should ensure full compliance with human resources rules and procedures and consistency in their enforcement across the Organization.**

---

### A. UNESCO workforce

81.    Table 10 provides a snapshot of the UNESCO workforce in 2010 (all positions, funded by the regular budget and from other sources, showing heterogeneity in status and locations). The Inspectors wish to underline the following points:

- ▪ UNESCO's workforce capacity has dropped by 7 per cent (from 4,285 in 2007 to 3,980 in 2010), notably due to budget constraints;

- ▪ Professional expertise is still mostly headquarters-based, and UNESCO can be seen as a centralized organization with a significant percentage of its staff funded by the regular budget and stationed in Paris;

- ▪ Over 40 per cent of the workforce consists of temporary assistance. UNESCO executive management considers this a reasonable level to ensure flexibility of the workforce. **In the opinion of the Inspectors, this, however, constitutes a risk for organizational effectiveness, business continuity, retention of expertise, knowledge management, etc.** At UNESCO, there is an extreme diversity in the contractual arrangements for temporary assistance according to the nature of services, the duration, the hiring authority and the funding modalities.[26] In this context, the planned streamlining of the contractual arrangements for temporary assistance to be implemented in 2012 is very much welcomed by the Inspectors.

---

[25] JIU/REP/2011/5, "Accountability Frameworks in the United Nations System".

[26] For example: temporary staff members, appointment of limited duration, short-term language contracts, supernumeraries, service contracts, special services agreements or individual consultants.

**Table 10: UNESCO workforce in 2010, distributed by categories and by locations, in numbers and percentages**

|  | Headquarters | Field** | Total | Headquarters | Field** |
|---|---|---|---|---|---|
| **International Professionals (and Directors)** | 672 | 333 | 1005 | 67% | 33% |
| **General Service staff** | 691 | 444 | 1135 | 61% | 39% |
| **National officers** | - | 87 | 87 | - | 100% |
| **Appointment of limited duration (ALD)** | 94 | 90 | 184 | 51% | 49% |
| **Consultants*** | 252 | 374 | 626 | 40% | 60% |
| **Supernumeraries*** | 152 |  | 152 | 100% |  |
| **Special services agreements* (SSAs)** | - | 95 | 95 | - | 100% |
| **Service contactors* (SCs)** | - | 696 | 696 | - | 100% |
| **Total** | 1861 | 2119 | 3980 | 46.8% | 53.2% |

*Source: Based on data provided by UNESCO in 2010. * refers to full time equivalent positions, ** field includes staff at Institutes*

82.   In the past, a number of persons were employed on temporary contracts for periods exceeding regulations and rules and best practices. The UNESCO secretariat indicated that the number of staff employed for 3-5 years under short-term contracts had been brought down from 84 in 2008 to 5 in 2011 as the result of action by HRM. The review involved a competitive process to recruit the most competent candidates on fixed-term appointments, appointments of limited duration or separations, as appropriate.

83.   The vacancy rate at UNESCO is above 10 per cent (as of January 2011). The Inspectors welcome the fact that the corporate Human Resources Strategy (2011-2015) contains provisions to address this situation. **The UNESCO secretariat should continue to make all efforts to reduce recruitment delays, which are still significant, in particular at the field level.** On average internal recruitment processes last seven months and external processes 11 months. The target for recruitment set by the HR strategy is six months.

84.   The Inspectors noted that, for the period 2008-2010, 101 staff members were extended beyond the mandatory age of retirement (of whom 25 at Director level). A number of retired staff were recruited thereafter as consultants, supernumeraries or temporary assistance (86 in 2008, 141 in 2009 and 107 in 2010). Without wishing to minimize their contributions to the Organization and whilst recognizing the necessary succession planning procedures, this is not considered to be good practice. It runs counter to the introduction of new blood and talent into the Organization and reduces and even jeopardizes career opportunities for experienced internal staff members. The Inspectors also call for further clarification of the reasons for the use of these staff, the duration and the number of possible extensions.

85.   The External Auditor pointed out recurrent issues related to the use of consultants; in particular the reasons for recourse to external consultants and the procedures followed to recruit and hire them. In 2010, 1,248 individual consultancy contracts were issued at headquarters and 2,107 in the field (not including the 1,165 contracts delivered solely for the UNESCO Brasilia Office, which appears to be a special case). Even if these figures have slightly decreased compared to 2009, the recourse to consultancy at UNESCO remains high even though it is justified by the need for expertise to fulfil the Organization's mandate. The number of individual consultants then decreased by about 20 per cent. In 2010, almost 500 consultants were employed by UNESCO, most of them hired directly at the sector or field level under delegated authority.

86.    Two recent audits produced by the External Auditor on two UNESCO divisions belonging to two different substantive sectors revealed problems.[27] The qualitative aspect of selection and performance appraisal of consultants could be enhanced. UNESCO is currently reviewing and strengthening its evaluation methodology.

Gender balance

87.    Overall, women represented 56 per cent of the workforce of UNESCO in 2011, which compares favourably with other United Nations organizations.[28] The representation of women in the International Professional category is slightly lower but still above gender parity at 52 per cent. However, these figures hide a less positive reality regarding gender balance:

▪    Women mainly hold positions at P2 and P3 levels;

▪    The ADG level shows good gender balance, but despite some improvement in recent years, the director level remains largely male dominated;

▪    Women represent only 23 per cent of Directors of Bureau/Heads of Field offices (11 out of 41, as of April 2011);

▪    The internal promotions granted at Director and P5 levels during November 2009 and October 2010 were largely male dominated. Not surprisingly, 77 per cent of women promoted were from the General Services category. Internal promotions reflect a lower rate for professional women, a situation which should be reviewed by senior management. The gender balance is much better for the external recruitment exercises.

**Table 11: Gender balance at UNESCO (as of January 2011)**

| Grade | Female | Male | Female | Male | Total |
|---|---|---|---|---|---|
| **DDG** | 0 | 1 | 0% | 100% | 1 |
| **ADG** | 5 | 6 | 45% | 55% | 11 |
| **D-2** | 6 | 16 | 27% | 73% | 22 |
| **D-1** | 16 | 50 | 24% | 76% | 66 |
| **Total D and above** | 27 | 73 | 27% | 73% | 100 |
| **P-5** | 64 | 101 | 39% | 61% | 165 |
| **P-4** | 96 | 113 | 46% | 54% | 209 |
| **P-3** | 152 | 133 | 53% | 47% | 285 |
| **P-2** | 117 | 56 | 68% | 32% | 173 |
| **P-1** | 10 | 5 | 67% | 33% | 15 |
| **Total P** | 439 | 408 | 52% | 48% | 847 |
| **Total NO** | 40 | 51 | 44% | 56% | 91 |
| **Total GS** | 695 | 416 | 63% | 37% | 1111 |
| **Total** | 1201 | 948 | 56% | 44% | 2149 |

*Source: Based on data provided by UNESCO in 2011*

88.    The UNESCO Action Plan for Gender Parity (2008-2015, aimed at achieving parity among senior management positions (D-1 and above) by 2015, is a positive development.[29] The plan is based on measures in the areas of recruitment, training and work/life balance. Intermediate results are already below initial expectations; there is thus a need to intensify efforts to achieve its ambitious target. UNESCO should continue its proactive measures to identify current female staff interested in assuming managerial responsibilities and better prepare them for managerial functions. For external recruitment, demonstrated managerial experience on the part of women candidates should be seen as an asset for joining the

---

[27] 185 EX/32 Part II and 186 EX/30 Part III.
[28] Based on CEB statistics for 2008 or 2009.
[29] 179 EX/5 Part I.

Organization. With due respect to the professional capacity and experience of other competitors without regard to gender, **the Director-General should continue to undertake special measures to ensure full compliance with gender balance targets as expressed in the Gender Action Plan, paying specific attention to senior management level.**

Geographical distribution

89.    Article VI.4 of the UNESCO Constitution stresses the need to meet the highest standards of efficiency, technical competence and integrity as well as the importance of a wide geographical basis for the secretariat workforce. There are currently 890 posts subject to geographical distribution in the UNESCO secretariat, across 155 countries (out of 193 member States) using a method of calculation revised in 2003.[30] In 2000, JIU made two recommendations directed at improving geographical distribution, including among senior level officials, which are still relevant and have been included by UNESCO in the Action Plan for the Improvement of Geographical Distribution in the Secretariat (2010-2015).[31]

90.    Table 12 compares figures on geographical distribution from 2000, 2005 and 2011. It shows a positive development: the number of countries normally represented has increased while the number of countries overrepresented and non-represented has decreased. This is, however, tempered by the slight growth in the underrepresented category.

**Table 12: Geographical representation since 2000**

| Status of representation | 2000 | | 2005 | | 2011 | | Variation in number |
|---|---|---|---|---|---|---|---|
| **Normally represented** | 68 | 36% | 79 | 41% | 78 | 40% | + 10 |
| **Overrepresented** | 31 | 16% | 26 | 14% | 26 | 13% | - 5 |
| **Underrepresented** | 45 | 24% | 55 | 29% | 51 | 26% | + 6 |
| **Total-represented** | 144 | 77% | 160 | 84% | 155 | 80% | + 11 |
| **Non-represented** | 44 | 23% | 31 | 16% | 38 | 20% | - 6 |
| **Total Member States** | 188 | 100% | 191 | 100% | 193 | 100% | + 5 |

*Source: Based on data provided by UNESCO*

91.    Progress was made mainly during the period 2000-2005. In some cases, figures actually deteriorated after 2005. The UNESCO secretariat thus presented a five-year Action Plan (2010-2015) aimed "at increasing the number of normally represented countries, (and) at reducing the number of non-represented and underrepresented countries and at improving the geographical balance at Director Level". Given the persistent difficulties in this area, the time frame and targets detailed in the Human Resources Strategy for achieving results seem reasonable.

92.    UNESCO also produces statistics on the representation of regional groups even though the quotas refer to individual country representation. The Inspectors wish to stress that two groups, namely Group III (The Latin American and Caribbean Group of States, GRULAC) and Group IV (The Asia and Pacific Group of States, ASPAC), have remained underrepresented for years.

93.    This is of primary importance to ensure diversity not only of workforce composition but of its expertise, bearing in mind the UNESCO Constitution and its Staff Regulations and Rules. The UNESCO mandate relates principally to developing countries but its human expertise originates mainly from the developed countries. For example: 40.5 per cent of

---

[30] See General Conference resolution 32 C/Resolution 71 (2003) for current methodology for the calculation of geographical quotas, based on a combination of three factors, e.g. membership, contributions and population.
[31] 184 EX/5.

Directors' positions are occupied by staff from Group I (Europe and North America) while only 6 per cent are occupied by staff from Group II (Eastern Europe and Russia).

**Figure 3: Geographical diversity at Director level in 2011**
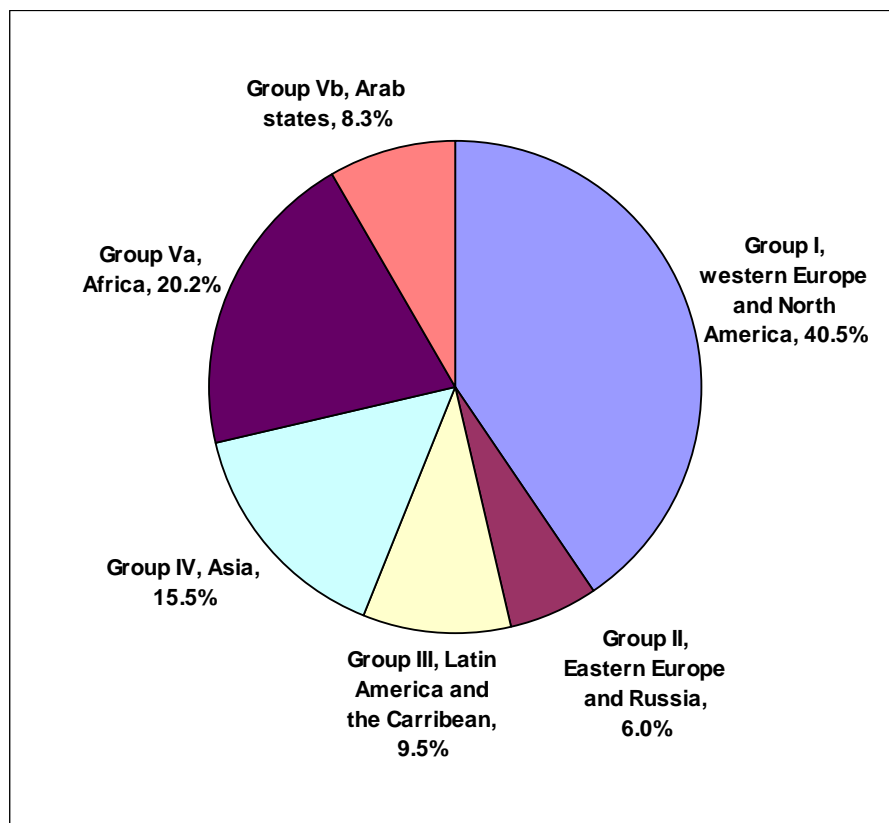


*Source: Based on data provided by UNESCO*

94. One of the proactive measures to improve geographical distribution focuses on the junior level. Each biennium in the Young Professionals Programme, at least ten positions are identified and directly announced to non/underrepresented countries, which are encouraged to submit candidates. The Inspectors identified this as a good practice that could be transferred to other organizations. Bi-monthly monitoring charts on key HR indicators including information on geographical representation and gender balance are provided to ADGs and Directors of Bureaux. These reports are designed to provide information to facilitate the planning and selection process in each Sector/Bureau.

95. As stated by UNESCO, the retirement forecasts for the coming years provide an opportunity to make decisive progress towards the ambitious targets defined in areas of both geographical distribution and gender balance. For example, UNESCO estimates the number of expected retirements on geographical posts at 155, of which 46 are Directors, until the end of 2015. **The Director-General should continue to undertake measures to ensure that geographical distribution of staff is in line with current targets as set out in the Action Plan for the Improvement of Geographical Distribution, paying specific attention to equitable representation at the senior level.**

**B. Career management**

96. The Human Resources Strategy 2011-2015 must be viewed as a key corporate tool to assist in building the future UNESCO workforce, due to (a) the large number of upcoming retirements of staff members, which makes it necessary to take succession planning measures

at all levels of the Organization[32] and (b) the need to replace retiring staff with appropriate profiles to meet future challenges. **The content of the HR strategy is closely related to the debates on the focus and priorities of UNESCO and of each of its substantive sectors. The definition of skills and competencies that UNESCO staff should demonstrate in the future cannot be separated from the debate on strategic positioning, flagship programmes, etc**.

97.    As in many international organizations, career development is a sensitive matter and a subject of concern among staff members. This appears to be more prominent at UNESCO and creates frustration among all categories of staff. Fewer than 50 per cent of respondents to the UNESCO Global Staff Survey considered that the Organization provides opportunity for development and professional growth. It is one of the main points raised by those considering leaving the Organization, in particular within the Professional and General Services categories. This was confirmed by the JIU survey. To nuance this assessment, UNESCO executive management informed the Inspectors that for the biennium 2008/2009, a total of 290 individuals (15 per cent of the staff) were promoted.

**Table 13: Views of UNESCO employees on the recruitment and promotion process (in percentages)**

| Q. In my personal experience, the processes listed below are fair and related decisions are communicated in a transparent manner | | | | | |
|---|---|---|---|---|---|
| | Strongly agree | Agree | Disagree | Strongly disagree | Do not know |
| **Recruitment** | 7.6 | 29.6 | 34.3 | 19.8 | 8.7 |
| **Promotion** | 3.4 | 14.1 | 40 | 24.2 | 18.2 |

*Source: JIU survey 2011*

98.    The Inspectors were informed by management and staff that it was not unusual to observe pressure from member States' representatives in recruitment or promotion processes. The Inspectors are of the opinion that member States should act in compliance with the rules and procedures in force on the matter.

99.    The discussions with staff, their representatives and UNESCO managers highlighted serious divergences of opinion regarding career management, in particular on the question of internal versus external recruitment. The profile and overall professional quality of the current workforce is questioned by some UNESCO managers. It should be noted that UNESCO staff rules provide that all posts for Directors and above be externally advertised, and that the Director-General has the discretionary authority to advertise all other posts externally. UNESCO executive management uses this option strategically, in particular when it is important to ensure a minimum number of appropriately qualified applicants to allow a competitive process. Staff Rule 104.2bis reads "The posts in the Director category and above at HQs shall be advertised externally for two months (…) without prejudice to the discretionary power of the DG to authorize in specific cases that other posts be also advertised externally", which provides a great deal of flexibility for external recruitment. Table 14 provides comparative figures on human resources processes and shows that the number of candidates recruited externally exceeded the number of current staff promoted during the period reviewed by the Inspectors (November 2009-October 2010).

---

[32]UNESCO foresees the retirement of almost 20 per cent of its staff by 2015 (21% at HQ, 18% in the Field and 15% in Institutes). Source: UNESCO Key staffing data 2011.

**Table 14: Summary of HR processes at headquarters and in the field conducted between November 2009 and October 2010, broken down by grade (in figures)**

|  | External recruitment | Internal promotion | Internal transfer |
|---|---|---|---|
| **Directors** | 9 | 9 | 5 |
| **P5** | 2 | 9 | 10 |
| **P1-P4** | 32 | 23 | 32 |
| **GS** | 48 | 22 | 15 |
| **Total** | 91 | 63 | 62 |

*Source: Data consolidated from UNESCO intranet*

100. The Inspectors reaffirm the principle of a competitive process for recruitment and promotion with the objective of recruiting the best qualified and most experienced candidate for any given position. However, the career path of internal candidates is a legitimate concern and should be part of the global approach. Internal candidates should be offered sufficient and adequate training opportunities to have a chance to compete successfully. UNESCO executive management informed the Inspectors that a self-assessment competency tool is presently under development.

101. While General Service (GS) staff are allowed to compete for posts in the Professional category and are regarded as internal candidates in the competitive process, few were able to reach the Professional (P) category (12 cases in 2008-2009). There are currently no formal routes (such as an examination) for UNESCO GS staff members to reach the P category as is the case in other organizations. This is an opportunity to be explored; either through participating in existing examination processes or by organizing a dedicated UNESCO examination at regular intervals.

**C. Mobility**

102. Mobility is a sensitive matter as it is a challenge for any organization to create the conditions to meet both organizational needs and the staff's professional and personal expectations. After a latency period, UNESCO is making efforts to implement the Mobility Policy adopted by the Executive Board in 2009,[33] which is based on (a) the mandatory movements of internationally recruited Professionals and (b) the principle of rotation to hardship duty stations coupled with time limits for assignments. A geographical mobility coordinator was appointed in 2010 and a dedicated internet site launched by HRM.

103. Progress is noticeable in particular regarding the reassignments of staff deployed at hardship and non-family duty stations. Mobility requirements should be further included in the recruitment and promotion processes to increase this trend. However, all figures consulted by the Inspectors reveal that geographical mobility of international staff at UNESCO remains limited (the mobility rate stands at roughly 10 per cent of the staff concerned) and that mobility is primarily a field to field event.

104. There are currently inherent difficulties associated with increasing mobility at UNESCO: (a) the attractiveness of Paris headquarters in terms of living conditions should not be underestimated; (b) at this point in time, the UNESCO field network does not provide sufficient mobility opportunities for its P staff to ensure smooth rotation (not enough positions of an appropriate level, not enough vacant posts); (c) mobility has cost implications; and (d) the idea of functional mobility between sectors or functions clashes with the need to ensure maximum expertise within sectors. Interviews revealed that mobility may be perceived and implemented in different ways in the sectors, which are quite different in size and not decentralized in the same way.

---

[33] 181 EX/ 6.

105. **The Inspectors are nevertheless convinced that mobility is a prerequisite for international civil servants and an integral part of their career path.[34]** Increased rotation of staff members between UNESCO headquarters and field locations (geographical mobility) and between its sectors or between functions (functional mobility) could be of assistance to the Organization in the development of better corporate and institutional knowledge and the sharing of experiences resulting from exposure to different cultures and realities. Such mobility could also contribute to ease intersectoral and cross-cutting work throughout the Organization. It could also to some extent involve GS staff, as administrative expertise is transferrable from one sector to another. The proposal to establish a Mobility Review Committee, which emerged during the discussions of the secretariat's Task Force, should be further explored.

106. UNESCO employees are looking forward to seeing this happening: the UNESCO Global Staff Survey shows that both P and GS staff are receptive to intersectoral assignments, lateral movements, posting to another sector or even another agency, and transfer to another duty station.

**Table 15: Views of UNESCO employees on mobility issues (in percentages)**

| Q. I would like UNESCO to give me more opportunity for… | | | | | |
|---|---|---|---|---|---|
| | **Strongly Agree** | **Agree** | **Disagree** | **Strongly Disagree** | **Not Stated** |
| **Intersectoral assignments** | 25 | 38 | 13 | 6 | 18 |
| **Lateral movements** | 23 | 28 | 16 | 5 | 20 |
| **Moving to another duty station** | 22 | 28 | 22 | 7 | 21 |
| **Moving to another Sector/Bureau/Institute** | 23 | 31 | 19 | 6 | 20 |
| **Support for Inter-agency mobility** | 29 | 32 | 15 | 5 | 19 |

*Source: UNESCO Global Staff Survey 2010*

107. Mobility has to be linked with a global set of incentives going beyond the current incentives, which are mainly of a financial nature. It should be more closely related to career progression. In coordination with other system-wide initiatives, UNESCO could explore potential internal incentives and other motivation methods to increase the mobility of its staff, such as making field positions more attractive in terms of professional challenges and conditions of work, granting access to temporary promotion in the field, granting promotion at headquarters subject to minimum field experience, allowing increased occupational mobility when going to the field, greater financial compensation, extended work-life measures, etc.

**The implementation of the following recommendation is expected to enhance the effectiveness of the Organization.**

---

**Recommendation 6**

**With due regard to financial implications and operational requirements, the Director-General should set up a Mobility Review Committee to accelerate the implementation of the mobility policy of International Professionals and explore modalities for the functional mobility of other categories of staff.**

---

**D. Performance management**

108. In the Inspectors' opinion, delegation of authority is a basic principle of good management. Nevertheless, there is a recurrent risk in organizations in which senior officers with an expert profile are granted significant delegated authority as managers. Being a

---

[34] JIU/REP/2010/8, "Inter-agency Staff Mobility and Work-life Balance in the organizations of the United Nations system".

specialist in any substantive area does not necessarily mean having the capacity for, or interest in, managing people (for example, being a good deputy does not necessarily translate into being a good director or high-level official). As pointed out before, the fact that UNESCO has a compartmentalized and decentralized structure increases the need for adequate managerial capacities. Seniority in a specific position must go along with professional expertise and proven managerial performance.

109. Some figures from the UNESCO Global Staff Survey and some interviews conducted by the Inspectors indicate that there are some difficulties between UNESCO staff and their managers:

▪ Only 58 per cent of respondents say that their manager set a positive ethical tone (UNESCO Global Staff Survey). This figure only stresses the importance of the Ethics Office created in 2009;

▪ More than 50 per cent were eager to receive more support from their supervisor as a means to improve their own effectiveness in the workplace (UNESCO Global Staff Survey);

▪ Only 52 per cent of respondents would be confident that their supervisor would be able to effectively handle a concern raised by staff. (UNESCO Global Staff Survey);

▪ Line managers are generally better appreciated than senior management.

110. The area of performance assessment/management was flagged as problematic by the responses to the UNESCO Global Staff Survey and in the reports of mediators. It was confirmed by the interviews conducted by the Inspectors. Staff members do not feel that their performance is managed in a proactive and consistent way by their supervisors. Increased recognition and support was pointed out as a way to improve effectiveness, and this was reiterated by staff representatives. Absence of recognition may lead to de-motivation and frustration among staff and impair the organizational capacity to deliver.

111. Since 2004, performance assessment/management of UNESCO staff members at headquarters and in the field has been handled on a biennial basis through the Perfoweb system, with a mid-cycle review to ensure dialogue and realignment of tasks if necessary. The Inspectors recall the findings and the recommendations of the External Auditor in 2009.[35] In 2010, fewer than 50 per cent of respondents felt that the system was adequate (with no major difference between headquarters and field staff). Concerns expressed are both substantive (with regard to feedback received) and technical (with regard to connectivity or coverage). The compliance rate at headquarters was over 80 per cent, but is lower in the field, in particular with respect to the organization of review panels.

112. It was brought to the attention of the Inspectors that HRM has developed "Supporting Performance Management at UNESCO: A Guide for Staff and Managers", which addresses the principles of effective performance management and processes as well as a manual on navigating the online tools. **To further develop a stronger performance culture, the Inspectors strongly recommend implementing a 360-degree evaluation system**, a system that is supported by UNESCO staff members, including at the Director level, in the UNESCO Global Staff Survey.

113. There is a need to implement a clear and transparent mechanism to assess senior managers' performance. In recent years, it has been unclear how the performance of top-level officials was evaluated. During the review, the Inspectors were told that a new performance contract for senior managers had been introduced in 2011. It concerns all 19 SMT members and all Directors/Heads of Field Offices. As stated by UNESCO, the objectives are to emphasize the responsibility of managers with regard to performance management and to enhance the internal control mechanism and accountability required of senior managers. The

---

[35] 182 EX/48.

Inspectors are looking forward to seeing the implementation of such performance contracts as of 2011.

114. Several United Nations system organizations have such a system in place via the establishment of compacts agreed with high-level officials that are reviewed and scored annually by a management performance board against specific programmatic objectives and managerial targets.[36] The new system must be implemented in a fully transparent manner. This is a requirement in order to avoid the development of a tangible perception of impunity on the part of senior managers among staff.

**The implementation of the following recommendation is expected to enhance accountability within the Organization.**

| Recommendation 7 |
| --- |
| **The Director-General should implement a new system of managing individual performance, including for senior officials, by, inter alia, including a 360-degree feedback mechanism as an annual exercise, no later than 2013.** |

### E. Training

115. UNESCO allocates 1.2 per cent of the total staff expenditure per biennium to training purposes (4,760,000 USD based on 2010-2011 figures). The amount allocated to training has significantly decreased in the last two bienniums (6,000,000 USD in 2006-2007). There is also a training budget for each sector, which is managed internally, to develop substantive skills.

116. As previously mentioned, UNESCO staff want more opportunities for development and professional growth, which must be linked to adequate corporate training programmes. However, the percentage of the training budget dedicated to career development is less than 5 per cent of the total training budget.

117. In general, current training opportunities received a critical response from UNESCO Global Staff Survey respondents: over 60 per cent were dissatisfied with the quantity and the quality of training. More than 80 per cent of UNESCO staff members are looking forward to having more opportunities to update their skills within their own area of competence, but also within another area of competence, which is an encouraging statement for developing functional mobility. The Inspectors note in this regard that the level of dissatisfaction does not vary between staff members located at headquarters and those deployed in the field or in Institutes. A transparent, balanced and well regulated system for training among staff will avoid growing perceptions of favouritism towards some staff members who, as a consequence, enjoy better opportunities for promotion.

---

[36] JIU/REP/2011/5, "Accountability Frameworks in the United Nations system".

**Table 16: Training opportunities at UNESCO (2008-2009)**

| Objective 1: Enhance Organizational Effectiveness |
|---|
| Senior Management Symposium |
| UNAIDS – Implementation of UNAIDS learning strategy |
| Institutional training: Field Offices and institutional at HQs |
| Staff Orientation for HQ and Briefing for Headquarters and Fields |
| CCA-UNDAF & Related Programming Tools (e.g. SWAP) (2004-2005 : UNSSC $50000) |
| Senior Management Network (SMN) |
| UNSSC Financial Contribution |
| Spouse Employment Dual Career |
| Induction Course New Reps/Head of Office |
| UN Cost Sharing Learning Projects |
| UN Learning and Management Network & UN Career Network & Roundtable |
| Generic Training on UN Reform |
| UN Resident Coordinator Assessment Centre |
| Anti-Harassment Training "Positive and Productive Workplaces" (design and pilot) |
| **Objective 2: Enhance Professional Competencies** |
| Post-Conflict / Post Disaster Training |
| Enhance Professional and Management skills for Programme Delivery (Soft Skills) |
| Language Training |
| Human Rights Training |
| Gender Mainstreaming Training |
| Office Software Training |
| Delegated Funds (Field Offices + Institutes 1$^{st}$ cat. + HQ: including all training) |
| **Objective 3: Enhance Management and Accountability** |
| Results-Based Management |
| Leadership and Management Development |
| Management Tools (FABS, SISTER, WEB, STEPS) |
| AO Training (Field) |
| IPSAS Training |
| Table of Authority Learning Programme |
| Financial Accountability |
| Quality Assurance for Publication |
| Enhancement of Governing Body documentation quality |
| **Objective 4: Career Development** |
| Assessment Center for Development |
| Succession Planning |
| Competency Profile |
| Mentoring Programme |
| Management Development for Women |
| Career Development Training |

*Source: Based on information received from UNESCO*

118. Several suggestions from the UNESCO Global Staff Survey received positive feedback from respondents: coaching, mentoring, external training and on-the-job training etc. More proactive partnerships with private and academic/research entities could open training opportunities for UNESCO staff that would ultimately enhance internal capacity. With regard to reform, UNESCO should add to its training portfolio specific training on change management to provide managers with the skills to effectively manage the change process and facilitate a change of culture across the Organization.

# V.    PLANNING AND BUDGETING

## A. Strategic guidance, planning and results-based management

119.  "UNESCO has to better define its focus, to agree on its priority areas in which it could demonstrate more impact instead of spreading activities in all areas relevant to its wide and permissive mandate". This is a common opinion expressed by member States, the Director-General, secretariat officials, the Senior Expert Group on Reforms and the IEE team.

120.  As identified by member States and the UNESCO secretariat, the next medium-term strategy (2014-2019) will be an opportunity to make decisive progress in the definition of UNESCO's focus and priorities. As a result of IEE, the Director-General indicated her intention to concentrate on a limited number of strategic objectives and related outcomes. This requires a wide-ranging, comprehensive debate among all stakeholders. Preliminary discussions for guidance took place at the 36th session of the General Conference in the context of the preparation of the next C/4 and C/5 planning documents to enable in-depth discussions and to capture relevant feedback before strategic choices are made by member States. There is little time to start implementing the operational actions planned by the Director-General in her follow-up report to the IEE.[37] This is an important matter as member States that were interviewed by the Inspectors were not fully satisfied with the consultation and planning processes in the past.

121.  The Inspectors are thus looking forward to seeing future C/4 documents successfully addressing these challenges. A number of improvements have already been launched to define a set of criteria assessing current and future programmes against the priorities as decided by the General Conference, so that member States may confirm the relevance of these: (a) the introduction of rating scales into the consultation process; (b) the strengthening of internal management through monitoring of programme implementation and development of exit strategies when necessary; and (c) the ongoing assessments by the Executive Board of key achievements and challenges across all programmes contributing to the discussions on the continuation or discontinuation of certain programmes, for example.

122.  The current elements of the strategic planning at UNESCO and the reporting thereon are shown in Figure 4. Planning comprises a Medium-Term Strategy adopted by the General Conference covering three bienniums (C/4 document), and the biennial programme budget, for which a draft is prepared by the secretariat, reviewed by the Executive Board and adopted by the General Conference (C/5 document). Each sector subsequently draws up an action plan to cover regular programme and extra-budgetary activities.

**Figure 4: UNESCO planning**



---
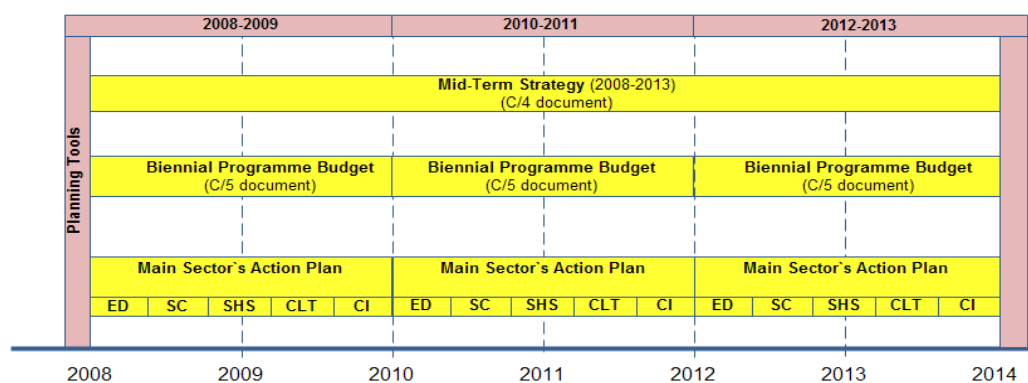
[37] 186 EX/17, Part II.

123. There is a consensus of opinion among the representatives of member States and the UNESCO managers that current planning and reporting procedures are cumbersome and repetitive (comprising many intermediate versions and checks and balances), making this almost an ongoing process from one biennium to the next. It requires significant resources from the secretariat potentially at the cost of programme delivery. One of the key challenges for strategic planning at UNESCO is that it has to deal with five independent sectors (and their satellite institutes) tackling five substantive areas from a system-wide perspective.

124. The WGIEE indicated a number of measures that have the potential to improve the situation: the adoption of a four-year medium-term planning cycle (instead of the existing two years), the systematic application of agreed criteria for introducing new, maintaining existing, or ending programmes under regular and extra-budgetary funding, inter alia. The proposal to have a C/4 strategic document of a rolling nature over eight years together with a medium-term programming cycle of four years is positive. It should contribute to streamlining the process and aligning it with the quadrennial cycle of the United Nations. However, it does not by itself solve the challenge of having clear strategic directions and priorities set up to focus the work of UNESCO on areas where it can demonstrate impact.

125. Appropriately, UNESCO has strengthened the Bureau of Strategic Planning to take care of both programmatic and budget preparation where, in the past, other entities would have been involved. Under the PMC, there are also ongoing efforts to make the planning process more inclusive and improve information sharing to avoid the juxtaposition of individual sector's planning.

**The implementation of the following recommendation is expected to enhance the focus and prioritization scheme of the Organization.**

---

**Recommendation 8**

**The General Conference, at its 37th session, should adopt a new Medium-Term Strategy which clearly defines the Organization's focus, its priorities and expected results.**

---

126. Results-based management [38] (RBM) is stated as a priority for the Organization: "maximum attention to improve the quality of programme delivery, at the global, regional, and country level and to apply optimal results-based management".[39] Some issues remain to be tackled in this area. RBM was identified as being a risk for the Organization by the senior management retreat in 2008. This point was also raised by the 2011 study conducted by the United Kingdom Department for International Development (DFID) on the strengths and weaknesses of United Nations organizations: "UNESCO's results framework is poor, the programme information system is complicated and inadequate attention is paid to results in programming decisions".[40] UNESCO strongly disagreed with this assessment and publicly provided its counter-arguments.[41] The compartmentalization of the Organization might be an issue and there might be some differences in how sectors handle RBM, as implicitly stated in the 2007 IOS evaluation.[42]

127. Since the move to RBM in early 2000, UNESCO has developed guidelines and training modules that have contributed to enhancing internal capacity. These efforts have paid off as

---

[38] RBB/RBM is defined in A/53/500 as "Results-based budgeting, in the form proposed by the Secretary-General for implementation at the United Nations, is a programme budget process in which: (a) programme formulation revolves around a set of predefined objectives and expected results; (b) expected results would justify resource requirements which are derived from and linked to the outputs required to achieve such results; and (c) actual performance in achieving results is measured by objective performance indicators"

[39] 36 C/5 draft resolutions, vol. I.

[40] Multilateral Aid Review, United Kingdom Department for International Development, March 2011.

[41] See http://www.dfid.gov.uk/Documents/MAR/UNESCO-reponse2.pdf?epslanguage=en

[42] IOS/EVS/PI/72, "Evaluation of UNESCO's results-based management training programme."

over 60 per cent of respondents to the JIU survey declared that they were quite familiar with the concept, which can be seen as positive (over 80 per cent of Professional staff). But despite these statements, the implementation of RBM may also still be seen by certain staff and managers as an administrative requirement rather than as a tool for assessing performance and demonstrating usefulness of programmes or taking corrective measures. The Inspectors recall the benchmarking exercise proposed by JIU in its report in 2006, which might serve as a guide to improve RBM at UNESCO.[43]

128. The Inspectors acknowledge that planning and reporting documents produced by UNESCO have improved in recent years, but the analysis of some these documents shows that further progress is needed. While the C/5 programme budget document is well structured according to Biennial Sectoral Priorities (BSP) and Main Line of Actions (MLAs) of each of the UNESCO sectors, the expected outputs are expressed in terms that are too general; the indicators mainly focus on activities (number of policy papers or reports issued, number of seminars held) or are too vague (research undertaken). In some cases, there is inconsistency and confusion between indicators and benchmarks.[44]

129. These difficulties are recognized in several UNESCO statements and were underlined by member States during the WGIEE. As in any global programme budget, it is a challenge to cover all UNESCO activities at the global, regional and country levels and to express expected outputs in such generic terms that they capture the diverse contexts of member States. The 36 C/5 document includes more consistent and clearer indicators and benchmarks, but a substantial margin for improvement still exists. In particular, there is a need to reduce the number of process indicators and to increase the recourse to indicators that are capable of demonstrating the contribution of UNESCO to the achievement of its programmes, even when conducted in partnership. The Director-General's proposals in the IEE follow-up report are going in the right direction. Building on more actionable measures, the Inspectors trust it will lead to improved practices and further implementation of RBM at all levels of the Organization.

130. A key aspect of RBM is the ability of the Organization to report on its results and achievements. The UNESCO secretariat reports on the execution of the programmes at every session of the Executive Board through its EX/4 documents. At the end of the biennium, a consolidated version of EX/4 (complemented by the IOS comments) is prepared for the consideration of the General Conference (C/3 document).

131. The quality of reporting on UNESCO activities and on achieved results was severely questioned by some interviewees during the review. UNESCO evaluation documents regularly point out the absence of reliable data, the variable quality of reporting and the lack of specific indicators of measurement. For example, "Objectives set by UNESCO are defined rather broadly; as a result there is a lack of specific measurable indicators and of an integrated monitoring system".[45] The Executive Board itself, acknowledging some progress, observed that reports "are not always presented with sufficient precision against the expected results listed in the C/5 documents, and do not sufficiently relay the challenges, lessons learned, cost-effectiveness and sustainability of UNESCO's activities".[46] During interviews, some member States expressed a lack of understanding of "what UNESCO is doing", and what its impact is on the ground.

---

[43] JIU/REP/2006/6, "Results-based Management in the United Nations in the context of the Reform Process".
[44] Another example is given by the External Auditor report auditing one of the divisions in the Natural Science sector for which one recommendation calls for improving the quality of programming documents, particularly the formulation of performance indicators and benchmarks. See 185 EX/32 Part II.
[45] IOS/EVS/PI/108 Rev: Evaluation of Strategic Programme Objective 7: "Enhancing research-policy linkages on social transformations, October 2010.
[46] 35 C/9, Part II.

132. The reporting documents should be further improved to meet two major objectives: (a) to focus on results and to demonstrate the link between resources assigned/devoted to programmes and the quality of results obtained by these programmes in the medium and long terms, and (b) to be an effective instrument feeding into the decision-making process of member States in the governing bodies, based on clear and relevant information and data. In that spirit, the WGIEE requested the Director-General to propose a quality framework for Executive Board documents to ensure concise, analytical and action-oriented reports.

133. Several steps taken are worth mentioning in this context: the simplification of the reporting component of the SISTER information system, the standardization of the reporting format, and the consolidation mechanisms for reporting information at headquarters and/or in regional offices. The discussions on further simplifying and shortening biannual mandatory reporting are also positive developments.

## B. Investment in reform

134. Figure 5 presents the financial resources of UNESCO since 2004-2005, with the respective trends of assessed and voluntary contributions. One can observe that the overall level of resources remain at the same level in nominal terms. That means a decrease in financial capacity (in real terms). A decrease in voluntary contributions during the last three biennia has contributed to a reduction in the proportion of extra-budgetary (XB) funding vis-à-vis regular programme resources. This trend is opposite to the trend generally observed in the United Nations system organizations, where XB funding is generally increasing faster than assessed budgeting. This has to be read in the light of recent developments affecting the budgetary situation of the Organization.

**Figure 5: UNESCO regular budget and voluntary contributions resources, 2004-2005 to 2010-2011, in millions of USD**



| | 2004-2005 | 2006-2007 | 2008-2009 | 2010-2011 |
|---|---|---|---|---|
| Regular Budget | 610,000 | 610,000 | 631,000 | 653,000 |
| Voluntary Contributions | 629,127 | 710,791 | 601,316 | 565,722 |
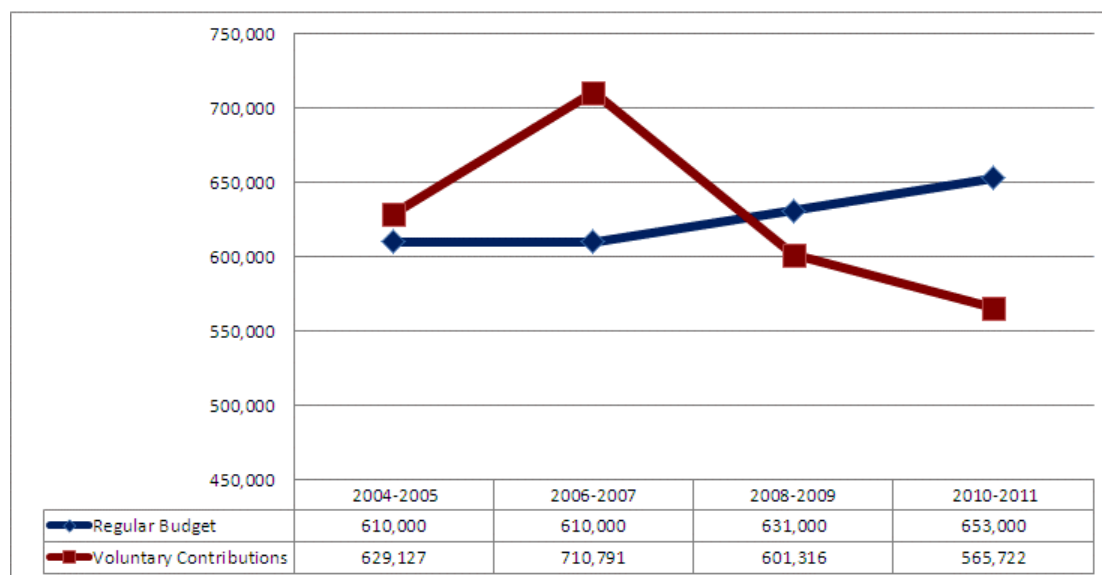
*Source: Data compiled from C5 documents, BOA report on audited accounts and from UNESCO reports on voluntary contributions. Voluntary contributions for 2010-2011 were estimated ceteris paribus on the basis of 2010 figures*

135. These figures provide member States with a medium-term perspective on UNESCO resources. After several years of cuts in various areas and in support services, the UNESCO secretariat warned that continuing in the same way would "seriously undermine its capacity to deliver and will have to be accompanied by major reductions in programmes".[47] In this context, and taking into account the need to invest to ensure the implementation of agreed

---

[47] 36 C/5, Draft resolutions 2012-2013, Volume I.

reforms, the UNESCO secretariat's initial budget proposal for 2012-2013 was based on a Zero Real Growth (ZRG) scenario which meant an increase in nominal terms only. This scenario was not embraced by member States, which requested an alternative Zero Nominal Growth (ZNG) budget scenario subsequently presented by the Director-General.

136. The ZNG budget scenario will impact on reform efforts at a crucial time for the Organization during which investment is necessary to conduct reform and implement change. Any investment entails some risk, but if member States support the need for reform, the UNESCO secretariat should be given the capacity to conduct the exercise. At the same time, the Director-General should continue, or even step up, efforts to make sure that budget resources are allocated and spent in an optimal manner. If regular budget resources cannot cover the reform implementation, attention should be given to a potential alternative for the UNESCO secretariat. Based on its cost estimation of the main reform initiatives, the Director-General should explore the possibility of further mobilizing extra-budgetary contributions for reform purposes.

137. The Inspectors are aware of the fact that reforms will be gradually implemented over the next few years. At the end of the 2012-2013 biennium, an interim external assessment of reform measures and their effectiveness should be conducted to see if they have produced the intended effects, and propose corrective measures thereafter, if appropriate.

138. The debates on the focus of UNESCO touches upon the necessary coherence of its programme activities funded via predictable resources such as pooled or individual voluntary contributions, private and business partners, or governments providing self-benefiting funds with those planned in the C/5 approved by member States. The C/5 document only includes partial XB figures based on firm commitments at the time of the production of the document, an amount which is often higher in reality at the end of the biennium.

139. These issues were previously raised by the External Auditor in 2004 and 2006 and triggered some measures that were intended to reinforce the link between regular and XB resources.[48] However, the 2010 IOS audit highlighted persistent difficulties regarding the XB framework in terms of corporate coherence and the need for strategic vision in this matter.[49] In that context, the WGIEE stressed that the same criteria used for regular budget-based programmes should also guide the decision on activities financed through XB funds, and that such activities should be subject to accountability measures.[50] Such integration is crucial and the Organization should have strong procedures in place to ensure effective implementation. The PMC has an important role to play in this context through ensuring consistency and transparency in the application of agreed criteria for allocating resources.

140. Since 2008-2009, the Complimentary Additional Programme (CAP) contributed to ensuring better alignment between the main lines of actions of the regular programme and extra-budgetary-funded activities. UNESCO is now launching its third CAP 2012-2013. The Inspectors welcome the recent audit of CAP by the External Auditor and concur with its recommendations.

141. Several factors might explain the trend for decline in voluntary contributions, such as the world economic financial crisis and the rationalization of one of the major self-benefiting contributors, but also the deterioration of some donors' confidence in the added value and impact of UNESCO. Tables 17 to 19 provide information on voluntary cash contributions to UNESCO.

---

[48] 174 EX/27

[49] IOS/AUD/2010/02, "Audit of UNESCO's Extra-budgetary Framework", February 2011.

[50] 186 EX/17 Part I. Criteria are: alignment with the overarching/strategic programme objectives; (b) determination of the capacity to deliver and the probability of real impact through the assessment of budgetary and human resources available; (c) delineation and comparative advantage as well as complementarity with the activities of other United Nations partners; (d) formulation of exit strategies and sunset provisions; and (e) periodic assessment of programmes, their implementation rates and exit strategies based on decision-oriented evaluations

- There is no major change in recent years although the number of donors is decreasing;

- Contributions provided by a small group of donors represent over 70 per cent of the contributions, which indicates the need to diversify the funding sources[51];

- The amount of XB contributions made to dedicated trust funds (26.8%) and to self-benefiting trust funds (15.1%) imposes management constraints for UNESCO and may lead to problems in implementation;

- As they rely on a low proportion of regular budget resources, Institutes capture roughly a quarter of the contributions; the majority goes to the Education sector.

**Table 17: UNESCO XB contributions (2008-2010), by amount and number of donors**

| Amount of contribution | 2008 | Donors | 2009 | Donors | 2010 | Donors |
|---|---|---|---|---|---|---|
| Up to USD 100.000 | 4,352,227 | 212 | 3,748,051 | 217 | 4,007,637 | 199 |
| From USD 100.000 to 1 mln. | 21,694,847 | 69 | 23,099,331 | 69 | 17,584,328 | 56 |
| From 1 to 5 million | 46,555,306 | 19 | 47,022,569 | 20 | 58,755,197 | 23 |
| Over 5 million | 235,175,692 | 13 | 219,668,473 | 14 | 202,513,876 | 10 |
| Total | 307,778,072 | 313 | 293,538,424 | 320 | 282,861,038 | 288 |

*Source: data compiled from UNESCO internal memo on voluntary contributions (2008-2010)*

**Table 18: UNESCO XB contributions (2008-2010), by amount and type of donors**

| Donor type | 2008 | 2009 | 2010 |
|---|---|---|---|
| Government sources | 243,190,617 | 19,4571,141 | 204,715,732 |
| Other sources | 25,036,300 | 43,469,890 | 32,238,385 |
| United Nations sources | 39,551,155 | 55,497,393 | 45,906,921 |
| Total | 307,778,072 | 293,538,424 | 282,861,038 |

*Source: data compiled from UNESCO internal memo on voluntary contributions (2008-2010)*

**Table 19: UNESCO main donors (2008-2010) for XB contributions**

| 2008 | 2009 | 2010 |
|---|---|---|
| Brazil | Italy | Japan |
| Italy | Brazil | Italy |
| Japan | Netherlands | Brazil |
| Netherlands | Spain | Netherlands |
| Spain | Norway | Norway |
| Norway | Japan | Spain |
| Denmark | Sweden | France |
| France | France | Belgium |
| Sweden | Germany | Sweden |
| United States of America | Denmark | Iraq |
| and 125 other countries | and 131 other countries | and 125 other countries |

*Source: UNESCO internal memo on voluntary contributions 2010*

142. **Particularly during this period of uncertainty, the Inspectors encourage the UNESCO secretariat to continue its efforts to diversify its resources, including from the academic circle and the private sector.** Considering the mandated areas of UNESCO, there are indeed promising funding opportunities for the Organization, but also some risks, in 2009

---

[51] BFM/FRA/2011/28, Voluntary Contributions received in cash to extrabudgetary activities and Institutes for the period 1 January 2010 to 31 December 2010.

JIU provided benchmarks on corporate sponsoring that could help structure the approach of UNESCO on this matter.[52]

143. In 2011, the SMT addressed the need for better guidance for fund-raising activities. It decided that a new corporate resource mobilization strategy should be presented to UNESCO governing bodies with the objective of broadening the donor base, and providing clear criteria for developing and maintaining relations with other partners, including those in the private sector. All statements, findings and lessons learned identified in various internal committees in the last couple of years, for example at the RMC, should be fully utilized in this process. It should include a solid verification mechanism to be used before engaging with any funding partners in order to ensure avoidance of conflict of interest.

---

[52] JIU/NOTE/2009/1, "Corporate Sponsoring in the United Nations System"

## VI. OVERSIGHT

144. Since 2000, UNESCO has built a comprehensive oversight framework composed of a consolidated Internal Oversight Section (IOS) for audit, evaluation and investigation supplemented by external oversight mechanisms such as the External Auditor, the Oversight Advisory Committee (OAC) and the Joint Inspection Unit. This framework is compliant with the JIU recommendations made in 2000.

**Table 20: UNESCO oversight framework**

| IOS | Conducting internal audits, evaluations, investigations and providing other management support |
|---|---|
| External Auditor | Auditing of UNESCO's annual accounts and financial statements and other specific matters |
| OAC | Advising the Director-General on internal oversight matters |
| JIU | Conducting evaluations, inspections and investigations across the United Nations system |

*Source: IOS annual report 2010*

### A. Internal Oversight Service

145. The administrative authority establishing the internal oversight functions in UNESCO is found in the Administrative Manual, chapter 1.6. Table 21 shows the evolution of IOS resources from regular and XB sources. The IOS share in the UNESCO budget is 0.57 per cent, which is in line with the JIU suggested ranges issued in 2006.[53] The Inspectors note that the resources devoted to internal oversight have been decreasing in recent bienniums. Considering the need for increased oversight at many levels of the Organization, as pointed out in this review, the Inspectors are concerned by this trend, in particular since IOS also takes on other corporate responsibilities.

**Table 21: Internal Oversight Service resources in USD**

| 2008-2009 | Regular budget: 6,161,900<br>Voluntary contributions: 882,000 | Total: 7,043,900 |
|---|---|---|
| 2010-2011 | Regular budget: 6,073,100<br>Voluntary contributions: 814,400 | Total: 6,887,500 |
| 2012-2013 | Regular budget: 6,207,000<br>Voluntary contributions: 736,000 | Total: 6,943,000 |

*Source: 34 C/5, 35 C/5 and 36 C/5 (Draft resolutions 2012-2013, Volume I)*

Internal audit

146. IOS uses a risk-based approach in defining its audit plan. Audited entities are prioritized and related resources allocated after an analytical exercise considering elements of risk such as the size of the budget, the operational significance, the nature of the expenditure and previous audit findings. For that purpose, entities and business processes are divided into three groups: (a) headquarters units and operations managed by headquarters, (b) field units

---

[53] See JIU/REP/2006/2, "Oversight Lacunae in the United Nations System".

and entities away from headquarters and (c) Information and Communication Technology (ICT) related categories.

147. Internal audit functions are aligned to professional norms and standards and have been subject to external peer reviews or self assessment exercises in recent years. IOS has also developed various quality assurance mechanisms[54] and introduced a number of best practices such as electronic working papers, professional certification requirements and client surveys. Internal audit recommendations and their status of implementation are recorded in an IOS database. The Inspectors welcome this follow-up mechanism as an important element in fulfilling the IOS mission. The number of outstanding audit recommendations has been drastically reduced in recent years through increased emphasis by senior management and close follow-up by IOS. However, the tracking of outstanding recommendations resulting from evaluations is consolidated only in an electronic text document which makes follow-up a more complex exercise than if a database were used.

Evaluation

148. The current evaluation strategy (2008-2013) contains the corporate policy statement on evaluation. It is structured under eight main objectives to ensure that strategic areas are evaluated within the medium-term strategy period, as well as main decentralized bodies and key centralized functions. The biennial evaluation plan lists all evaluations planned in a given biennium (strategic, thematic or field oriented). The fact that the evaluation plan is included as an annex to the C/5 programme and budget document is consistent with good practice.

149. The Inspectors note that a number of evaluations are outsourced under the overall management of IOS and that, as in many United Nations system organizations, decentralized evaluations and self-evaluations are of varying quality. The Inspectors thus welcome the Director-General's commitment to enhance the evaluation capacity within UNESCO in particular at field level, notably through increased use of self-evaluation as a component of programme management. The Inspectors concur with a recurrent IOS finding on the limited evaluation expertise available in field offices, and the weakness of systematic monitoring, managing and reporting capacity. Current evaluation capacity lacks resources, in particular since many evaluations are conducted by external parties. During debates about the reform of the field structure, there were also proposals to include evaluation and knowledge management functions as part of the regional presence. However, budget limitations might impair such capacity reinforcement in the future.

150. While IOS underwent a peer review exercise in 2008, consisting of a self-assessment based on the United Nations Evaluation Group (UNEG) norms and standards followed by a validation exercise by an external auditor, the Inspectors believe that the IOS Evaluation Section should submit itself to regular peer review exercises to assess how it complies with professional norms and standards and that these should follow the model proposed by UNEG, as appropriate.

Investigation

151. Established in 2008, the Investigation Unit may investigate any case of misconduct, after explicit approval from the Director-General. The investigator's role is to examine and determine the veracity of allegations about irregularities (fraud, waste, abuse and other misconduct) and provide supporting evidence for potential disciplinary measures or prosecution as specified in the UNESCO Administrative Manual. The investigation function in United Nations system organizations has been reviewed by JIU in a separate report.[55] The

---

[54] For example: (a) Evaluation Handbook, (b) Guidelines for Developing Terms of References, (c) Desk Study Checklist, (d) Guidelines for Selection of Evaluators, (e) Guidelines for Inception Reports, (f) Guidelines for Managing External Evaluations, (g) Guidelines for Follow-up to Evaluation Report Recommendations.

[55] JIU/REP/2010/5, "The Audit Function in the United Nations System". And JIU/REP/2011/7, "The Investigation Function in the United Nations system".

Inspectors wish to flag one of several impediments to the independence of the function within UNESCO, specifically, that an investigation can only be opened "after explicit approval from the Director-General." This problem should be addressed as indicated in the report.

## B. Oversight Advisory Committee (OAC)

152. In 2000, JIU recommended the establishment of an advisory expert body on oversight to assist the legislative organs. Over the course of the following decade, the committee's functions, composition and organizational placement lacked the continuity that is necessary to fully achieve its potential added value to the Organization. The OAC finally became a standing committee following General Conference 35 C/Resolution 101 and its terms of reference were adopted in Executive Board decision 181 EX/33. The OAC is composed of four external experts tasked to advise the Director-General on oversight and related activities in UNESCO (risk management, financial control and ethics).[56] Its annual report is transmitted to the Executive Board. On the basis of its interim reports, the Inspectors expect that the OAC will now function smoothly. Its role in and added value to UNESCO should be re-evaluated regularly in the light of the recommendations of the JIU report on the Audit function.

## C. Joint Inspection Unit

153. The JIU provides independent external oversight, with a focus on system-wide issues, to UNESCO, which is one of its participating organizations. UNESCO has a positive and proactive attitude towards JIU reports and recommendations. This is demonstrated by the high rate of acceptance (76 per cent) and of implementation (65 per cent implemented and 30 per cent in progress) of recommendations issued during the period 2004-2009. The summary report prepared for consideration and action by the Executive Board is consistent with good practice. It is complemented by an action plan that includes comments on JIU recommendations and is available on the IOS internet site. However, the Inspectors regret that full reports are not forwarded for consideration to the UNESCO governing bodies, in particular to the General Conference, which does not handle JIU reports. As a matter of fact, the recommendations addressed to the governing bodies of UNESCO in the JIU report of 2000 were not presented and discussed as such.

## D. Dissemination of oversight recommendations

154. Oversight reports and their recommendations are distributed to the Director-General and the governing bodies in various manners. During the review, member States' representatives pointed out the lack of sufficient information provided to them regarding implementation measures for accepted oversight recommendations, in particular those under the responsibility of the Director-General. According to the Guidelines for follow-up to evaluation report recommendations, "IOS reports periodically to the Executive Board and the College of ADGs (now SMT) on the overall progress made in the implementation of Action Plans." The IOS reports on all three functions (audit, evaluation and investigations) and provides implementation rates and information at the general level, not on individual recommendations, partly because of the document page limitations imposed by the Executive Board. Nevertheless, t**he Director-General should make efforts to ensure accurate and complete information for member States on the follow-up given to oversight recommendations.**

---

[56] 35 C/47.

## Annex I: JIU ONLINE SURVEY

UNESCO employees contributed to the Inspectors' review through an online survey made available to both headquarters and field-deployed employees in June 2011. The survey was prepared as a complement to the UNESCO 2010 Global Staff Survey. It therefore focused on issues related to executive management and change management. The participation rate, in particular at Paris headquarters, is illustrative and statistically representative of the views of some categories of staff. Interestingly, more than one third of the respondents have more than ten years of experience at UNESCO, providing a long-term perspective. The findings based on aggregated and filtered data by various categories of respondents and locations have been included in the narrative of the report.

**Participation in the JIU online survey 2011, by location**

|  | **Recipients** | **Respondents** | **Participation rate** |
|---|---|---|---|
| **Paris headquarters** | 1861 | 685 | 36.8% |
| **Other locations\*** | 2119 | 587 | 27.7% |
| **Total** | 3980 | 1272\*\* | 32.0% |

*\*Includes all staff located outside of headquarters \*\* Includes incomplete surveys*

**Participation in the JIU online survey 2011, by main category**

|  | **Recipients** | **Respondents** | **Participation rate** |
|---|---|---|---|
| **International Professionals** | 1005 | 521 | 51.8% |
| **General Service** | 1135 | 366 | 32.2% |
| **Other categories** | 1840 | 385 | 20.9% |

In analysing the responses, the Inspectors note the following points of interest:

▪ Results indicate that when assessing the current reforms process, respondents are divided into three main groups: positive opinion, negative opinion and no opinion;

▪ By location, headquarters staff is generally more negative in their assessment. While one third of the field employees often indicate that they are not aware of a specific issue, informed respondents usually provide a more positive opinion. UNESCO employees active in the Institutes are, by far, the most disconnected of all categories and often have difficulty expressing an opinion;

▪ By grade, about half the directors of UNESCO contributed to the survey. It is worth noting that they provided a mixed assessment of many issues, and were sometimes quite critical.

The Inspectors also collected comments and suggestions that tackled a large number of management and administration issues. The main concerns expressed were: (a) many staff members see their organization as bureaucratic and administratively heavy with regard to day-to-day operations; (b) field staff deplored the lack of resources made available to them for conducting their activities; (C) frustration and discouragement were also often expressed.

Draft 36 C/5

# UNESCO

## Organizational Chart of the UNESCO Secretariat 2012-2013

**Director-General**

**Deputy Director-General**

- Secretariat of the Governing Bodies (GBS)
- Executive Office of the Director-General (ODG)
- Office of International Standards and Legal Affairs (LA)
- Internal Oversight Service (IOS)
- Ethics Office (ETH)

- Africa Department (AFR)
- Division for Gender Equality (GE)
- Secretariat of the Félix Houphouët-Boigny Peace Prize (CRP)

- Bureau of Strategic Planning (BSP)
- Bureau of Human Resources Management (HRM)
- Bureau of Financial Management (BFM)
- Bureau of Field Coordination (BFC)

### Education Sector (ED)
Executive Office (ED/EO)
- EFA Global Monitoring Report Team ....... ED/GMR
- EFA Global Partnerships Team ............. ED/EFA
- Education Research and Foresight Team.... ED/ERF
- Division for Planning and Development of Education Systems .................. ED/PDE
- Division for Basic to Higher Education and Learning ...................... ED/BHL
- Division of Education for Peace and Sustainable Development ........... ED/PSD

### Natural Sciences Sector (SC)
Executive Office (SC/EO)
- Division of Basic and Engineering Sciences ................ SC/BES
- Division of Ecological and Earth Sciences ..................... SC/EES
- Division of Water Sciences .............. SC/HYD
- Division of Science Policy and Sustainable Development ........... SC/PSD

Secretariat of the UNESCO Intergovernmental Oceanographic Commission (IOC)

### Social and Human Sciences Sector (SHS)
Executive Office (SHS/EO)
- Division of Social Sciences Research and Policy ..................... SHS/SRP
- Division of Ethics of Science and Technology..................... SHS/EST
- Division of Human Rights, Philosophy and Democracy ............... SHS/HPD

### Culture Sector (CLT)
Executive Office (CLT/EO)
- **World Heritage Centre** ............. CLT/WHC
- Division of Cultural Objects and Intangible Heritage ................. CLT/CIH
- Division of Cultural Expressions and Creative Industries ................. CLT/CEI
- Division of Cultural Policies and Intercultural Dialogue................. CLT/CPD

### Communication and Information Sector (CI)
Executive Office (CI/EO)
- Division of Freedom of Expression and Media Development ............. CI/FEMD
- Knowledge Societies Division ........... CI/KS

UNESCO Institute for Statistics (UIS) Montreal

### Sector for External Relations and Public Information (ERI)
Executive Office (ERI/EO)
- Division of Relations with Member States and International Organizations . ERI/MSO
- Division for National Commissions and Civil Society .................. ERI/NCS
- Division for Public Information ........................ ERI/DPI

#### Category 1 institutes
- International Centre for Theoretical Physics (ICTP) –Trieste
- UNESCO-IHE Institute for Water Education (UNESCO-IHE) – Delft

#### Category 1 institutes
- UNESCO International Bureau of Education (IBE) – Geneva
- UNESCO International Institute for Educational Planning (IIEP) – Paris and Buenos Aires
- UNESCO Institute for Lifelong Learning (UIL) – Hamburg
- UNESCO Institute for Information Technologies in Education (IITE) – Moscow
- UNESCO International Institute for Higher Education in Latin America and the Caribbean (IESALC) – Caracas
- UNESCO International Institute for Capacity-Building in Africa (IICBA) – Addis Ababa
- UNESCO Mahatma Gandhi Institute of Education for Peace and Sustainable Development (MGIEP) – New Delhi

#### Other education entities
- UNESCO International Centre for Technical and Vocational Education and Training (UNEVOC) – Bonn
- UNRWA/UNESCO Department of Education

### Sector for Administration (ADM)
Executive Office (ADM/EO)
- Division of Procurement ........................ ADM/PRO
- Division of Information Systems and Telecommunications ............. ADM/DIT
- Division of Conferences, Languages and Documents ................. ADM/CLD
- Headquarters Division ........................... ADM/HQD

Office of the Chief Information Officer (ADM/CIO)

## UNESCO Offices

### AFRICA
**Cluster Offices and Regional Bureaux**
- UNESCO Office in Dakar and Regional Bureau for Education
- UNESCO Office in Nairobi and Regional Bureau for Science
- UNESCO Office in Accra
- UNESCO Office in Bamako
- UNESCO Office in Dar es Salaam
- UNESCO Office in Harare
- UNESCO Office in Libreville
- UNESCO Office in Windhoek
- UNESCO Office in Yaoundé

**National Offices**
- UNESCO Office in Abuja
- UNESCO Office in Brazzaville
- UNESCO Office in Bujumbura
- UNESCO Office in Kinshasa
- UNESCO Office in Maputo

### ARAB STATES
**Cluster Offices and Regional Bureaux**
- UNESCO Office in Beirut and Regional Bureau for Education
- UNESCO Office in Cairo and Regional Bureau for Science
- UNESCO Office in Doha
- UNESCO Office in Rabat

**National Offices**
- UNESCO Office in Amman
- UNESCO Office for Iraq (located in Amman)
- UNESCO Office in Ramallah
- UNESCO Office in Khartoum

### ASIA AND THE PACIFIC
**Cluster Offices and Regional Bureaux**
- UNESCO Office in Bangkok and Regional Bureau for Education
- UNESCO Office in Jakarta and Regional Bureau for Science
- UNESCO Office in Almaty
- UNESCO Office in Apia
- UNESCO Office in Beijing
- UNESCO Office in New Delhi
- UNESCO Office in Tehran

**National Offices**
- UNESCO Office in Dhaka
- UNESCO Office in Hanoi
- UNESCO Office in Islamabad
- UNESCO Office in Kabul
- UNESCO Office in Kathmandu
- UNESCO Office in Phnom Penh
- UNESCO Office in Tashkent

### LATIN AMERICA AND THE CARIBBEAN
**Cluster Offices and Regional Bureaux**
- UNESCO Office in Havana and Regional Bureau for Culture
- UNESCO Office in Montevideo and Regional Bureau for Science
- UNESCO Office in Santiago and Regional Bureau for Education
- UNESCO Office in Quito
- UNESCO Office in Kingston
- UNESCO Office in San José

**National Offices**
- UNESCO Office in Brasilia
- UNESCO Office in Guatemala
- UNESCO Office in Lima
- UNESCO Office in Mexico
- UNESCO Office in Port-au-Prince

### EUROPE AND NORTH AMERICA
**Cluster Offices and Regional Bureaux**
- UNESCO Office in Venice and Regional Bureau for Science and Culture in Europe (Italy)
- UNESCO Office in Moscow

**UNESCO Liaison Offices**
- UNESCO Liaison Office in Addis Ababa
- UNESCO Liaison Office in Brussels
- UNESCO Liaison Office in Geneva
- UNESCO Liaison Office in New York

50

# Annex III: Overview of action to be taken by participating organizations on the recommendations of the Joint Inspection Unit

## JIU/REP/2011/8

| | | Intended impact | United nations, its funds and programmes | | | | | | | | | | | | | Specialized agencies and IAEA | | | | | | | | | | | | | |
|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|
| | | | United Nations* | UNCTAD | UNODC | UNEP | UN-Habitat | UNHCR | UNRWA | UNDP | UNFPA | UNICEF | WFP | UN Women | UNOPS | ILO | FAO | UNESCO | ICAO | WHO | UPU | ITU | WMO | IMO | WIPO | UNIDO | UNWTO | IAEA |
| Note | For action | | | | | | | | | | | | | | | | | ⊠ | | | | | | | | | | |
| | For information | | ⊠ | ⊠ | ⊠ | ⊠ | ⊠ | ⊠ | ⊠ | ⊠ | ⊠ | ⊠ | ⊠ | ⊠ | ⊠ | ⊠ | ⊠ | | ⊠ | ⊠ | ⊠ | ⊠ | ⊠ | ⊠ | ⊠ | ⊠ | ⊠ | ⊠ |
| Recommendation 1 | | e | | | | | | | | | | | | | | | | E | | | | | | | | | | |
| Recommendation 2 | | e | | | | | | | | | | | | | | | | E | | | | | | | | | | |
| Recommendation 3 | | e | | | | | | | | | | | | | | | | L | | | | | | | | | | |
| Recommendation 4 | | c | | | | | | | | | | | | | | | | E | | | | | | | | | | |
| Recommendation 5 | | d | | | | | | | | | | | | | | | | E | | | | | | | | | | |
| Recommendation 6 | | e | | | | | | | | | | | | | | | | E | | | | | | | | | | |
| Recommendation 7 | | a | | | | | | | | | | | | | | | | E | | | | | | | | | | |
| Recommendation 8 | | o | | | | | | | | | | | | | | | | L | | | | | | | | | | |

**Legend: L:** Recommendation for decision by legislative organ   **E:** Recommendation for action by executive head
▨ **:** Recommendation does not require action by this organization  **Intended impact:  a:** enhanced accountability   **b:** dissemination of best practices
**c:** enhanced coordination and cooperation   **d:** enhanced controls and compliance **e:** enhanced effectiveness  **f:** significant financial savings  **g:** enhanced efficiency
**o:** other.  * Covers all entities listed in ST/SGB/2002/11 other than UNCTAD, UNODC, UNEP, UN-Habitat, UNHCR, UNRWA.