MOPAN
2017-18 ASSESSMENTS

# United Nations Educational, Scientific and Cultural Organization (UNESCO)

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MOPAN
Multilateral Organisation Performance Assessment Network

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MOPAN Assessments

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## 2017-18 Performance Assessment

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# Preface

## ABOUT MOPAN

The Multilateral Organisation Performance Assessment Network (MOPAN) comprises 18 countries[1] that share a common interest in assessing the effectiveness of the major multilateral organisations they fund. These include United Nations agencies, international financial institutions and global funds. The Network generates, collects, analyses and presents relevant and credible information on their organisational and development effectiveness. This knowledge base is intended to contribute to organisational learning within and among the organisations, their direct clients and partners, and other stakeholders. Network members use the reports for their own accountability needs and as a source of input for strategic decision-making.

MOPAN 3.0, first applied in 2015-16, is the latest operational and methodological iteration of how the Network assesses organisations. It builds on the former version, the *Common Approach*, which the Network implemented from 2009 through 2014.

In 2017-18, MOPAN assessed 14 organisations, including the United Nations Educational, Scientific and Cultural Organization (UNESCO). The other 13 are:
- Asian Development Bank (ADB)
- Food and Agriculture Organization (FAO)
- Global Environment Facility (GEF)
- Global Partnership for Education (GPE)
- International Fund for Agricultural Development (IFAD)
- International Organization for Migration (IOM)
- Office of the United Nations High Commissioner for Human Rights (OHCHR)
- United Nations Entity for Gender Equality and the Empowerment of Women (UN Women)
- United Nations Population Fund (UNFPA)
- Office of the United Nations High Commissioner for Refugees (UNHCR)
- United Nations Relief and Works Agency for Palestine Refugees in the Near East (UNRWA)
- World Food Program (WFP)
- World Health Organization (WHO)

### Operating principles
MOPAN generates assessments that are credible, fair and accurate. Credibility is ensured through an impartial, systematic and rigorous approach. MOPAN seeks an appropriate balance between coverage and depth of information from a variety of sources and through multiple streams of evidence. The Network gives priority to quality of information over quantity and uses structured tools for enquiry and analysis. An audit trail of findings ensures transparency. MOPAN applies efficient measures of assessment practice through building layers of data, with a view to limiting the burden on organisations assessed. A focus on organisational learning aims to ensure utility of the findings by multiple stakeholders.

### Objectives of the MOPAN methodology
MOPAN seeks to provide a diagnostic assessment, or snapshot, of an organisation. It tells the story of an organisation's current performance. MOPAN is guided by framing questions which serve to understand the relevance, efficiency and effectiveness of multilateral organisations, while also garnering a sense of the sustainability of their results. The empirical design of MOPAN is based on a theory of change.

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1. Australia, Belgium, Canada, Denmark, Finland, France, Germany, Ireland, Italy, Japan, Korea, Luxembourg, The Netherlands, Norway, Sweden, Switzerland, the United Kingdom and the United States. MOPAN also has two observers, New Zealand and the United Arab Emirates.

The methodology's key elements include a set of five performance areas against which the assessment takes place. The first four cover strategic, operational, relationship and performance management. The fifth area englobes the organisation's contribution to development, humanitarian and normative results. These areas are captured in the MOPAN indicator framework against which performance is measured using three evidence streams – a document review, surveys, and interviews and consultations – brought together in a combined approach.

A MOPAN assessment is not an external audit of an organisation, nor is it an institutional evaluation. MOPAN does not comprehensively assess all operations or all processes of an organisation, nor can it provide a definitive picture of all the organisation's achievements and performance during the time period of the assessment. It also does not offer comprehensive documentation or analysis of ongoing organisational reform processes.

# Acknowledgements

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# Acronyms and abbreviations

| | |
|---|---|
| **APIR** | Analytical Programme Implementation Report |
| **BSP** | Bureau of Strategic Planning |
| **CapEFA** | Capacity Development for Education for All |
| **GEAP** | Gender Equality Action Plans |
| **GMR** | Global Monitoring Report |
| **HQ** | Headquarters |
| **HR** | Human resources |
| **HRBA** | Human rights-based approach |
| **IAASB** | International Auditing and Assurance Standards Board |
| **IATI** | International Aid Transparency Initiative |
| **ICC** | International Criminal Court |
| **ICT** | Information and communication technology |
| **IFAC** | International Federation of Accountants |
| **IFCD** | International Fund for Cultural Diversity |
| **IHP** | International Hydrology Programme |
| **IIA** | Institute of Internal Auditors |
| **IIEP** | International Institute for Educational Planning |
| **IOC** | Intergovernmental Oceanographic Commission |
| **IOS** | Internal Oversight Service |
| **IPDC** | International Programme for the Development of Communication |
| **ISA** | International Standards of Auditing |
| **JIU** | Joint Inspection Unit |
| **KPI** | Key performance indicator |
| **MAB** | Man and the Biosphere Programme |
| **MLA** | Main line of action |
| **MI** | Micro-indicator |
| **MOPAN** | Multilateral Organisation Performance Assessment Network |
| **MP** | Major Programme |
| **OECD** | Organisation for Economic Co-operation and Development |
| **PIR** | Programme Implementation Report |
| **PMC** | Programme Management Committee |
| **PP** | Participation Programme |

| | |
|---|---|
| **QCPR** | Quadrennial Comprehensive Policy Review |
| **RBB** | Results-based budgeting |
| **RBM** | Results-based management |
| **SDG** | Sustainable Development Goal |
| **SFD** | Structured Financing Dialogue |
| **SIDS** | Small Island Developing States |
| **SISTER** | System of Information on Strategies, Tasks and the Evaluation of Results |
| **SRR** | Strategic Results Report |
| **STEM** | Science, technology, engineering and mathematics |
| **TVET** | Technical and Vocational Education and Training |
| **UCS** | UNESCO Country Strategy |
| **UIS** | UNESCO Institute for Statistics |
| **UN** | United Nations |
| **UNDAF** | United Nations Development Assistance Framework |
| **UNDG** | United Nations Development Group |
| **UNDS** | United Nations Development System |
| **UNEG** | United Nations Evaluation Group |
| **UNESCO** | United Nations Educational, Scientific and Cultural Organization |
| **UN-SWAP** | United Nations System-Wide Action Plan |
| **USD** | United States dollar |
| **USR** | UNESCO Science Report |
| **WP** | Work plan |

# Executive summary

In 2017-18, MOPAN, the Multilateral Organisation Performance Assessment Network, assessed the performance of the United Nations Educational, Scientific and Cultural Organization (UNESCO). The assessment looked at UNESCO's organisational effectiveness (strategic, operational, relationship and performance aspects) and the results it achieved against its objectives. This is the first MOPAN assessment of UNESCO.

## CONTEXT

UNESCO is a specialised agency of the United Nations (UN) that has a normative and programmatic role. It contributes to a particularly broad range of agendas – education, the sciences, culture, communication and information – that support peace-building and sustainable development. UNESCO's work is integral towards the delivery of nine Sustainable Development Goals (SDGs) and it safeguards eight international Conventions spanning its mandate.

While a mature organisation, UNESCO has been operating under particular stress since 2012. At the end of 2011, it lost over one-fifth of its budget when two countries suspended their assessed contributions. Despite the notable constraints, there has been no change to the expectations on UNESCO's mandate and range of activities, and in spite of difficulties, UNESCO has protected its normative work and raised additional funds to finance programmatic work.

The organisation combines its normative and programmatic roles in ways that provide a mutually reinforcing interplay, ensuring that its work in both roles is relevant and targeted. UNESCO was established to contribute to progress in ideas and knowledge rather than to implement country-level programmes at scale; it has developed the ability and has the necessary systems and processes in place to do both.

UNESCO is unique for having the mandate and space to bring together experts, practitioners, citizens and governments to develop solutions to the global problems embedded in the SDGs. It has rare expertise and a degree of authority that enables it to influence governments across the world.

## KEY FINDINGS

UNESCO has a strong appreciation of the demands it currently faces and is laying the foundations to face future demands from a stronger position. However, it looks ahead from a somewhat vulnerable position. While UNESCO has protected its normative and programmatic work in spite of the budget cuts, its ability to manage and deliver has inevitably suffered. In particular, the quality of some of UNESCO's corporate systems have lagged since 2012, in part due the financial cuts to administrative and corporate functions, which as compared to other areas of the organisation, were proportionately more severe.

UNESCO is aware of the need to modernise its human resource management systems, rationalise its field network, and improve staff mobility and management of risk. If UNESCO is to deliver on the ambitions of its improvement initiatives, it will need the staff and resources to drive them. Notwithstanding the challenging environment, the assessment found that UNESCO has been able to drive through impressive improvements in areas such as results-based management and to provide high-quality services, most notably within its internal oversight, including evaluation and internal audit.

The assessment identified six **strengths** of UNESCO:

**1. UNESCO is central to the SDGs.** The breadth and depth of UNESCO's contribution to the SDGs give it a critical position within the delivery architecture of global development. In addition to its key role with respect to education, UNESCO contributes to the achievement of nine SDGs and is the custodian of seven SDG targets and indicators.

**2. UNESCO is a global leader in knowledge and practice**. UNESCO leads policy development in a broad range of fields, from tsunami monitoring, Global Geoparks and freshwater use, to cultural heritage and the safety of journalists. It facilitates global agreements, such as the World Heritage Convention. The professionalism, expertise and commitment of UNESCO's staff, particularly their resilience during the budget crisis, are real strengths.

**3. Education is a notable strength of UNESCO.** The organisation's mandate and capacity cover all aspects of education. UNESCO leads the co-ordination and monitoring of SDG 4 – "ensure inclusive and equitable quality education and promote lifelong learning opportunities for all" – as part of the Global Education 2030 Agenda. Evaluations have shown the effectiveness of many of its interventions, and UNESCO's rich network of Category 1 institutes and centres support education planners across the world.

**4. UNESCO is effective in mainstreaming gender equality, good governance, environmental sustainability and human rights.** Such mainstreaming across the range of UNESCO's agenda is driving innovative intersectoral work that is sustainable (e.g. women in science and sport, climate change, and education). Its progress in mainstreaming gender equality throughout its operations is particularly strong.

**5. UNESCO is committed to results-based management and budgeting and is progressing well in these areas**. Despite staffing constraints, UNESCO has strengthened its results-based management since 2015 and has created a sound basis for results-based budgeting with its current Programme and Budget. In particular, there has been a marked improvement in demonstrating results to the expected level. The development of a new information and communication technology (ICT) platform is expected to further integrate results-based management with project implementation.

**6. UNESCO has a high-quality central evaluation service**. UNESCO's Evaluation Office has established consistently high standards across centrally managed evaluations such that UNESCO is well-positioned as a learning organisation. Evaluations, either managed or commissioned by the Evaluation Office tend to be based on strong design, planning and implementation processes. In the absence of decentralised evaluation roles, capacity-building efforts by the evaluation function across the organisation are commendable.

The assessment also identified seven major **areas for improvement**:

**1. Prioritisation of the overall work programme remains limited**. Ensuring that the volume of resources is aligned to the ambition of the mandate and future programme is integral. The risk of resources that are spread too thin remains high, and discipline is needed in driving greater selectivity and prioritisation of the programme of work across the organisation.

**2. A number of corporate systems remain out-dated**. UNESCO's investment in its corporate systems has lagged, and its systems need to be updated to drive efficiency and effectiveness. Human resource management, promotion of talent, and staff mobility opportunities remain underdeveloped. The organisation's treatment of risk management also lacks maturity. It is integral that staff levels and capacities in corporate roles are sufficient to drive change processes within the central and support services, and that updated systems and practices are adopted across the organisation.

**3. Rationalising the gratuitously complex global field network remains a priority.** The heterogeneous network, which is inefficient and operates with unclear lines of accountability, undermines UNESCO's ability to demonstrate coherence and ensure continued relevance. Considerations vis-à-vis alignment to both UN reform processes and priority work areas for UNESCO need to underpin any reform processes. A pragmatic assessment, acceptance and endorsement towards the potential reduction of UNESCO's field presence in certain contexts and countries are long overdue.

**4. Tracking poor performance and addressing inefficiency is a challenge for UNESCO**. UNESCO's systems to identify and course correct poor implementation and execution of interventions remain underdeveloped and are not well-evidenced. Beyond this, systems that allow for a judgment on efficiency are not yet in place. As the envelope of extrabudgetary programmes grows, the development of these systems will require urgent attention.

**5. Refining the treatment of results and tracking impact is necessary to demonstrate continued relevance and sustainability**. Systems and processes need to explicitly showcase how UNESCO influences partners, i.e. be clearer about causal pathways both sectorally and intersectorally. They also need to define impact, namely in a way that articulates how the aggregated delivery of the expected results contributes to the strategic objectives. Furthermore, the systems and processes need to clearly emphasise an articulation and understanding of a hierarchy of results across the sectors.

**6. The quality of decentralised evaluations and evidence-base for normative work requires dedicated resources**. The coverage and quality of decentralised evaluations requires strengthening, and a stronger body of evaluative evidence on UNESCO's normative engagement is needed. The recent increase in finance for evaluation will help, but staffing constraints and a lack of decentralised evaluation capacity compromises the ability to advance in these areas. UNESCO has committed to a target of 3% of regular and extrabudgetary programme allocation as a minimum investment in evaluation, however it remains too early to see the effects.

**7. Communicating externally**. While there is much excellent practice, UNESCO's overall external communications would benefit from strengthening to ensure that the organisation's messages achieve the reach and impact they deserve.

The attitudes of UNESCO's governing bodies and member states, and their relationship with the Secretariat, have been and will continue to be key determinants of UNESCO's performance. Some of UNESCO's member states have grown accustomed to lobbying the Secretariat on issues that concern them. This can make it hard for the Secretariat to rationalise work, programmes or country presence. More importantly, though, member states have held the expectation that UNESCO can continue to do more with less; they need to encourage or endorse a higher degree of prioritisation if UNESCO is to thrive.

## METHODS OF ANALYSIS

The assessment of performance covers UNESCO's headquarters, regional and country field presence. It addresses organisational systems, practices and behaviours, as well as results achieved during the period 2016 to mid-2018. It relies on three lines of evidence: a review of 161 documents, interviews with 120 staff members individually and in small groups, and an online survey conducted among partners in 12 countries.

The MOPAN 3.0 methodology entails a framework of 12 key performance indicators and associated micro-indicators. It comprises standards that characterise an effective multilateral organisation. MOPAN conducted the assessment with support from IOD PARC, a consulting company located in the United Kingdom that specialises in results-based performance assessment in international development. Norway acted as the institutional lead country, representing MOPAN members in this assessment process.

## UNESCO PERFORMANCE RATING SUMMARY (2017-18)



**Organisational Performance**

Strategic management
- 1. Organisational architecture and financial framework
  - 1.1 Long-term vision
  - 1.2 Organisational architecture
  - 1.3 Support normative frameworks
  - 1.4 Financial frameworks
- 2. Cross-cutting issues
  - 2.1a Gender
  - 2.1b Environment
  - 2.1c Good governance
  - 2.1d Human rights

Operational management
- 3. Operating model and resources support, relevance and agility
  - 3.1 Resources aligned to function
  - 3.2 Resource mobilisation
  - 3.3 Decentralised decision making
  - 3.4 Performance-based human resources
- 4. Cost and value consciousness, financial transparency
  - 4.1 Decision making
  - 4.2 Disbursement
  - 4.3 Results-based budgeting
  - 4.4 International audit standards
  - 4.5 Control mechanisms
  - 4.6 Anti-fraud procedures

Relationship management
- 5. Operational planning and intervention design support, relevance and agility
  - 5.1 Alignment
  - 5.2 Context analysis
  - 5.3 Capacity analysis
  - 5.4 Risk management
  - 5.5 Cross cutting
  - 5.6 Sustainability
  - 5.7 Implementation speed
- 6. Works in coherent partnerships
  - 6.1 Agility
  - 6.2 Comparative advantage
  - 6.3 Use country systems
  - 6.4 Synergies
  - 6.5 Partner co-ordination
  - 6.6 Information sharing
  - 6.7 Accountability to beneficiaries
  - 6.8 Joint assessments
  - 6.9 Knowledge

Performance management
- 7. Strong and transparent results focus, explicity geared to function
  - 7.1 RBM applied
  - 7.2 RBM in strategies
  - 7.3 Evidence-based targets
  - 7.4 Effective monitoring systems
  - 7.5 Performance data applied
- 8. Evidence-based planning and programming applied
  - 8.1 Evaluation function
  - 8.2 Evaluation coverage
  - 8.3 Evaluation quality
  - 8.4 Evidence-based design
  - 8.5 Poor performance tracked
  - 8.6 Follow-up systems
  - 8.7 Uptake of lessons

**Results**
- 9. Achievement of results
  - 9.1 Results attained
  - 9.2 Benefit target groups
  - 9.3 Impact
  - 9.4 Gender
  - 9.5 Environment
  - 9.6 Governance
  - 9.7 Human rights
- 10. Relevance to partners
  - 10.1 Target groups
  - 10.2 National objectives
  - 10.3 Coherence
- 11. Efficient delivery
  - 11.1 Cost efficiency
  - 11.2 Timeliness
- 12. Sustainability
  - 12.1 Sustainable benefits
  - 12.2 Sustainable capacity
  - 12.3 Enabling environment

**Key**

| | |
|---|---|
| Highly satisfactory (3.01-4) | Satisfactory (2.01-3) |
| Unsatisfactory (1.01-2) | Highly unsatisfactory (0-1) |

Micro-indicator

Key Performance Indicator

1.1 · 1.2 · 1.3 · 1.4 · 1.5 · 1.6 · 1.7 · 1

# 1. INTRODUCTION

# Chapter 1. Introduction

## 1.1. STRUCTURE OF THE REPORT

This report has three chapters and three annexes. Chapter 1 introduces the United Nations Educational, Scientific and Cultural Organization (UNESCO) and the MOPAN 3.0 assessment process. Chapter 2 presents the main findings of the assessment in relation to each performance area. Chapter 3 provides the conclusions of the assessment. Annex 1 summarises the evidence gathered against each indicator with the detailed scores. Annex 2 lists the documents used for the analysis. Annex 3 provides an overview of the results of MOPAN's partner survey.

## 1.2. UNESCO AT A GLANCE

**Mission and mandate:** UNESCO seeks to contribute to peace-building, poverty eradication, sustainable development, and intercultural dialogue through education, the sciences, culture, communication and information. Its programmes aim to help achieve the Sustainable Development Goals (SDGs) defined in Agenda 2030. The organisation is a specialised agency of the United Nations (UN), established in the aftermath of the Second World War to promote peace by drawing on the "intellectual and moral solidarity of mankind".

**Governance:** UNESCO's General Conference, comprising representatives of its 195 member states, determines the policies and main lines of UNESCO's work. It meets every two years and sets the organisation's programmes and budget. The General Conference elects the 58-person Executive Board and appoints the Director-General (who serves four-year terms). The Executive Board meets twice a year and is responsible for overseeing the management of UNESCO, within a mandate laid down by the General Conference. The Secretariat is UNESCO's executive branch and is accountable to the Director-General.

**Organisational structure:** The UNESCO headquarters in Paris are responsible for overall management and administration. The headquarters of each of UNESCO's primary sectors – education, natural sciences, social and human sciences, culture, and communication and information – are also based in Paris. Sectors contain divisions which are then subdivided into sections, and within these are nested units that provide an institutional home for UNESCO's longstanding intergovernmental programmes. Education is the largest sector.

UNESCO employs approximately 2 300 staff, 700 of whom are posted in countries other than France. UNESCO has 59 field offices around the world. The organisation was reforming its field network when resource constraints, caused by its 2012 budget crisis, stalled the process. Its field network remains diverse. In Africa, UNESCO has established 5 multisectoral regional offices and 11 national offices. In the rest of the world, UNESCO has thematic regional bureaux (emphasising specific sectors), cluster offices in which most sectors are represented and national offices. UNESCO has four liaison offices (Addis Ababa, Brussels, Geneva and New York).

UNESCO includes the Paris-based Intergovernmental Oceanographic Commission (IOC), the Montreal-based UNESCO Institute for Statistics and nine other institutes classified as Category 1. The latter are integral to and legally part of the agency. These nine entities are governed by UNESCO's rules and regulations, and their overall programmes and priorities are part of UNESCO's Programme and Budget. However, they have their own governance arrangements and, while UNESCO contributes to their budgets, they receive direct contributions from other donors. The Education Sector is responsible for seven Category 1 institutes and the Natural Sciences Sector manages two.

UNESCO also has other affiliations and commissions. There are 115 affiliated institutes and centres (Category 2), but these are not legally part of the organisation. UNESCO has a global network of 199 national co-operating bodies known as National Commissions. Set up by their respective governments, they often serve a liaison role between UNESCO and governmental and non-governmental bodies.

**Strategy:** UNESCO's current Medium-Term Strategy (2014-21) confirms the organisation's overarching aim of contributing to "the building of peace, the eradication of poverty and sustainable development and intercultural dialogue through education, the sciences, culture, communication and information". The strategy outlines two overarching objectives – peace and equitable and sustainable development – as well as two global priorities, Africa and gender equality. The strategy further defines nine strategic objectives which are translated into five programmatic priorities in Programme and Budget documents adopted by the General Conference. Programmes are defined for four years while the budget allocation is approved every two years.

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### Box 1: UNESCO's core functions

The Medium-Term Strategy identifies UNESCO's five core functions:

- to serve as a laboratory of ideas, generating innovative proposals and policy advice in its fields of competence

- to develop and reinforce the global agenda in its fields of competence through policy analysis, monitoring and benchmarking

- to set norms and standards in its fields of competence and to support and monitor their implementation

- to strengthen international and regional co-operation in its fields of competence and to foster alliances, intellectual co-operation, knowledge sharing and operational partnerships

- to provide advice for policy development and implementation and to develop institutional and human capacities, at the regional, national and global levels.

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**Finances:** UNESCO is funded by a combination of assessed contributions, comprising its regular budget given by its member states, and voluntary contributions (termed "extrabudgetary resources"). UNESCO received 47% of its total receipts (USD 548 million) for 2017 from assessed contributions. Of the extrabudgetary funds, 26% were given as discretionary funds from individual governments, 15% were bilateral contributions to fund specific programmes, and 6% comprised contributions from other multilaterals such as the European Union, the World Bank and the African Development Bank. Other UN agencies contributed 3% of its budget to implement programmes, and it raised approximately 3% of its budget from the private sector.

UNESCO has faced an extremely difficult financial situation owing to the suspension, in late 2011, of contributions by two member states: Israel and the United States. This followed UNESCO's recognition of Palestine as a full member. By the end of the 2012-13 programme period, UNESCO had lost 22% of assessed contributions. This severely constrained budget has persisted but with added uncertainty. As both Israel and the United States continued their membership, UNESCO had to prepare two budget scenarios for each of the 2014-17 and 2018-21 planning periods, one based on the suspended funds being paid, and one based on continued suspension. It also had to prepare two sets of expected results based on each of the scenarios. As both nations have now decided to leave UNESCO, there will be more predictability from 2019 onwards.

With a loss of assessed contributions, extrabudgetary resources have grown in importance. Voluntary contributions increased by 9% between 2010 and 2015, while net regular contributions decreased by 30%, leaving income in 2015 13% lower than it was in 2010. Headquarters-based sectors raise approximately half of all extrabudgetary contributions and field offices the other half. At the time of writing, UNESCO's funding gap for 2018-19 was 29% (USD 339 million).

**Organisational change initiatives:** UNESCO designed a roadmap to restructure itself and drive efficiency and effectiveness in response to a 2010 external evaluation. While the roadmap pre-dated the budget crisis, it was adapted to address the new budget challenges generated, and key elements were integrated into UNESCO's 2014-2021 Medium-Term Strategy. Many of these initiatives were then funded under an Invest for Efficiency initiative, facilitating activities across a broad range of operational areas. The improvement targets were seen by member states as coherent and relevant, but implementation has been uneven. This is partly because approximately a third of posts in corporate units and administration were cut, reducing implementation capacity. UNESCO was also unable to sufficiently refocus its programme after the crisis, leaving its efforts too broadly spread, due to reluctance from the General Conference to be sufficiently selective.

Concerning performance management, UNESCO has introduced fundamental changes to strengthen results-based management (RBM), particularly since 2013. It has developed systems that enable it to report on programme implementation and progress against expected results. It has also begun to assess progress using evaluative evidence and has used this to inform the design of its current Programme and Budget. There have also been changes at the sectoral level, and the organisation is applying this RBM focus and logic to both its standard-setting and implementation work. In addition, it has developed a comprehensive results-based budgeting (RBB) system which has improved over successive budgets and programmes.

The current Director-General, appointed in October 2017, has initiated a new strategic transformation process that aims to deliver immediate improvements in UNESCO's performance and to prepare the ground for UNESCO's 2022-2029 Medium-Term Strategy. The first phase, due to be completed in the second half of 2018, is designed to strengthen senior-level administrative governance structures in UNESCO, specifically creating a new directorate that will focus on administration. The second phase will focus on addressing existing challenges including efficiency of operations, external communications and the rationalisation of UNESCO's field network. In the third phase, UNESCO intends to work closely with member states to define the shape of its next Medium-Term Strategy and, implicitly, to agree stronger prioritisation.

## Box 2: Preventing sexual exploitation, abuse and harassment

- UNESCO has had an anti-harassment policy since 2009 and is in the process of establishing a new policy on preventing sexual exploitation and abuse (PSEA). UNESCO's Ethics Office serves as the PSEA Coordinator.

- UNESCO has mechanisms that allow staff to make reports confidentially, and it has had a whistleblower protection policy in place since 2011. It is reviewing this policy to ensure it is fit for purpose and is publicising it internally.

- UNESCO is also reviewing its procedures for handling allegations – harassment allegations in particular – with a view to streamlining them. The Deputy Director-General is leading this review.

- UNESCO is a member of the UN Secretary-General's Task Force on Sexual Harassment and is a member of the Inter-Agency Standing Committee (IASC) Task Team on Accountability to Affected Populations and Protection from Sexual Exploitation and Abuse (AAP/PSEA).

## 1.3. THE ASSESSMENT PROCESS

### Assessment framework

This MOPAN 3.0 assessment covers the period from 2016 to mid-2018 in line with the MOPAN 3.0 methodology, which can be found on MOPAN's website.[2] The assessment addresses organisational systems, practices and behaviours, as well as results achieved. It focuses on the five performance areas presented in Box 3. The first four relate to organisational effectiveness, and each has two key performance indicators (KPI). The fifth performance area relates to effectiveness of development, humanitarian and normative work and is comprised of four KPIs.

The MOPAN 3.0 indicator framework was developed by MOPAN's Technical Working Group and draws on international standards and reference points, as described in Annex C of the Methodology Manual.

### Box 3: Performance areas and key performance indicators

| Aspect | Performance area | KPI |
|---|---|---|
| Organisational effectiveness | Strategic management | **KPI 1**: The organisational architecture and the financial framework enable mandate implementation and achievement of expected results |
| | | **KPI 2**: Structures and mechanisms support the implementation of global frameworks for cross-cutting issues at all levels |
| | Operational management | **KPI 3**: The operating model and human and financial resources support relevance and agility |
| | | **KPI 4**: Organisational systems are cost and value-conscious and enable financial transparency and accountability |
| | Relationship management | **KPI 5**: Operational planning and intervention design tools support relevance and agility within partnerships |
| | | **KPI 6**: Partnership working is coherent and directed at ensuring relevance and the catalytic use of resources |
| | Performance management | **KPI 7**: The focus on results is strong, transparent and explicitly geared towards function |
| | | **KPI 8**: The organisation applies evidence-based planning and programming |
| Development effectiveness | Results | **KPI 9**: Development and humanitarian objectives are achieved, and results contribute to normative and cross-cutting goals |
| | | **KPI 10**: Interventions are relevant to the needs and priorities of partner countries and beneficiaries, and the organisation works towards results in areas within its mandate |
| | | **KPI 11**: Results are delivered efficiently |
| | | **KPI 12**: Results are sustainable |

### Applying the MOPAN methodology to UNESCO

The assessment of performance covers the UNESCO organisation (headquarters, regional and field presence) and its configuration of (i) all sectors (education, culture, social and human sciences, communication and information, and natural science), (ii) units responsible for cross-cutting issues (gender equality, human rights), functional bureaux of

UNESCO (Human Resources Management, Bureau of Strategic Planning, Bureau of Financial Management, etc.) and (iii) Category 1 institutes and intergovernmental bodies based within the organisation. Category 2 institutes were beyond the scope of the assessment.

The assessment coincided with the mid-term of UNESCO's 2014-2021 Medium-Term Strategy.

The MOPAN 3.0 methodology was applied with some minor adjustments in indicator application or interpretation to reflect the realities of UNESCO's mandate and operating systems. Many of UNESCO's interventions are designed to influence norms and standards at different levels. Data to capture the impact of normative activity were therefore used when appropriate. The detailed assessments against micro-indicators in Annex 1 of this report identify where adjustments were made.

### Lines of evidence

This assessment relies on four lines of evidence: a document review, a partner survey, staff interviews and consultations. The assessment team collected and analysed these in a sequenced approach, whereby each layer of evidence was informed by, and built on, the previous one, wherever possible. The assessment team collected and reviewed a significant body of evidence.

- **Document review.** Results documentation included materials ranging from evaluations to self-assessments; online internal reports from UNESCO's System of Information on Strategies, Tasks and the Evaluation of Results; and external published annual reports by sector. A draft of the document review was shared with UNESCO. The organisation provided feedback and additional documentation to update the review and address gaps before it fed into the overall analysis. See Annex 2 of this report for a list of the 161 documents used, noting a greater sample of documentation was initially screened for inclusion.

- **Online survey.** There were 122 responses to the online partner survey, conducted between March and April 2018. These were drawn from people in 12 countries: Bangladesh, Bolivia, the Democratic Republic of the Congo, Ethiopia, Guinea, Jordan, Lebanon, Mexico, Myanmar, Pakistan, Papua New Guinea and Tunisia. The survey was designed to gather both perception data and an understanding of practice from a diverse set of well-informed partners of UNESCO including governments, non-governmental organisations, MOPAN donors and other multilateral organisations (see Annex 3 for a breakdown of respondents).

- **Interviews and consultations.** In May 2018, the assessment team interviewed 120 staff members, 92 of whom were based in Paris. Interviews were conducted with staff from all sectors and most divisions of UNESCO. The assessors spoke to representatives of six of UNESCO's Category 1 institutes and commissions including the International Institute for Educational Planning, the Institute for Lifelong Learning, the Institute for Statistics, the International Centre for Theoretical Physics, the Intergovernmental Oceanographic Commission and the World Heritage Centre. The assessors also spoke to representatives from a sample of five field offices: the Multisectoral Regional Office for Central Africa, UNESCO Offices in Islamabad and Hanoi, the Regional Bureau for Education in Bangkok, and the Regional Bureau for Science in Montevideo.

Discussions were held with the institutional lead of the UNESCO assessment as part of the analytical process. These served to gather insights on current priorities for the organisation from the perspective of MOPAN member countries.

General information about the sequence and details related to these evidence lines, the overall analysis, and the scoring and rating process, as applied to UNESCO, can be found in the MOPAN 3.0 methodology.

## Limitations

Given its particularly broad mandate and the commensurately wide network that UNESCO embodies, the assessors spoke with 6 of 13 Category 1 institutes and centres, but due to time and resource constraints were not able to speak to its other affiliated entities or to its Category 2 institutes. The assessment is also limited by the fact that the assessors interviewed select staff from only 5 of the organisation's 59 regional and field offices.

This assessment required applying a methodology to a specialised agency whose primary role is normative and whose secondary role is the delivery of development interventions. As the MOPAN methodology was designed principally for multilateral organisations engaged in country programming, the assessors used evidence of UNESCO's normative work in lieu of a country-facing intervention.

It is important to note gaps in the availability and coverage of independent evidence to inform the assessors' views of some sectors or of work in support of the Conventions. There was a particular gap in relation to the efficiency of results delivery. Where evaluative evidence was lacking, the assessors drew on reports by the external auditor. A synthetic review of evaluations was also a key source. The team tested and validated evidence from the documentary review by conducting interviews, studying online monitoring reports (narrative and financial) and triangulating these with the survey analysis results.

This assessment was carried out over a period of transition. The current Director-General, who assumed office in late 2017, has signalled the intent to drive rapid improvements in a number of areas. These and some earlier change initiatives are too recent to yield evidence for analysis by this assessment.

# 2. DETAILED ASSESSMENT OF UNESCO PERFORMANCE

# Chapter 2. Detailed assessment of UNESCO performance

The performance is assessed on four dimensions of organisational effectiveness – strategic, operational, relationship and performance management – and on the results achieved by the organisation. These findings are constructed against the organisation's own strategic plan and performance indicators.

In this way, organisational effectiveness relates to a blended assessment of intent, effort and response. Organisational intent is expressed through commitments, strategies, policies and plans. The organisational effort is that which the organisation puts behind a particular agenda for performance and improvement including guidance issued. The organisational response is its reaction to the effects of this effort in relation to changing organisational direction, practice and behaviour.

Organisational effectiveness is juxtaposed alongside development effectiveness. The latter refers to the extent to which the organisation is making a difference in ways that reflect its strategic objectives and mandate.

## 2.1. ORGANISATIONAL EFFECTIVENESS

### PERFORMANCE AREA: STRATEGIC MANAGEMENT
*Clear strategic direction geared to key functions, intended results and integration of relevant cross-cutting priorities.*

Overall, UNESCO's strategic and organisational architecture provides a satisfactory enabling vehicle for the organisation to carry out its mandate. This assessment reflects the strength of UNESCO's support to implement global frameworks for cross-cutting issues at national, regional and global levels through its standard-setting work and programmatic interventions. UNESCO's Medium-Term Strategy outlines a clear, long-term vision and its progressively improving Programme and Budget plans operationalise this vision effectively. UNESCO's budget crisis has required it to continually adapt since 2012. There is evidence of the organisation adapting effectively, but challenges remain, and its financial situation is still fragile. UNESCO's member states and General Conferences need to agree on even greater prioritisation to prevent spreading its resources too thinly across too many priorities. Strategic reform of UNESCO's decentralised field network began in Africa in 2012, but was not implemented across the rest of the world due to the budget crisis. UNESCO's field network remains heterogeneous, and a new initiative to restructure it is anticipated. Notwithstanding the stalled field network reform, UNESCO has adapted to increase its operational efficiency.
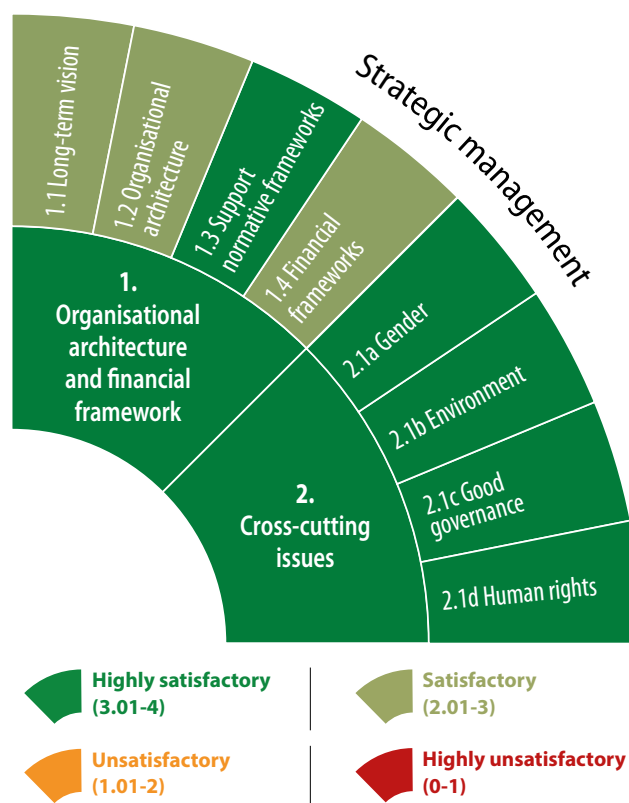
UNESCO has aligned its work for the 2018-21 period to the 2030 Agenda and the Sustainable Development Goals and to intersectoral co-operation. It supports effectively the implementation of normative frameworks for cross-cutting



Strategic management

1.1 Long-term vision
1.2 Organisational architecture
1.3 Support normative frameworks
1.4 Financial frameworks

1. Organisational architecture and financial framework

2.1a Gender
2.1b Environment
2.1c Good governance
2.1d Human rights

2. Cross-cutting issues

**Highly satisfactory (3.01-4)**
**Satisfactory (2.01-3)**
**Unsatisfactory (1.01-2)**
**Highly unsatisfactory (0-1)**

issues of gender equality, environmental sustainability and climate change, good governance and human rights. Gender equality is a particular strength, and UNESCO shapes global norms in the fields of environment and human rights. UNESCO is also driving strong intersectoral co-operation to address interdisciplinary issues and cross-cutting strategic priorities.

**KPI 1: The organisational architecture and the financial framework enable mandate implementation and achievement of expected results.**

This KPI focuses on the extent to which UNESCO has articulated a coherent and strategic vision of how and for what purpose it has organised its human activity and capital assets to deliver both long- and short-term results.

**There is a clear Medium-Term Strategy (2014-21) and successively stronger operational Programme and Budget plans (2014-17 and 2018-21).** UNESCO's Medium-Term Strategy is built around a clear mission statement, aiming to contribute "to the building of peace, the eradication of poverty and sustainable development and intercultural dialogue through education, the sciences, culture, communication and information". The strategy defines peace and equitable and sustainable development as the organisation's overarching objectives and Africa and gender equality as its global priorities. UNESCO has nine strategic objectives, translated into the following five programmatic priorities through main lines of action and expected results: education, the natural sciences, social and human sciences, culture, and communication and information.

UNESCO has a mandate to safeguard eight international Conventions signed under its auspices. The relevant sectors are responsible for monitoring them and, where they have the funds, for building implementation capacity. Monitoring is a costly burden and, where budgets are limited, this leaves minimal resources to support implementation.

Programmes are defined for four years, while budget allocation is approved every two years. The organisation's last two Programme and Budgets documents (2014-17 and 2018-21) operationalise the Medium-Term Strategy by setting out expected results and how they will be achieved. UNESCO has tightly aligned its activities for the 2018-21 period to the 2030 Agenda and the Sustainable Development Goals.

**UNESCO continues to face an extended and damaging budget crisis, with the need for further prioritisation.** The unplanned and persistent reduction in resources, since Israel and the United States withdrew their contributions starting in 2011, has had an impact on almost all aspects of UNESCO's operations. As mentioned in Chapter 1, core corporate functional units lost around a third of posts, as UNESCO attempted to protect the budgets of programme units. However, some of these too remain under-resourced. Budgets allocated from regular resources permit those units unable to raise extrabudgetary funds to implement little more than their basic normative responsibilities.

**UNESCO led a prioritisation exercise in mid-2013 that helped but did not fully address its new financial situation, and its resources are still too thinly spread, in the view of the external auditor.** The Executive Board confirmed a re-prioritisation of components within major programmes by expected results. Core resources were then allocated to priority areas in subsequent Programme and Budget documents. The 2018-2021 Programme and Budget is more clearly focused than the preceding one, with a marked reduction in the number of main lines of actions and expected results. However, the Executive Board did not mandate sufficiently aggressive prioritisation, commensurate with the size of the budget reduction. The external auditor's conclusion that member states need to "more clearly face up to the choices resulting from a financial situation which is still fragile and an excessive number of objectives in relation to the resources which have been reduced" remains pertinent. UNESCO's current Director-General has signalled the intent to engage member states to "undertake a strategic examination" of UNESCO's priorities and, in the light of this, to "launch new initiatives and let go of others".

**UNESCO programs its financial envelope effectively and is strengthening its resource mobilisation strategies.** The 2018-2019 Programme and Budget is based on an integrated budget framework and includes all the anticipated available funds with a forecast assessment of potential future voluntary contributions; it includes assessed contributions and committed and anticipated extrabudgetary funds. UNESCO has a new strategic approach to increasing extrabudgetary funds and tackling the shortfall. To obtain more predictable and accurate forecasts of extrabudgetary contributions to priority areas, it began collective donor consultations ("structured financing dialogue") in 2018. This is in addition to bilateral dialogue. UNESCO is also asking donors to allocate their funds with minimal earmarking and is streamlining its systems to make it easier for donors to contribute to programme areas, as opposed to discrete and small-scale projects. Extrabudgetary activities currently represent approximately 45% of total expenditure.

**UNESCO has a clear operating model that effectively delineates responsibility for results and its contribution to global goals.** The 2016-2017 Programme and Budget articulates how UNESCO supports the SDGs and how it manages normative frameworks. These include eight international Conventions that the General Conference has adopted and six regional Conventions. The 2018-2019 Programme and Budget demonstrates UNESCO's alignment: (i) to individual SDGs in a more systematic and comprehensive way, and (ii) to the goals of the Paris Agreement on Climate Change. UNESCO's Programme and Budget documents include expected results, with performance indicators and targets for all main lines of action for each major programme.

Some UNESCO institutes, such as the Intergovernmental Oceanographic Commission (IOC), have a global custodian role to lead the delivery of SDG targets and indicators and report on results on behalf of the global community. Moreover, the IOC is contributing to the development of a new legally binding instrument to conserve and sustainably use marine biodiversity of areas beyond national jurisdictions under the United Nations Convention on the Law of the Sea. The UNESCO Institute for Statistics (UIS) provides global leadership in measuring SDG 4, and its system tracks results for global efforts.

**The organisational structure reflects UNESCO's mandate but has a complex field network that requires further reform.** UNESCO's structure is largely congruent with its current objectives and mandate. The organisation aims to carry out its global normative work at headquarters and regional levels and to undertake policy advice and capacity building at the national level. At headquarters, its organisational architecture reflects its primary programme sectors (education, natural sciences, human and social sciences, and communication and information). The International Oceanographic Commission is based at UNESCO headquarters in Paris, while the UNESCO Institute for Statistics is based in Montreal. All Category 1 institutes, located globally, contribute to overall results for UNESCO, despite also having their own separate strategies. The results of UNESCO's Category 1 institutes also contribute to UNESCO's overall results. The relationship between UNESCO and its institutes effectively balances the need for functional autonomy and accountability to UNESCO. More than half of all survey respondents (54%) considered that UNESCO has an excellent (15%) or very good (39%) understanding of its comparative advantage.

The structures and mandates of UNESCO's regional and country field offices were reviewed in 2012 to better support delivery of UNESCO's overall mandate. The ensuing reform process began by changing the field network in Africa. However, this process was paused, largely in response to the budget crisis. UNESCO's field network now comprises some reshaped country and regional offices in Africa and unchanged structures elsewhere. The current heterogeneous network has mixed reporting lines and two parallel structures in operation (multisectoral regional and national offices in Africa, and cluster and national offices and thematic regional bureaux in the rest of the world). Funding shortages also mean that offices in Africa did not receive their intended staffing profiles and support platforms.

Both the UNESCO evaluation function and the external auditors have recommended rationalising the field network, and in the first half of 2018 the Director-General committed to re-examining UNESCO's field presence. She noted

that field office reform "remains unfinished in Africa and has not been pursued in the rest of the world as planned". UNESCO is already reviewing its field office network and country operations and is doing so within the context of ongoing reforms of the United Nations Development System (UNDS). UNESCO forms part of the UN Reform core group and is positioned to shape the UN's country and regional presence. However, the challenge of reforming UNESCO's field network is made more difficult by the shifting context and implicit political dimension that influences decision-making. Previous attempts to reduce or reconfigure UNESCO's presence at country-level were often met with opposition and/or strong lobbying from member states.

While the sectors have tended to operate in isolation, UNESCO has taken steps to drive intersectoral co-operation. This is the case where there are interdisciplinary issues such as climate change, or in relation to its cross-cutting strategic priorities (Africa and gender equality). UNESCO has also strengthened co-operation between headquarters, its various intergovernmental entities (e.g. UIS, IOC) and its Category 1 institutes. All UNESCO's Category 1 institutes operate and collaborate in rich multi-partner networks.

UNESCO's collaboration with other UN agencies and specialised agencies is a particular strength. For example, the organisation is a permanent member of the SDG Education 2030 Steering Committee, with UNICEF and the Global Partnership for Education. It has convening roles in relation to global work on freshwater and the oceans, statistics and culture. It also plays a strong role in UN-wide evaluation standard setting.
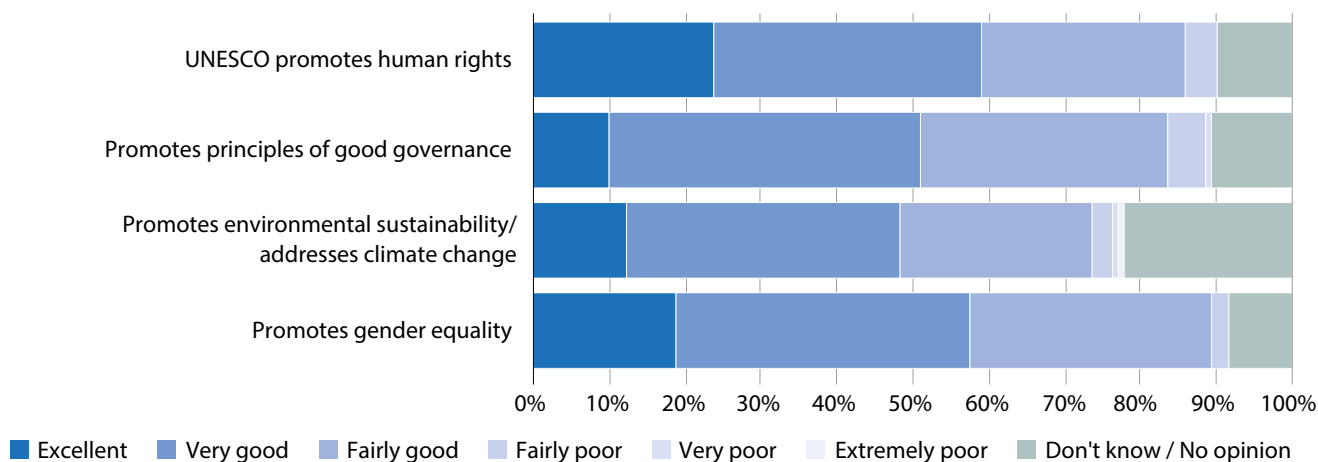
**KPI 2: Structures and mechanisms support the implementation of global frameworks for cross-cutting issues at all levels.**

This KPI looks at the articulation and positioning within UNESCO's structures and mechanisms of the cross-cutting priorities to which the organisation is committed, in pursuit of its strategic objectives.

**UNESCO has the structures and mechanisms to support global frameworks for cross-cutting issues**. UNESCO's standard-setting role combined with its programmes and the work of its Category 1 institutes has built strong global, regional and national structures and mechanisms. These support the evolution as well as the implementation of global normative frameworks. UNESCO is particularly strong at mainstreaming gender equality and the empowerment of women across the organisation's work. It is a thought leader in key areas of environmental sustainability and climate change, and has systems in place to ensure programming is climate sensitive. Given that a core component of its mandate is to promote peaceful and inclusive societies for sustainable development, much of its normative and programme work aims to support good governance. Likewise, UNESCO has a constitutional mandate to contribute to the promotion of all human rights, and a large proportion of its programming in various sectors is designed to do so.

The partner survey confirmed that stakeholders value UNESCO's contribution to promoting these cross-cutting agendas. Human rights and gender equality scored highly in both excellent (23% and 19%, respectively) and very good ratings (35% and 39%). Scores for good governance and environmental sustainability were slightly lower for excellent responses (10% and 12%) and slightly higher for very good responses (40% and 36%).

**Mainstreaming of gender equality is a particular strength of UNESCO.** As mentioned above, gender equality is one of two global priorities in UNESCO's Medium-Term Strategy and is operationalised in UNESCO's Gender Equality Action Plans (GEAP). UNESCO allocates a total activity budget of around 7.2% of expenditure from its regular programme to gender equality programmes. The current GEAP directs how gender equality is mainstreamed in the planning, implementation, monitoring and reporting of all UNESCO's programmes. Approximately 40% of the regular programme operational budget contributes to gender equality.

**Figure 1: Survey response – CROSS-CUTTING ISSUES**



| | Excellent | Very good | Fairly good | Fairly poor | Very poor | Extremely poor | Don't know / No opinion |
|---|---|---|---|---|---|---|---|

UNESCO's strategic programme and budget documents fully integrate gender equality indicators and targets across the organisation's other strategic priority (Africa) and the five major programmes. UNESCO's reporting system integrates a Gender Equality Marker to measure the contribution of an activity when gender equality is not the primary objective. It also gives an indicative financial value and is seen as a first step in "gender budgeting". An internal evaluation of GEAP 2 (2014-21) shows substantial evidence of implementation and use of the policy. Gender equality mainstreaming in UNESCO's education, science, cultural and information programmes is particularly strong: UNESCO has integrated the requirement to ensure gender equality is addressed in its programming tools and tracks implementation.

UNESCO's evaluation guidance mandates the inclusion of gender equality indicators and targets in evaluations. The organisation has established several innovative partnerships with the private sector and civil society to promote gender equality (e.g. its flagship "L'Oréal-UNESCO for Women in Science" awards).

Category 1 institutes also embed gender indicators and targets. UNESCO's Institute for Statistics provides global benchmark data on gender inequality and is a global leader in highlighting gender disparities in education and science. UNESCO also contributes to establishing standards in gender equality in a broad range of fields, including sport.

**UNESCO is a global leader in knowledge on environmental sustainability and climate change**. It leads policy development in several fields of environmental sustainability and climate change, related in particular to education and science. UNESCO's Intersectoral Task Force on Climate Change is revising its policy and co-ordinating implementation across the organisation and with partners. UNESCO has updated its environmental sustainability and climate change policy to reflect both the Paris Agreement and the 2030 Agenda (SDGs) (see KPI 10 for the latter). Its key policy frameworks drive debate and action on environmental sustainability and climate change. These frameworks include the Global Action Programme on Education for Sustainable Development, Disaster Risk Reduction, the Global Framework for Climate Services, the Small Island Developing States (SIDS) Action Plan, and the Strategy for Technical and Vocational Education and Training.

Some examples of UNESCO's initiatives related to environmental sustainability and climate change include: UNESCO's Intergovernmental Oceanographic Commission (IOC), the global authority on the ocean, environmental sustainability and climate change, and co-ordinates tsunami early warning systems across the world. Global Geoparks, World Heritage sites and biosphere reserves include a number of climate change observatories. UNESCO's World Water

Assessment Programme produces a flagship annual assessment of the status of freshwater resources. Finally, the organisation's International Hydrological Programme drives global initiatives that address related elements of environmental sustainability and climate change.

Environmental sustainability and climate change are embedded in the objectives and targets of many of UNESCO's thematic and cross-cutting strategies and action plans. In terms of country-level interventions, the organisation's work plan programming principles are aligned to those of the United Nations Development Assistance Framework (UNDAF) and include requirements on environmental sustainability and resilience principles. UNESCO's project document template requires staff to identify the environmental impact of each intervention and to identify any environmental risks and how they can be mitigated.

**Promoting good governance underpins much of UNESCO's work.** UNESCO's mandate is to "build peace in the minds of men and women", and a large proportion of its work is explicitly aimed at supporting good governance. Many of its programmes are designed with overarching objectives to promote peace and "equitable and sustainable development". Indicators track progress for good governance-related interventions, for example measuring the number of countries that have integrated peace and human rights education into education policies and practices. In terms of accountability and corporate reporting, numerous indicators within UNESCO's results frameworks reflect principles of good governance and are reported on accordingly. However, a specific focus on the range of indicators that constitute good governance is not required in evaluations. Financial and human resourcing for interventions that support good governance is available for relevant programmes, from education to information and communication.

**UNESCO makes a global contribution to shaping human rights standards as well as promoting them.** UNESCO has a constitutional mandate to contribute to the promotion of all human rights. It has a "special responsibility" with regard to specific rights: the right to education, the right to participate in cultural life, the right to freedom of opinion and expression including the right to information, and the right to access the benefits of scientific progress. It also has a mandate to promote and protect cultural diversity. Many of its programmes promote freedom of expression, media pluralism, multilingualism and equal access to cultural life. UNESCO also works on issues such as bioethics and is starting to look at artificial intelligence.

UNESCO has a clear and public Strategy on Human Rights that sets out how the organisation must mainstream human rights throughout its work. These instructions are reflected in internal documents. A number of programmes and expected results relate either to human rights-related programmes or explicitly to UNESCO's human rights mainstreaming work.

UNESCO has a track record of creating new global norms in the human rights field. For example, in March 2018 UNESCO facilitated the adoption of the Geneva Declaration on Human Rights and Cultural Heritage. In the wake of the destruction in Mosul and Timbuktu, the Declaration aimed to clarify cities' obligations with respect to the destruction of cultural heritage.

**Financial constraints have limited UNESCO's ability to consistently provide training on cross-cutting agendas, but other methods have been used.** The budget crisis led UNESCO to reduce staff training across all topics. However, gender training remained mandatory for all staff, and UNESCO's Division for Gender Equality has established a network of 150 Gender Focal Points across the organisation. UNESCO's ability to roll out capacity development to its Gender Focal Points has been constrained by budget limitations. To address this, UNESCO has developed online training material and delivers face-to-face training on issues such as use of the Gender Equality Marker. Likewise, advanced training on UN human rights responsibilities has remained mandatory for all staff, and some field offices have continued to deliver training on a human rights-based approach to development.

**PERFORMANCE AREA: OPERATIONAL MANAGEMENT**

*Assets and capacities organised behind strategic direction and intended results, to ensure relevance agility and accountability.*

UNESCO has been under stress since the budget crisis. It adapted well to the sudden need to find 22% of its budget in savings but has faced continuous challenges. Staffing constraints persist, improvements in human resource management lagged and structural reforms are incomplete. Many reforms to tackle these issues are underway and much progress has been made. Resources are allocated according to the organisation's strategic priorities, although they remain thinly spread. UNESCO has progressively improved its integrated results-based budgeting system, and its approach should yield improvements in both implementation and resource mobilisation in future. Financial systems and internal control mechanisms are generally robust, though staffing cuts in headquarters' corporate roles risk weakening control functions.
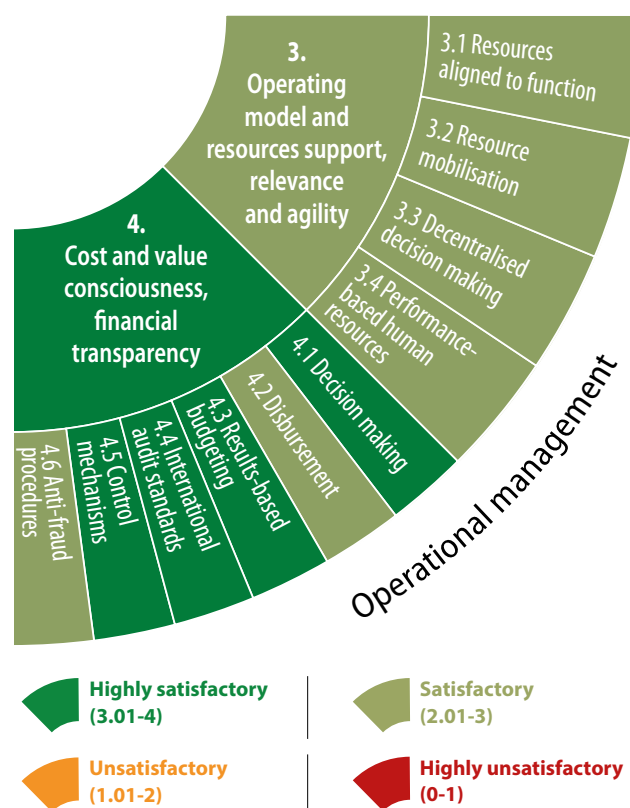


**Highly satisfactory (3.01-4)**

**Satisfactory (2.01-3)**

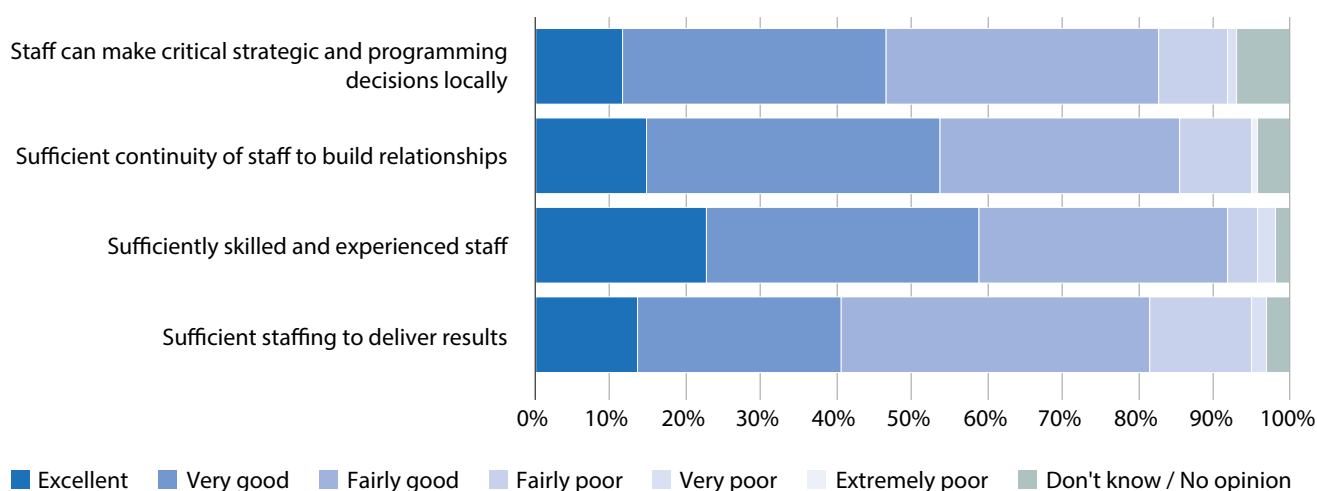**Unsatisfactory (1.01-2)**

**Highly unsatisfactory (0-1)**

## KPI 3: The operating model and human and financial resources support relevance and agility.

This KPI focuses on how key operational functions (e.g. human resources, resource generation and programming) are continuously geared to support strategic direction and deliver results.

**UNESCO is committed to improving organisational effectiveness and efficiency, but has limited space to progress.** UNESCO's Medium-Term Strategy states a clear commitment to improving organisational efficiency and effectiveness, and UNESCO has been on a continuous journey to strengthen its efficiency. However, within the context of a reduced budget and the reluctance of its General Conference to drive stronger prioritisation, UNESCO has had few resources and little space to deliver on this agenda. Improvements are being made, nonetheless.

**UNESCO faces ongoing human resource constraints, with challenges for the future.** The budget shortfall since 2012, and uncertainty over whether the budget gap will persist each year, has made it difficult for UNESCO to plan its human resources effectively. Between 2011 and 2015, the organisation reduced its staff costs by 14%, prioritising posts in the field office network to ensure it could continue to deliver programmes, at the expense of headquarters posts and functions. An audit of staff planning highlighted the need to improve human resource planning and to enhance staff geographical and functional mobility. UNESCO's current human resource strategy (2017-22) intends to address these issues and to take a strategic approach to talent management. However, UNESCO's ability to drive staff mobility and recruit new talent was reduced by a 2018 General Conference decision to extend the retirement age of staff recruited before 1990 from 60 to 65. There will now be approximately 5% fewer regular staff vacancies across the organisation. Notwithstanding these issues, MOPAN's partner survey indicates a high degree of respect for the professionalism of its staff: 23% of total respondents felt UNESCO was excellent at providing sufficiently skilled and experienced staff, and 36% felt it was very good.

**Figure 2: Survey response – STAFF PERFORMANCE**



Legend: Excellent · Very good · Fairly good · Fairly poor · Very poor · Extremely poor · Don't know / No opinion

**Resource allocation is aligned with UNESCO's priorities but overstretched.** UNESCO directed sectors to focus on their core activities following the budget crisis. However, up until the current Programme and Budget, UNESCO's sectors generally maintained their previous commitment to ambitious expected results and main lines of action – resulting in unrealistic or overambitious objectives. This mismatch appears to have been partially addressed, as the 2018-19 budget demonstrates that a process of prioritisation has taken place. UNESCO reduced the main lines of action from 16 to 11, with a commensurate reduction in the number of expected results. The current budget is based on an integrated budget framework, which should enable UNESCO to better direct the totality of resources according to priorities.

**Restructuring is ongoing but constrained by budgets.** UNESCO's Medium-Term Strategy (2014-21) committed the organisation to an ongoing programme of restructuring to drive efficiency and effectiveness. Restructuring has focused on implementing a roadmap that predates the budget crisis, but has been complemented by numerous other restructuring initiatives designed to address the consequences of the crisis. An external evaluation concluded that "UNESCO has emerged from the crisis strengthened in some areas and weakened in others". It notes that roadmap targets were "broadly coherent and relevant but the management of their implementation encountered some problems". UNESCO's failure to refocus the programme in light of the budget crisis was partly a consequence of the General Conference's reluctance to be selective.

An evaluation of the restructuring of the field office network, which the budget crises stalled, noted a number of challenges, several of which remain. Among these is UNESCO's human resource capacity in field offices. UNESCO's new Director-General has signalled the intent to strengthen the alignment of its organisational structures and has committed to reviewing priorities and the field network and to creating a new Administration and Management Sector. A review of the field network will need to assess which decentralised model is best suited to helping UNESCO implement its mandate.

**Ongoing improvements to how UNESCO raises resources are achieving results**. UNESCO has not made up the budget shortfall created in 2011, when assessed contributions dropped by more than a fifth. However, the organisation has made progress in closing the gap. It increased voluntary contributions by 9% between 2010 and 2015, while net regular contributions decreased by 30%, leaving income in 2015 only 13% lower than its 2010 level. UNESCO was able to secure an increase in extrabudgetary funds of 3% in 2016. Extrabudgetary activities now represent approximately 45% of total expenditure.

UNESCO's draft resource mobilisation strategy for 2018-19 sets out a new approach. For example, the organisation has entered into multi-year Programme Cooperation Agreements with donors, enabling better planning and programme delivery. It took steps to institutionalise new structured financing dialogue in September 2018, piloted with Nordic donors in 2017. UNESCO intends to hold Structured Financing Dialogue meetings to focus on specific regions and themes. The organisation is also increasingly partnering with private organisations to fund long-term projects in areas such as information and communication.

**Work is underway to strengthen the accountability and performance management of decentralised units**. A 2016 external audit concluded that "the respective roles of regional, cluster and national offices have not been sufficiently clarified and harmonized", and a comprehensive review of the field office network in the first half of 2018 made concrete recommendations. While the Secretariat is in the process of reviewing and strengthening the relationship between headquarters and its field network, it is too early to see evidence of impact. Directors of field offices have sufficient delegated authority for the overall management of their operations and financial resources (regular budget and extrabudgetary resources). They also have responsibility for mobilising funds.

UNESCO is developing a management tool to assess the performance of individual field offices and the network as a whole. This tool, the Balanced Scorecard, will identify and score corporate and programmatic performance criteria. UNESCO intends to use the tool to monitor the performance of the field network during the 2018-2019 Programme and Budget. The intention is to integrate it into existing information and communication technology (ICT) tools and to be fully operational by the end of 2018. UNESCO has carried out one round of assessments and is modifying the tool.

**Overdue reform of human resource management systems is underway.** UNESCO is modernising and strengthening its human resources and performance assessment systems. Clearer links are being made between individual performance frameworks and UNESCO's results framework. A UNESCO Competency Framework to strengthen staff capabilities to deliver the SDGs has been developed and is being rolled out. Until 2015, UNESCO's budget constraints limited investment in updating its systems. Training across the organisation has also been limited due to financial constraints; the human resources office lost 96% of its training budget between 2011 and 2015 as well as six of its nine staff responsible for training.

UNESCO updated its performance management policy in 2014 to simplify the performance assessment process and to enhance the accountability of supervisors and managers. However, a 2016 external audit noted that uneven management performance remained. UNESCO is now introducing management competencies into its performance framework to ensure consistent and systematic assessment of performance across all staff.

UNESCO's performance assessment system faces challenges, particularly with feeding into decision-making processes such as promotion, incentives and rewards. While the organisation currently assesses staff performance every two years, it will soon introduce annual performance assessment in line with international best practice. However, the performance assessment does not contain an element of "360-degree" reporting. Only 31% of UNESCO's staff consider that the system effectively recognises or identifies outstanding or poor performance staff (2018 staff survey).

## KPI 4: Organisational systems are cost- and value-conscious and enable financial transparency and accountability.

This KPI examines how UNESCO uses its external and internal control mechanisms to meet the standards it sets on financial management and transparency.

**UNESCO has a transparent approach to resource allocation.** UNESCO has a clear and explicit decision-making system in place for the allocation of resources. The Integrated Results and Resources Framework for the period 2017-19 sets out how total resources are allocated to defined outcomes and results. Criteria in the Results and Resources

Framework reflect the priorities of the Medium-Term Strategic Plan. Sectors submit a sectoral strategic framework alongside a resource allocation matrix that shows how to allocate programme funds to main lines of action for interventions in headquarters and in decentralised entities. These proposals are considered within headquarters and submitted to the General Conference for finalisation. A high proportion (47%) of total partner survey respondents rated the transparency of criteria for financial resource allocation as excellent (16%) or very good (30%). While resources are allocated transparently, they are still spread too thinly, and further prioritisation is needed. This will require the endorsement of the General Conference.

**Figure 3: Survey response – FINANCIAL RESOURCE MANAGEMENT**
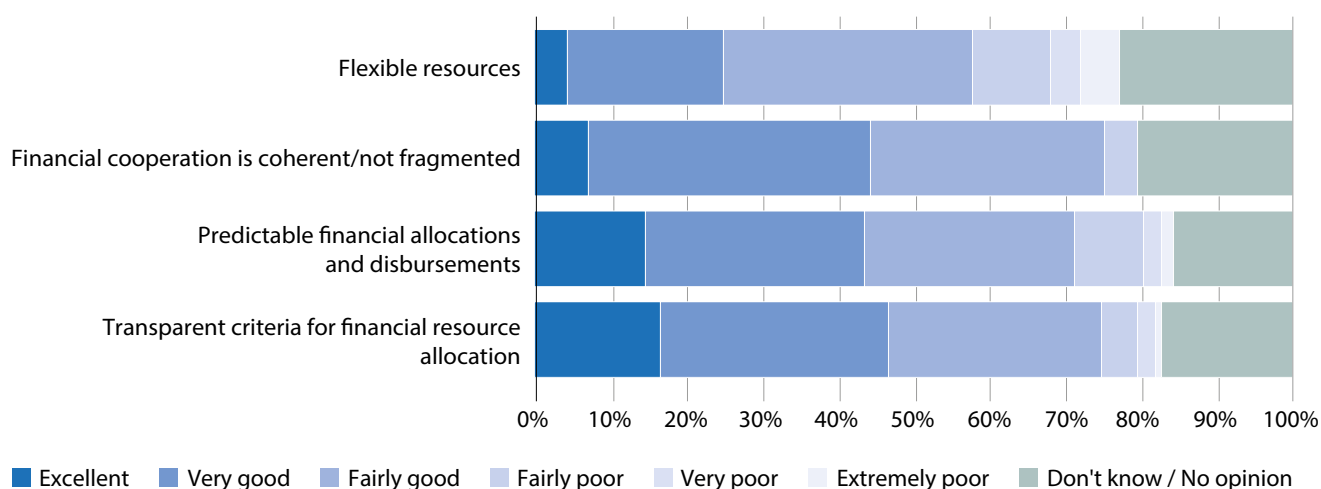


UNESCO has systems to ensure funds are disbursed as intended. The implementation of both regular programme and extrabudgetary funds is tracked against targets, and delays in spending trigger alerts and management reviews. Deviations in excess of set standards are analysed and reported to the Executive Board. Where variances are high, this often reflects spending units' attempts to ensure they have secured funding for future activities.

Implementation rates have been affected by staff shortages, as sectors lack the field or headquarters staff to implement funded activity. A high proportion of survey respondents identified insufficient staffing levels as an impediment to delivering results. However, within certain parameters, UNESCO has mandated spending units to fast-track the hiring of temporary staff to fill vacant posts. The impact of staffing shortages and the ability of programmes to resolve them through temporary hires is reflected in the partner survey: 31% of total respondents considered that staffing levels facilitated the delivery of results (rated excellent or very good), and 33% felt that staffing levels were fairly good (see Figure 2).

**A comprehensive results-based budgeting system has been significantly improved over successive budgets and programmes.** There is clear evidence that UNESCO has progressively built a better system for results-based budgeting since 2013. It now provides budget estimates by expected results for both programmes and services. The integrated budget framework in the current Programme and Budget also provides budgetary information about sources of funds and includes an estimated funding gap. It offers programmatic, staffing and budgetary information for both the budget scenarios and expenditure plans. A revised cost recovery policy adopted in 2016 also provides a transparent basis for classifying costs and attributing management costs across all sources of funding.

UNESCO now links the financial resources allocated within the current and preceding Programme and Budgets to expected results. In turn these are aligned with the strategic objectives of the Medium-Term Strategy. Budget tables show estimated costs of implementing the expected results within each major programme sector. Similar information is provided for both the official budget scenarios. UNESCO is developing a new ICT platform to replace its existing

System of Information on Strategies, Tasks and the Evaluation of Results (SISTER) platform, which will better integrate results-based management and provide a system to track project implementation. This should also help reduce the number of different data repositories that staff need to access, freeing up time.

**There is, however, a tendency to measure outputs rather than results and impact.** UNESCO has clear and comprehensive guidance that spells out how to ensure indicators measure results/impact rather than outputs. However, there is a gap in applying this guidance effectively, and approximately a third of indicators have been found to measure outputs. This makes it difficult to accurately measure progress and performance. In response, UNESCO has been conducting results-based management coaching sessions for staff in key sectors.

**UNESCO undergoes rigorous external auditing.** UNESCO's auditors are committed to conducting audits according to the International Standards on Auditing published by the International Auditing and Assurance Standards Board of the International Federation of Accountants. All recent external audits state that they were conducted in accordance with these standards. The latest external audit of UNESCO's accounts, relating to the year ending 31 December 2016, found that UNESCO's financial statements give a "fair view" of its financial position and of its financial performance. Recent Performance Audit reports, while generating a series of recommendations, confirm that across the board UNESCO complies with international standards.

UNESCO gives a management response to all external audit report recommendations and produces an annual consolidated report. It reports to the external auditor and to member states on the implementation of the auditor's recommendations. Actions against external audit recommendations are then put into time-bound plans. In terms of outstanding external audit recommendations, up to May 2017 the Secretariat achieved a 61% implementation rate. Half of the remaining outstanding recommendations were issued within six months of the reporting period.

**There is a strong internal audit function.** UNESCO's internal audit function – the Audit Section of the Internal Oversight Service – has been independently validated as meeting international standards, including for independence. UNESCO was accredited with the highest Institute of Internal Auditors compliance rating: it is considered to have "a charter and policies and process that are judged to be in accordance with the Standards" – but with opportunities for improvement. Concerning action taken to implement internal audit recommendations, 65% of "open recommendations" were made in the previous 12 months.

The Director of the Internal Oversight Service makes a statement to the Executive Board annually on the status of the organisational independence of the audit function. A UN Joint Inspection Unit has noted that UNESCO is one of three UN agencies assessed as having the highest degree of internal audit function independence, as the head approves the internal audit plan directly without approval of the executive head or Executive Board. UNESCO publishes internal audit reports produced by its Internal Oversight Service and makes summaries available on the Internet (IOS website). UNESCO's Internal Oversight Office tracks audit recommendations and reports on their follow-up twice a year. Reports are presented to UNESCO's independent Oversight Advisory Committee as well as senior management. Recommendations that relate to Category 1 institutes as well as core UNESCO entities are tracked.

**There are comprehensive anti-fraud systems, but broader operational and financial risk management capacity is overstretched.** UNESCO has clear policies and procedures to prevent, detect, investigate and sanction fraud and other financial irregularities. It has appropriate institutional mechanisms and is explicit that staff have a duty to report fraud. The Investigation Office accepts anonymous reports, and all communications are covered by UNESCO's whistleblower protection policy, which also establishes a Protected Disclosures System to provide protection from retaliation. Staff training in ethics was limited until 2015 due to the budget crisis, and fraud awareness training began in November 2016. As with audit recommendations, the Internal Oversight Office presents an annual report to the Executive Board on all investigations. UNESCO publishes a description of action taken against staff found to have contravened its policies.

The Oversight Advisory Committee notes in its February 2017 report to the Executive Board that it has "observed a growing degree of operational risk". It states that the resources of key parts of the organisation are so stretched that "the Committee is concerned that some key control functions may be severely weakened". The external auditor has expressed a similar concern, finding that staff cuts between 2012 and 2015 left risk management capacity "overstretched".

## PERFORMANCE AREA: RELATIONSHIP MANAGEMENT
*Engaging in inclusive partnerships to support relevance, to leverage effective solutions and to maximise results (in line with Busan Partnerships commitments).*

Partnerships are central to UNESCO's mandate and operating model, and the organisation has a rich network it deploys to achieve its aims. UNESCO plays a global leading role in monitoring SDG implementation, in partnership with others. It regularly generates high-quality knowledge that supports this and influences the framing of global norms. Planning and programming procedures contain clear mechanisms to promote relevance through context analysis, alignment with national priorities and the ability to adapt interventions. It builds capacity that is likely to be sustained in specialist areas but has a mixed record for country-level interventions. Some of UNESCO's institutional procedures have been found to impede the speed of implementation, but these are being addressed. UNESCO is working on strengthening its approach to risk identification and mitigation and is improving the transparency of its data from a satisfactory baseline.

6.9 Knowledge
6.8 Joint assessments
6.7 Accountability to beneficiaries
6.6 Information sharing
6.5 Partner co-ordination
6.4 Synergies
6.3 Use country systems
6.2 Comparative advantage
6.1 Agility

**6. Works in coherent partnerships**

**5. Operational planning and intervention design support, relevance and agility**

5.7 Implementation speed
5.6 Sustainability
5.5 Cross cutting
5.4 Risk management
5.3 Capacity analysis
5.2 Context analysis
5.1 Alignment

Relationship management

**Highly satisfactory (3.01-4)**
**Satisfactory (2.01-3)**
**Unsatisfactory (1.01-2)**
**Highly unsatisfactory (0-1)**

## KPI 5: Operational planning and intervention design tools support relevance and agility within partnerships.

This KPI focuses on the scope and robustness of UNESCO's processes and practice to support timely, flexible and responsive planning and intervention design for partnerships.

**Country strategies and interventions are well aligned with national and regional priorities.** UNESCO prioritises context analysis as part of ensuring that its programmes are relevant to needs. It achieves this through the mandatory use of analytical and programming instruments. All the country programming documents and UNESCO country strategies reviewed justify interventions on the basis of national objectives. These objectives stem from contextual analysis undertaken by UNESCO or, where it exists, analysis in an UNDAF. UNESCO also consults with National Commissions on identifying and refining national priorities. A synthetic review of 261 evaluations shows that UNESCO "is recognized for its distinct interdisciplinary and participatory approach to programming, notably in the design phase".

**Building specialist capacity for the long term is a particular strength of UNESCO, but there is scope to improve consistency.** Building human and institutional capacity among partners constitutes one of UNESCO's five functions, and all its major programmes aim to develop capacity. Interventions aim to build the capacity of regional as well as national institutions and of individuals focused on specific sectoral issues across the world. Several of UNESCO's institutes and centres have as their primary objective the building of specialist capacity. For example, the mandate of the International Institute for Capacity Building in Africa (a Category 1 institute under the Education Sector) is to

strengthen the capacities of teaching institutions across Africa. Likewise, the development of specialist skills is a main plank of the Intergovernmental Oceanographic Commission's current strategy.

The 28-country Capacity Development for Education for All programme had a systematic five-step capacity development approach that assessed and established capacity baselines. The programme was evaluated as particularly effective, due to the way it was tailored to countries' needs and their ability to adapt and respond to evolving contexts.

**Figure 4: Survey response – OPERATIONAL PLANNING AND INTERVENTION DESIGN**
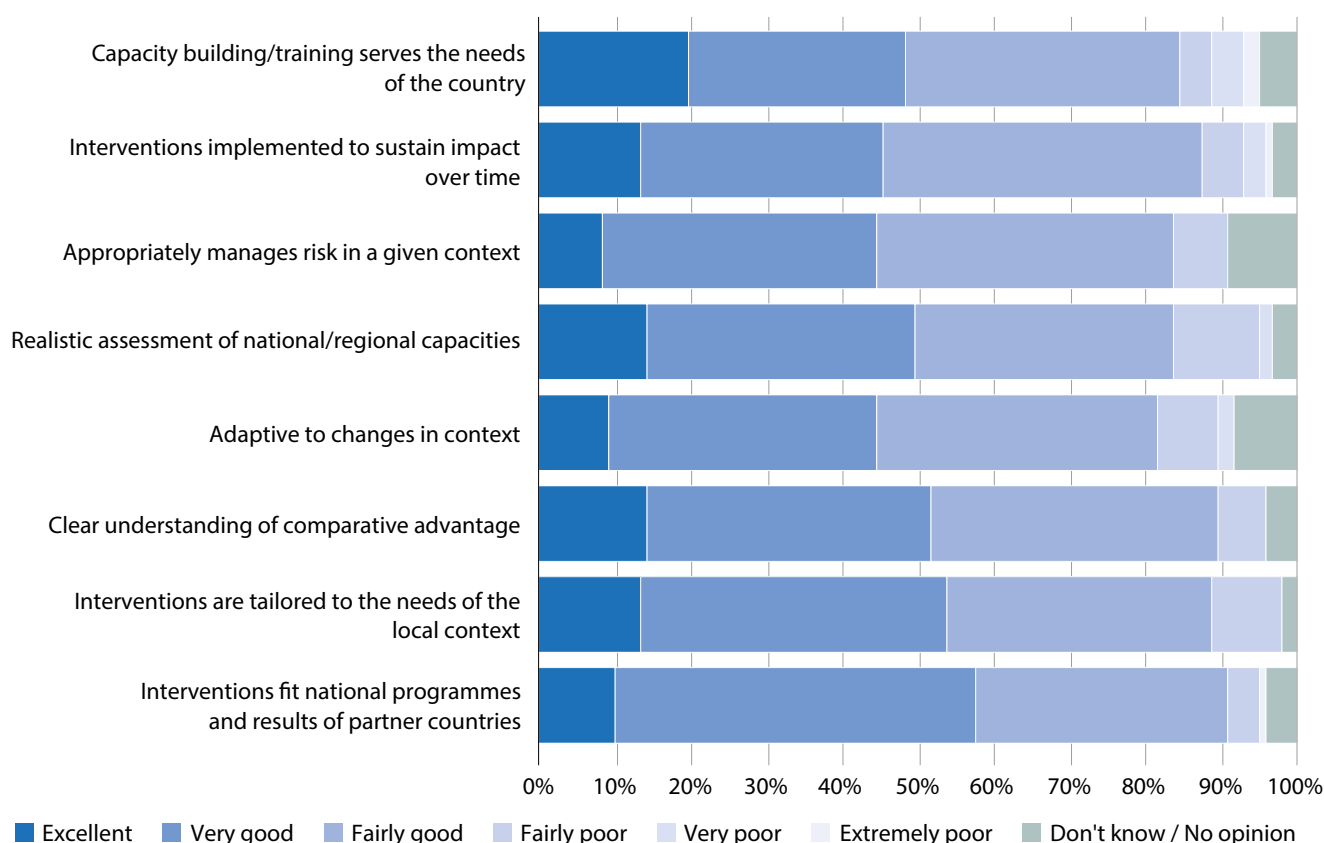


The approach of some programmes to capacity building has been evaluated as contributing to the sustainability of the intervention. Normative programmes have the assessment of capacity as a core component, with the goal of building capacity for the long term. The Intergovernmental Oceanographic Commission's capacity-development strategy and UNESCO's Media and Information Literacy programmes are good examples of this approach. Some of UNESCO's interventions take a dynamic and fluid approach to capacity building. An evaluation of the Capacity Development for Education for All programme praised its "unique capacity development approach". Similarly, an evaluation of the normative work of the Culture Sector noted that UNESCO's support in building institutional and professional capacities generated tangible results. However, a synthetic review of 68 evaluations noted that many interventions lacked strategic capacity-development strategies, and activities were characterised as "ad hoc".

**UNESCO's sectors and institutes also produce knowledge products that help practitioners perform specialised capacity analysis and develop capacity**. These include syntheses of lessons and best practice guidelines. UNESCO has developed particular expertise in several areas: crisis-sensitive educational planning, information management and capacity building for ministries of education, the care of UNESCO-designated sites, and the governance of natural resources and sustainable development. The partner survey reflects the value users put on UNESCO's knowledge products, with 30% of total respondents stating that they are excellent and 40% considering them to be very good (see Figure 5).

**Figure 5: Survey response – PARTNERSHIPS**



| | Excellent | Very good | Fairly good | Fairly poor | Very poor | Extremely poor | Don't know / No opinion |
|---|---|---|---|---|---|---|---|
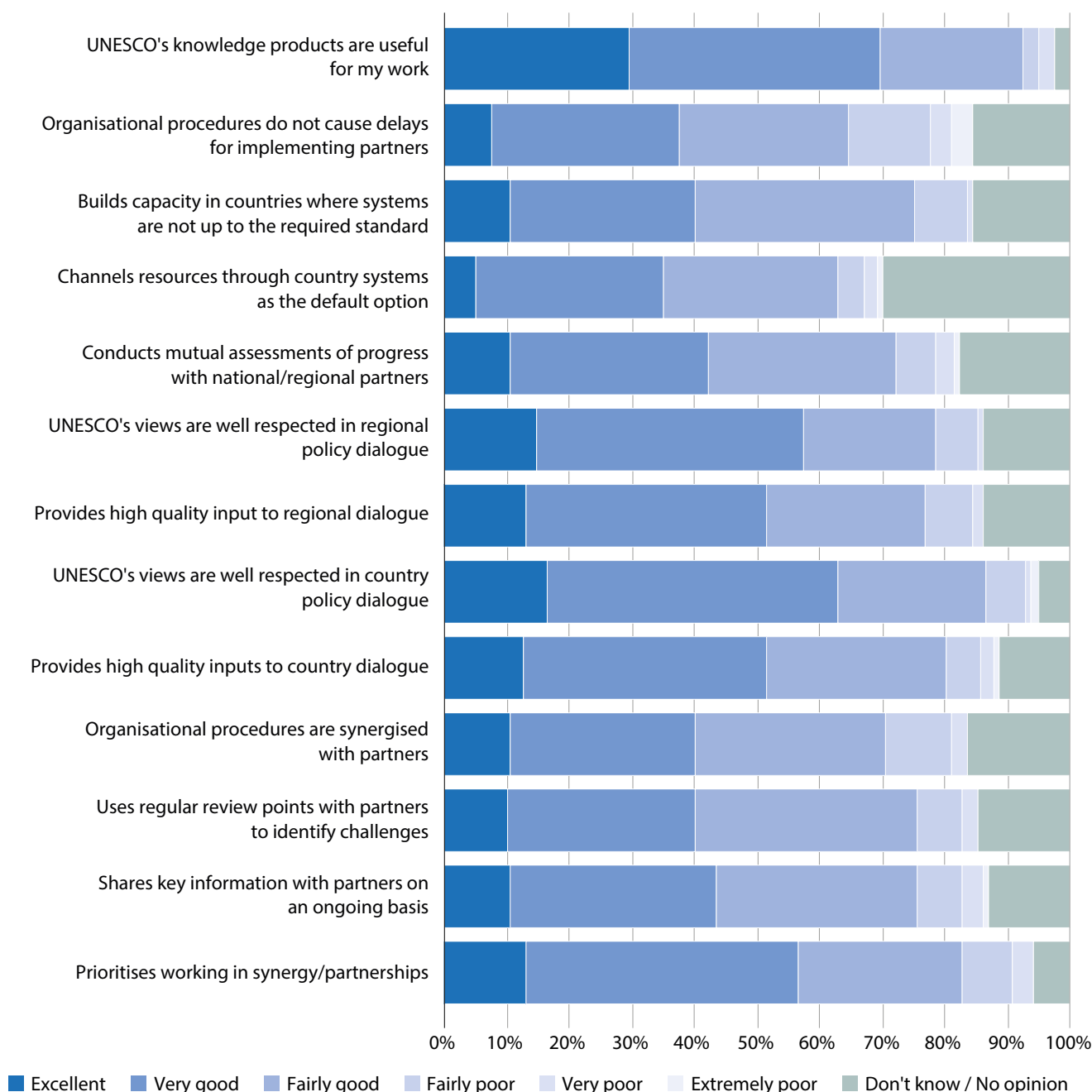
**Gender mainstreaming within programming is a particular strength, though there is variable attention to other cross-cutting issues.** UNESCO's planning and programming tools emphasise the integration of cross-cutting issues at the intervention level. Its recent country strategy guidance is more explicit on the requirement than its previous guidance and requires the analysis of all cross-cutting issues. UNESCO has particularly robust policies, procedures and guidance on integrating gender equality into interventions. Gender Focal Points review programme proposals with regard to the extent to which they promote gender equality. The Education Sector has a unit tasked solely with driving gender equality programming throughout the sector. The Gender Review of the Global Education Monitoring Report regularly reviews progress on gender equality. Guidance or systems to encourage the integration of other cross-cutting issues are less explicit. However, evaluations show that, where relevant, these cross-cutting issues are factored into intervention designs.

**Risk management is a work in progress.** UNESCO has a risk management policy that applies to programmes and requires a detailed risk analysis for all new interventions. The organisation's risk management framework aims to embed risk management in the programme cycle, and management is required to routinely report on the status of risk control systems. New country strategy guidance will require national programmes to better integrate risk management into operations. While overall, UNESCO-wide risk management is perceived as incomplete and overstretched, UNESCO is introducing a programme to strengthen enterprise-level systems. The organisation has drafted a new risk management policy that establishes a system to routinely monitor risks at the level at which they are "owned", with unmitigated significant risks referred upwards. There is clear responsibility for monitoring and referring such risks upwards. UNESCO's treatment of risk should therefore improve in the coming months.

**Impediments to speedy implementation are being addressed.** Some of UNESCO's institutional procedures have been found to impede the speed of implementation. The number of donor-funded, extrabudgetary projects has increased, but without a commensurate increase in core UNESCO staff. A working group for extrabudgetary projects is identifying systemic constraints in this regard. UNESCO already operates a quarterly traffic light dashboard to monitor the financial status of projects by sectors and field offices. However, the organisation intends to simplify its procedures that govern how projects are reviewed and to focus procurement and contracting capacity in regional centres. Slow recruitment has also been seen as a bottleneck to implementation. UNESCO recently revised its recruitment policy with a view to reducing delays and improving its quality. By removing redundant steps and streamlining procedures, it aims to complete new recruitment within 130 days. UNESCO is also redesigning its IT systems, with the aim of improving efficiency. The organisation is also updating its finance systems, which will now include grant management, and is replacing SISTER with a new planning tool. Processes will be simplified as it redesigns these systems.

### KPI 6: Partnership working is coherent and directed at leveraging and/or ensuring relevance and the catalytic use of resources.

This KPI looks at a range of dimensions to how UNESCO engages in partnerships to maximise the effect of deployment of its investment resources and its wider engagement.

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### Box 4: Partnering in the Education Sector

Working in partnership with national governments, the role of UNESCO's Education Sector is five-fold:

- **Laboratory of ideas:** Anticipating and responding to emerging trends and needs in education, and developing education policies based on research and country priorities.

- **Standard-setter:** Developing standards, norms and guidelines in key education areas, and monitoring the implementation and dissemination of successful educational policies and practices.

- **Clearinghouse:** Promoting the development, implementation and dissemination of successful educational policies and practices.

- **Capacity-builder:** Providing technical co-operation to develop the capacity of member states to achieve their national education goals.

- **Catalyst for international co-operation:** Initiating and promoting dialogue and exchange among education leaders and stakeholders.

**UNESCO is a respected and strong convener, enabling a solid approach to coherence.** UNESCO is a convener for international action with a wide and diverse network of partners. The organisation aligns its programmes with national governments, which are often implementation partners themselves. At the country level, where UNESCO has a presence, it participates with collective UN efforts to enhance coherence and efficiency, aiming to align its planning and programming within UNDAFs. UNESCO has a track record of designing strategies and interventions that aim to encourage synergies, raise resources and work with other partners. There are a number of examples of effective as well as ineffective practice. UNESCO aims to strengthen the way it works in an interdisciplinary and integrated way and is introducing measures that should ensure that it is able to achieve this more broadly in future.

**Delivering its agenda through a dynamic and innovative portfolio of multi-stakeholder partnerships is a key strength of UNESCO.** Reflecting its mandate and operating model, UNESCO has an extraordinarily broad range of partnerships. UNESCO delivers much of its agenda by convening and facilitating rich multi-stakeholder partnerships at different levels – bringing together global, regional and national partners – across all its programme areas. It probably has the broadest range of partnerships among multilateral organisations. Its official partnerships span the private sector, non-governmental organisations, the media, parliamentarians, UNESCO affiliate centres and clubs, schools, higher education and research institutions, UNESCO ambassadors, a global network of technical and vocational education and training centres, and the 115 Category 2 affiliated institutes and centres. UNESCO plays a significant role in all its domains as a convener, broker, facilitator and implementer of multi-stakeholder partnerships designed to support the 2030 Agenda. It also builds innovative multi-stakeholder partnerships that support South-South and North-South-South co-operation. Each sector outlines its partnership activities in work plans contained in UNESCO's Programme and Budget documents.

Partnerships are disciplined by a clear policy framework, and UNESCO produces a comprehensive biennial report on the implementation of its partnership strategy. The organisation monitors whether its partnerships are contributing to its results framework and has terminated problematic partnerships. Particular highlights are UNESCO's global co-ordination mandate and expertise in delivering technical and vocational education and training (TVET) and higher education, its multi- and inter-disciplinary expertise, and its work on youth, climate change and gender equality in science, technology, engineering and mathematics.

**UNESCO plays a leading role in joint monitoring of SDG implementation and other global standard-setting instruments.** The organisation assesses progress in global commitments, reflecting the 2015 mandate to lead or participate in the delivery of different SDGs. UNESCO participates in joint assessments of sectoral and normative commitments in relation to: education (SDG 4); science, technology and sustainable development (SDGs 9 and 17); freshwater (SDG 6) and the oceans (SDG 14); cultural heritage (SDG 11); ensuring sustainable consumption and production patterns (SDG 12); promoting peaceful and inclusive societies for sustainable development (SDG 16) and gender (SDG 5). UNESCO is also mandated to lead and co-ordinate the 2030 education agenda. Furthermore, the Intergovernmental Oceanographic Commission is the recognised UN body leading global co-operation on ocean science and delivery of the standalone SDG 14 and has a leading role in global monitoring and standard-setting. At the national level, UNESCO is involved in UN Country Team planning, monitoring and evaluation.

**UNESCO is a world leader in generating knowledge that influences global norms.** The production of specialist knowledge that aims to promote policy dialogue and advocacy and to guide more effective programming is a key UNESCO strength. Encouraging access to information and knowledge is its ninth Strategic Objective, and its function is to serve as a "laboratory of ideas", promoting "knowledge sharing" and "intellectual cooperation". UNESCO has a very strong track record of producing high-quality knowledge, in an accessible way, that is of use to partner governments and other development actors.

UNESCO-produced knowledge consistently reaches a large audience and is available in a number of languages. For example, its knowledge-based advocacy in education was successful in influencing the SDG 4-Education 2030 Agenda and garnered support among its partners to introduce otherwise neglected aspects of education into the global sustainable development agenda. UNESCO produces flagship annual or biannual reports on trends in freedom of expression, including Internet freedom, and a broad range of other specialist global status reports. UNESCO's Institute for Statistics plays a global leadership role in providing the data and analysis that development agencies and governments need to design education programmes, including accessible online tools and analytical publications. In June 2017 alone, there were more than 1.8 million downloads of documents produced by UNESCO's sectors and institutes.
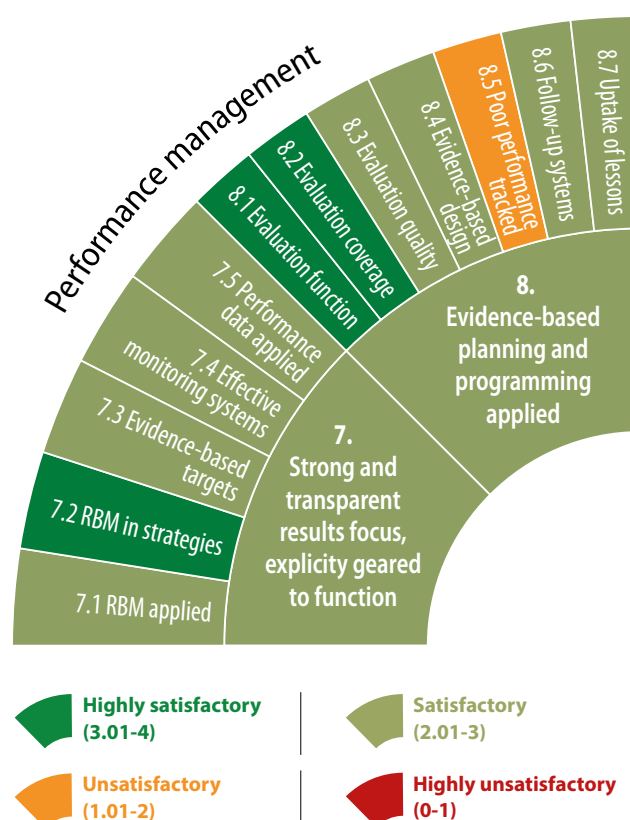
**The sustainability of national-level interventions and accountability to beneficiaries are uneven.** UNESCO's 2016 project document template requires all interventions to describe how sustainability of impact will be enhanced. However, a review of evaluations of interventions that predate this guidance judged that they did not take a strategic approach to sustainability. While UNESCO appears to lack a formal explicit statement of its standards on accountability to beneficiaries, its procedures for accountability are embedded in its principle programming manual. Given how constrained UNESCO's training resources have been, it is unclear how embedded these procedures are in practice.

**Information transparency is strong and set to improve.** UNESCO strengthened the transparency of its information between 2015 and 2017, and is one of 11 UN organisations to have adopted International Aid Transparency Initiative standards. It recently audited the status of its transparency work and, if the recommendations are implemented, will further strengthen the quality and breadth of the data it posts to IATI. The organisation is also committed to improving the quality of data on its associated Transparency Portal, so that it can better serve the operational needs of partners and improve resource mobilisation.

## PERFORMANCE AREA: PERFORMANCE MANAGEMENT

*Systems geared to managing and accounting for development and humanitarian results and the use of performance information, including evaluation and lesson learning.*

UNESCO has improved and strengthened its results-based management (RBM) focus and logic since 2015, and there is a strong corporate commitment to a results culture. However, the organisation's results focus is not consistent across all sectors or field operations. In terms of grounding planning and programming in a robust evidence base, UNESCO is centrally managed, and its corporate evaluations are strong and independent. Nonetheless, its decentralised evaluations are weaker and have uneven coverage. The evidence base from which UNESCO can draw is therefore uneven. This should improve with recent increases in the allocation made to evaluation. UNESCO does track action taken in the light of evaluations and its Evaluation Office actively disseminates lessons and has established an organisation-wide community of practice.



Performance management

8.1 Evaluation function
8.2 Evaluation coverage
8.3 Evaluation quality
8.4 Evidence-based design
8.5 Poor performance tracked
8.6 Follow-up systems
8.7 Uptake of lessons
7.5 Performance data applied
7.4 Effective monitoring systems
7.3 Evidence-based targets
7.2 RBM in strategies
7.1 RBM applied

8. Evidence-based planning and programming applied

7. Strong and transparent results focus, explicity geared to function

**Highly satisfactory (3.01-4)**

**Satisfactory (2.01-3)**

**Unsatisfactory (1.01-2)**

**Highly unsatisfactory (0-1)**

**KPI 7: The focus on results is strong, transparent and explicitly geared towards function.**

This KPI looks at how UNESCO transparently interprets and delivers an organisation-wide focus on results.

**There is a clear and evidenced corporate commitment to a results culture.** UNESCO's new Corporate Reporting System, its first a nd s econd Programme I mplementation R eports, i ts r ecent Strategic R esults R eport a nd its fi rst Analytical Programme Implementation Report (April 2018) are testaments to its strong commitment. Importantly, UNESCO's RBM focus and logic are evidenced in both its standard-setting and implementation roles. The partner survey validates this assessment: 54% of respondents thought UNESCO was excellent or very good at using robust performance data to inform policy and strategy decisions, and 58% of respondents believed UNESCO prioritises a results-based approach (rated very good or excellent).

**Figure 6: Survey response – RESULTS-BASED MANAGEMENT**
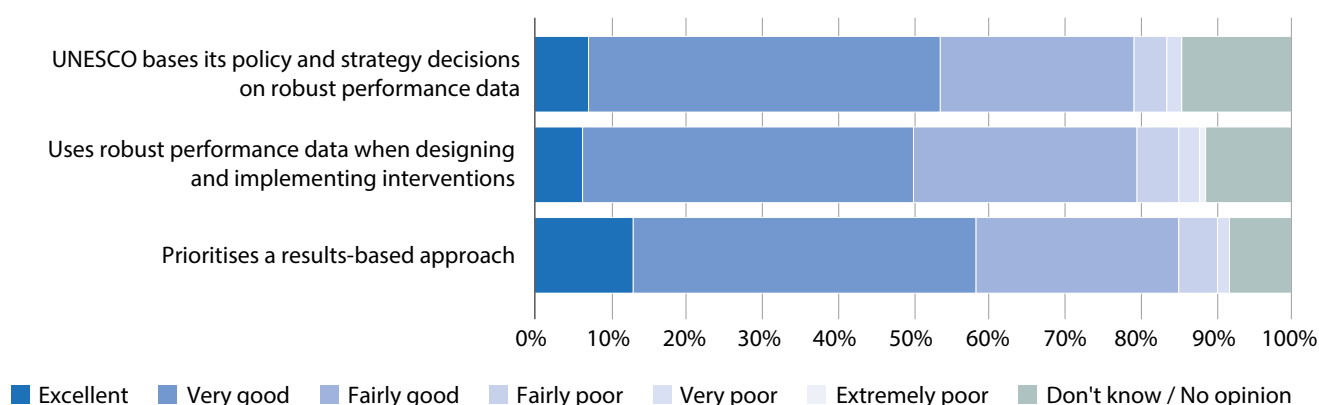


There is strong, verified evidence of alignment to the level of expected results across the organisation (including Category 1 institutes). Equally strong and verified is UNESCO's alignment with the Sustainable Development Goals (SDGs) and Agenda 2030 more broadly. All sectors and Category 1 institutes have mapped how they contribute to the SDGs and Agenda 2030. Organisation-wide plans and strategies generally include results frameworks.

**While no single results framework aggregates the results of all sectors' major programmes (e.g. for all major programmes of culture or the natural sciences), UNESCO has developed some results frameworks for individual ones**. For example, the International Institute for Educational Planning (IIEP) has a results framework. Also, to support funding proposals, the Education Sector has developed a single integrated results framework. It mapped and reviewed the results frameworks of several Education Sector entities, programmes and Category 1 institutes. This exercise covers most of the expected results of the Education Programme for 2018-21. The results framework was established on the basis of the 2018-2021 Programme and Budget and determined the outcome and output level performance indicators. This exercise will be expanded to all education-related expected results and will be integrated into programme planning and monitoring. The results framework of the 2005 Convention on the Protection and Promotion of the Diversity of Cultural Expression, which is now operational, is similarly strong. It includes 4 goals, 11 areas of monitoring and 33 indicators articulated with the SDGs, aiming to assess the impact of policies and measures developed in the framework of the Convention. The framework was introduced in the 2005 Convention's first Global Monitoring Report published in 2015 and was presented to the Intergovernmental Committee in December 2015 and the Conference of Parties in June 2017.

UNESCO's Strategic Results Report Annex 1 sets out the aggregated performance of each expected result by major programme, against five criteria. These are relevance, capacity to deliver, comparative advantage, demonstrable

results and sustainability. There is no aggregation at a higher level from expected results to strategic objectives. However, UNESCO monitors and reports on performance against many Conventions, as well as the SDGs and the broader Agenda 2030. Therefore, it is necessary to look for linkages at many different levels within its mandate.

In the 2018-2021 Programme and Budget, under Major Programme IV Culture, two cross-cutting expected results support the transversal implementation of the Conventions: one on emergencies to promote more integrated and co-ordinated responses, and another on the 2030 Agenda to measure the role of culture and support the culture-engaged achievement of the SDGs by member states. In addition, the Culture and Natural Sciences Sectors will work together to raise awareness of the links between cultural and biological diversity and strengthen the sustainable management of multiple UNESCO designated sites.

**UNESCO's results focus is not yet consistent across all sectors or field operations.** Three significant gaps exist in UNESCO's results focus. First, there is fragmented evidence that explains the results logic or causal pathways between major programmes (i.e. intersectorally) or how major programmes build a coherent whole (i.e. intersectorally). In most areas of UNESCO's work, the causal logic underlying activities is not made sufficiently clear. As a result, aspects such as the causal analysis, the choice of indicators, and the scope and coverage of monitoring and reporting are often weak or incomplete. There is a drive to build greater intersectorality in UNESCO, underlined by the new country strategies. The dominant flow of logic is currently between the expected result level and sectoral programmes, including both standard-setting work and interventions. However, UNESCO's new monitoring frameworks are now linked to budget and work planning. UNESCO has greatly strengthened its results-based budget practices, and the recently updated RBM guidance sets out clear guidelines. These should be put into practice during the remainder of this Programme and Budget period. At present, Culture stands out for its RBM focus.

**Currently, UNESCO does not assess its longer-term outcomes, but corporate level reporting has improved.** There is a gap in current organisational monitoring relating to the assessment of UNESCO's longer-term outcomes through the aggregation of sectoral results. The new organisational level and corporate level monitoring documents (PIR, SRR and APIR) represent substantive improvements and were fully harmonised in 2018. They generate useful, timely and generally high-quality performance data for corporate reporting and planning.

**A data gap exists in reporting on UNESCO's influence on key decision makers and partnership work.** It is likely that UNESCO significantly under-represents its contribution at various levels in its results reporting – doing itself a disservice. UNESCO clearly does influence decision-makers at global, regional and national levels through its normative and implementation work. There is also evidence that it learns from its influencing and partnership work and that it adjusts planning and informs decisions for the next cycle. UNESCO's partners highly value its policy dialogue role at both country and regional levels, and its views are well respected at national and regional levels (17% of survey respondents said they were excellent; 49.5% judged them very good).

**The added value of UNESCO's influence is not well reflected in its internal corporate monitoring procedures.** The influencing contribution of its specialist commissions and Category 1 institutes (UNESCO Institute for Statistics, IOC and IIEP) also goes largely unreported. At the national level, UNESCO will often have sound political reasons for not making explicit its influence on a government. Where UNESCO has influenced policy on a politically sensitive issue, such as freedom of the press or the harassment of journalists, claiming credit may jeopardise its relationship with national governments that are reluctant to be perceived as susceptible to international pressure.

**KPI 8: The organisation applies evidence-based planning and programming.**

This KPI focuses on the evaluation function, its positioning within UNESCO's structures, attention to quality, accountability and putting learning into practice.

**UNESCO has a strong and independent corporate evaluation function with additional quality assurance.** UNESCO has a functionally independent corporate evaluation service. The Evaluation Office has operational independence and a discreet budget allocation, and UNESCO's procedures safeguard the ability of evaluators to access any information or persons. The Head of the Internal Oversight Service, which houses UNESCO's Evaluation Office (as well as its Internal Audit and Investigations Offices), formally reports to the Director-General but can submit reports directly to the Executive Board. The Evaluation Office reports to the Director-General and to the Executive Board in its spring and autumn sessions. UNESCO has also established an additional body, the Oversight Advisory Committee that provides quality assurance over all of UNESCO's oversight mechanisms, including evaluation. The Oversight Advisory Committee, composed of external advisors which act as a standing committee that reports to the Director-General and the Executive Board on the quality of internal and external audit, evaluation and controls in UNESCO. The Oversight Advisory Committee also examines risk management practices within the organisation.

**UNESCO has strong corporate evaluations but weaker decentralised evaluations.** Evaluations either managed or commissioned by the Evaluation Office tend to be based on stronger design, planning and implementation processes than decentralised evaluations. Those managed by the sectors or field offices have been identified as generally weaker in the latest three synthetic reviews of evaluation reports. The performance of the Education Sector's decentralised evaluation practice – the sector with the largest budget – can be seen as a proxy for UNESCO's other sectors. In its report on 2016 education evaluations, the Internal Oversight Service (IOS) found that "none of the eight decentralized reports fully met widely accepted UNEG and OECD standards". The Evaluation Office has established an Evaluation Focal Point network to strengthen decentralised evaluations. Monitoring is not covered by this network and is not under the responsibility of IOS. The network covers all fields not only education.

A robust system is in place to ensure the quality of corporate evaluations, but a formal system for ensuring the quality of decentralised evaluations does not exist. Corporate evaluations have strong quality assurance mechanisms built into their implementation. As a form of quality assurance, UNESCO's Evaluation Office commissions meta-syntheses and analysis of decentralised evaluations and are establishing new measures to improve their quality and address shortcomings. The Evaluation Office is subject to periodic peer review and regular oversight by the Oversight Advisory Committee.

**Evaluation coverage should improve with increased resource allocation.** The UNESCO evaluation policy sets an overall target of 3% programme expenditure (regular and extrabudgetary resources) as the recommended minimum level of investment in evaluation. The Evaluation Office monitors and reports on progress in achieving this target in its annual reports. In 2016, 1.2% of regular programme resources and 0.6% of extrabudgetary resources were invested in evaluation. It is anticipated that progress toward 3% will be made in the current biennium of the 39 C/5 Programme and Budget and some sectors are edging towards this goal. For the period 2018-19, sectoral allocations are as follows: Education: 1.42%; Culture: 2.75%; Natural Sciences 2.55%; Social and Human Sciences 2.65%; and Communication and Information 2.61%. UNESCO's commitment to being clear about which interventions must be evaluated is verified by MOPAN's partner survey. A high proportion (38%) of respondents found them to be excellent or very good in this regard.

**UNESCO requires its sectors to reflect lessons from evaluations when planning new strategies, but coverage limits application**. At the level of individual intervention, guidance requires staff to show in project documents how an intervention will build on "lessons learnt". However, as noted above, in two of UNESCO's major programme areas there are insufficient evaluations to draw lessons from, and a synthetic analysis of recent evaluations showed that quality shortcomings limit the evidence that can be derived from them. The establishment of an Evaluation Focal

Point network in combination with the 3% investment in evaluation should improve the quality of project evaluations at the country level; in turn this should provide UNESCO with more evaluative evidence to improve project and programme design.

**Figure 7: Survey response – IMPLEMENTATION AND USE OF EVALUATIONS**
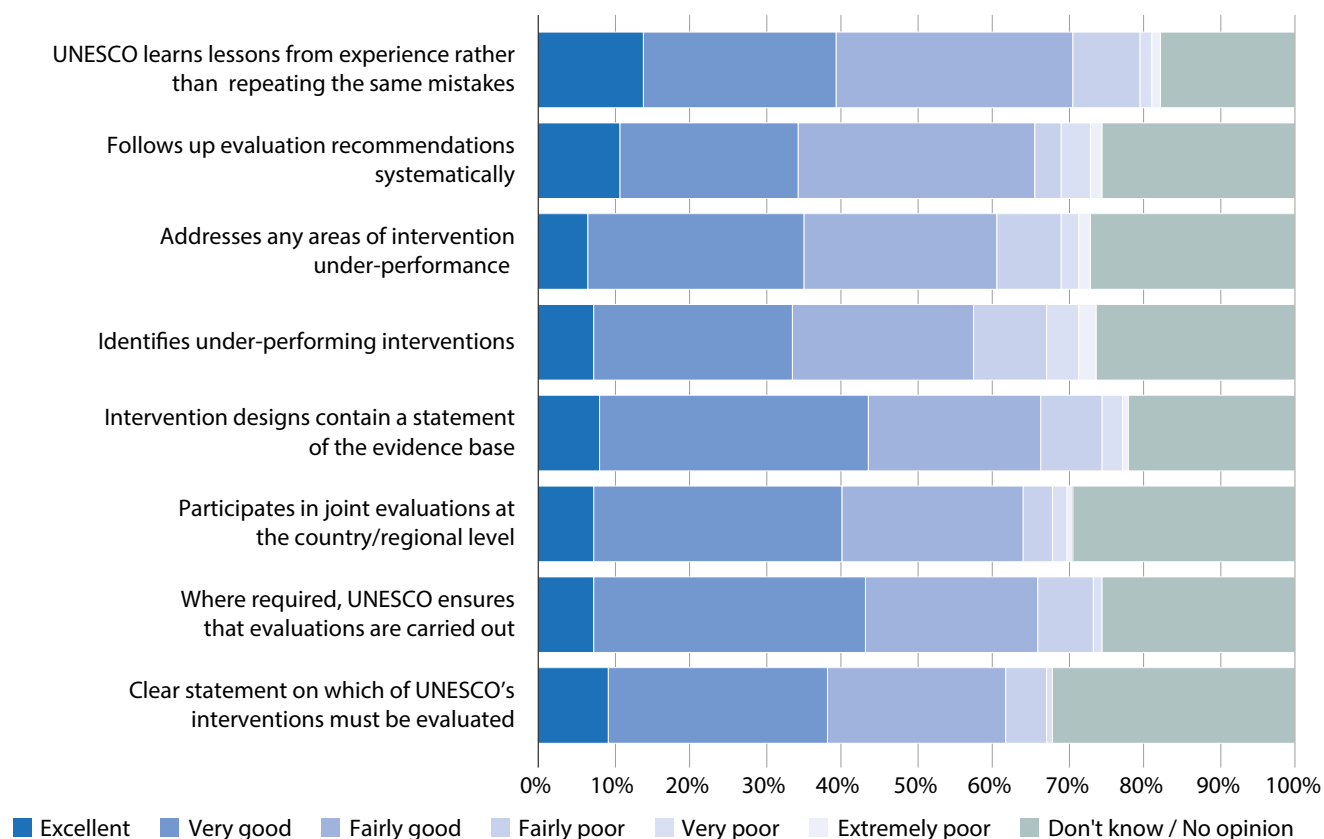


**Interventions are tracked, but evidence of management responses in cases of poor performance is unavailable.** Programming monitoring reports on all of UNESCO's activities are submitted every six months on UNESCO's system. UNESCO's SISTER system tracks the budget performance and the substantive performance of interventions. Poor performance of either should trigger a management response and action. However, reports that identify poorly performing interventions and that disseminate lessons to others are not available. The UNESCO partner survey indicates that partners are not clear as to how UNESCO addresses poor performance, with a quarter of the total sample responding "don't know" to the question.

**Management responses to evaluations are tracked.** UNESCO's policy requires a management response for each evaluation. The Evaluation Office tracks the status of follow-up for corporate and system-wide evaluation recommendations, and it reports on these to the Executive Board and the Oversight Advisory Committee. The report, which is a public document, sets out the status of implementation and shows how evaluations have contributed to strengthening UNESCO's interventions. The IOS report to the end of 2016 states that there were 54 open recommendations relating to 11 evaluations undertaken since 2013 (representing a decrease of 15 compared to 2015). It reports on how evaluations contributed to the Strategic Results Report, to improving guidelines for the Associated Schools Project Network and to developing a stronger co-ordination strategy for the SDG 4-Education 2030 Agenda.

**Dissemination of evaluation lessons is improving.** UNESCO makes all its corporate evaluations publicly available and since 2016 has taken steps to share lessons with its staff and the broader practitioner community in a more user-friendly and systematic way. The Evaluation Office produces an online newsletter containing an overview of key evaluations or evaluation issues and distils key insights and lessons from its annual "synthetic evaluations". It has also established an internal "community of practice" (Evaluation Focal Points) to share experience and knowledge and to communicate the findings, recommendations and lessons learned, particularly on decentralised evaluations. The community of practice also provides evaluation tools and guidelines for staff managing decentralised evaluations. In addition, it provides evaluation plans and reports from entities across the organisation.

## 2.2. DEVELOPMENT EFFECTIVENESS

### PERFORMANCE AREA: RESULTS
*Achievement of relevant, inclusive and sustainable contributions to humanitarian and development results in an efficient way.*



Highly satisfactory (3.01-4) · Satisfactory (2.01-3) · Unsatisfactory (1.01-2) · Highly unsatisfactory (0-1)
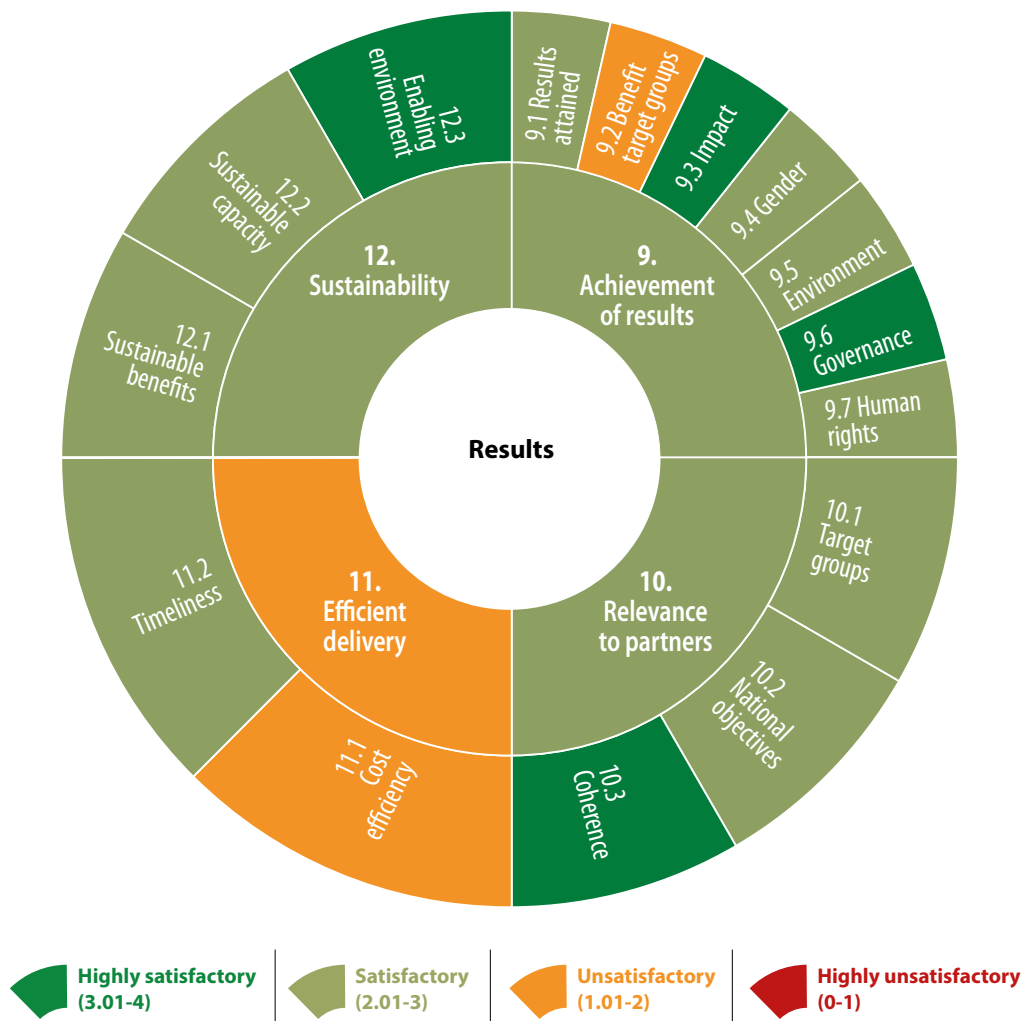
Overall, the evaluative basis for assessing results across the spectrum of UNESCO's mandate, from standard setting to interventions in each major programme, is limited. Where evaluative evidence is available and combined with self-assessment reports, UNESCO's interventions broadly achieve their objectives. The interventions are coherent and aligned with national, regional and global priorities and initiatives. However, available evidence suggests that UNESCO's ability to respond to needs and priority targets groups varies across its interventions. Importantly, there is limited evidence available to assess efficiency; available evidence (several evaluations) notes that slow disbursement of funds impedes effective implementation. UNESCO's ability to deliver in a cost-efficient manner is the weakest element of its results reporting.

Evidence on sustainability from available evaluations is mixed. On the one hand, UNESCO's role and mandate, alignment with priorities, and preference to work through government and partners suggest that the sustainability of the organisation's contributions is greater than available evaluative evidence. Self-assessments report that its normative and programmatic work leads to long-term change in the practices of governments and institutions. UNESCO would do well to address the gap in evaluative evidence so that firmer conclusions can be drawn across its results and as the objectives and achievements towards the 2030 Agenda unfold; it will be important to better understand the organisation's contribution.

## KPI 9: Development and humanitarian objectives are achieved, and results contribute to normative and cross-cutting goals.

This KPI examines the nature and scale of the results UNESCO is achieving against the targets it sets and its expectations on making a difference.

**The evaluative evidence available to assess achievement of results is limited. Where available, such evidence combined with self-assessments report that interventions achieve their objectives.** The self-assessing Programme Implementation Report states that all major programmes are on track and/or have achieved their expected results. There is no aggregation of results at the sectoral level (what all the expected results deliver), and gaps in evaluation coverage are currently being addressed. UNESCO intends to fill these gaps with 3% of the operational regular budget allocated for evaluation. Further evidence (which would require verification) of significant results at the objective or goal level is found in sector specific or Convention reports.

**The available evaluative evidence presents, on balance, a more negative picture of performance**. This evidence shows poorer performance in realising positive benefits for target group members. In some cases, this is because a baseline or appropriate monitoring tools are not in place. In others, it represents an explicit criticism of the design of the programme.

**UNESCO fits strongly with national programmes.** As a specialised UN agency, UNESCO works directly with partner governments on many agendas that contribute to development results at the national and/or global level. UNESCO and its Category 1 institutes partner with governments throughout the policy process to deliver sustainable results. Interventions often feed into normative, standard-setting work carried out under a sectoral umbrella. The partner survey data demonstrates this fit with national programmes and the results of partner countries. There was broad consensus among respondents: over 57% found that UNESCO's interventions are a very good fit (see Figure 4). Tailoring interventions to the needs of the local context was also rated as very good (40% of respondents) and excellent (13% of respondents). Evaluative evidence is more mixed in relation to realising positive benefits for target group members.

**UNESCO broadly achieves its objectives, particularly in gender equality.** The evaluative evidence combined with self-assessment reports (Programme Implementation Reports and Analytical Programme Implementation Reports) broadly indicate that interventions are achieving their objectives. According to the Programme Implementation

Report, all major programmes are on track and/or have achieved their expected results. Furthermore, UNESCO's interventions are designed to improve gender equality and aim to achieve gender transformative results.

**The evaluative basis for assessing results across the complete spectrum of UNESCO's work, including cross-cutting goals, is limited.** There is a results gap in internal corporate monitoring systems, noted by the Synthetic Review of UNESCO Evaluations. This means that it is very difficult to report on results and impact at the level of major programmes and above. As noted in KPI 2, UNESCO leads global debate and implementation in human rights, in several specialised areas of environmental sustainability and in addressing climate change. It also dedicates a large proportion of its programming to good governance. However, there has been no formal assessment of UNESCO's corporate contribution to these and other significant areas above the level of expected results.

**KPI 10: Interventions are relevant to the needs and priorities of partner countries and beneficiaries, and the organisation works towards results in areas within its mandate.**

This KPI centres on the relevance of UNESCO's engagement given the needs and priorities of its partner countries and its results focus.

**Evaluative evidence shows that UNESCO is coherent in its delivery of interventions, aligning to relevant national, regional and global priorities.** A Synthetic Review of UNESCO Evaluations revealed that a large majority of interventions and standard-setting work is aligned with national, regional and global initiatives and priorities. Recent self-assessments also demonstrate strong alignment with national, regional and global priorities. A synthetic evaluation collating evidence on the extent to which interventions developed synergies with related initiatives at the country and regional levels found them well aligned in the following themes: seven out of nine in education, 50% in water, 100% in youth and over 87% in culture. The synthetic evaluation also noted strong evidence that water, youth and culture interventions were well-aligned with global agreements: 57% of total respondents of the partner survey considered UNESCO interventions to be an excellent or very good fit with national programmes and results (see Figure 4).

**Corporate monitoring data and publicly available reports testify to the relevance of interventions across the field office network and of UNESCO's mandate more generally**. There is increasing demand for the organisation to demonstrate the intersectoral relevance of its work in communication and information and in culture, which it is doing. UNESCO's Education Sector is also responding to demand at the regional level for support mechanisms and guidance on monitoring SDG 4 on education. Meanwhile, the Science Sector is gearing up to support the delivery of the Decade of Ocean Science for Sustainable Development. Each of these mandates is based on the priorities and needs of the countries and is housed within the relevant UNDAF. The available evaluative evidence for assessing the responsiveness of interventions to priority targets groups is scant and mixed. However, within its normative work, there are many self-assessed examples of UNESCO responding to the needs and priorities of governments.

**UNESCO major programmes and Category 1 institutes are well aligned with Agenda 2030**. The 2030 Agenda gives new impetus to UNESCO's actions at the global, regional and national levels. UNESCO's work is present in nine Sustainable Development Goals (4, 5, 6, 9, 11, 12, 14, 16 and 17), the most well-known of which is SDG 4-Education 2030. Other specific responsibilities include being the custodian of monitoring against seven SDG targets and indicators (targets 14.3 and 14.a and indicators 11.4.1, 12.8.1, 16.10.1, 16.10.2 and 17.6.1) and contributing to six other targets across the goals (6.5, 9.5, 14.1, 14.2, 16.6 and 16.7).

### Box 5: UNESCO and the Sustainable Development Goals

UNESCO'S responsibilities in relation to the SDGs are summarised below. The organisation contributes to certain goals and targets and is the custodian of other targets and indicators.

**SDG 4 –** ensure inclusive and equitable quality education and promote lifelong learning opportunities for all. UNESCO leads the co-ordination, review and monitoring of SDG 4-Education 2030 at global and regional levels and supports its implementation at country level.

**SDG 5 –** achieve gender equality and empower all women and girls. UNESCO's work on gender equality is a strength, and it shapes global norms in the fields of environment and human rights.

**SDG 6 –** ensure availability and sustainable management of water and sanitation for all. UNESCO contributes to target 6.5.

● **6.5** By 2030, implement integrated water resources management at all levels, including through transboundary cooperation as appropriate.

**SDG 9 –** build resilient infrastructure, promote inclusive and sustainable industrialisation and foster innovation. UNESCO contributes to target 9.5.

● **9.5** Enhance scientific research, upgrade the technological capabilities of industrial sectors in all countries, in particular developing countries, including, by 2030, encouraging innovation and substantially increasing the number of research and development workers per 1 million people and public and private research and development spending.

**SDG 11 –** make cities and human settlements inclusive, safe, resilient and sustainable. Under target 11.4 below, UNESCO is the custodian of indicator 11.4.1 Total expenditure (public and private) per capita spent on the preservation, protection and conservation of all cultural and natural heritage, by type of heritage (cultural, natural, mixed and World Heritage Centre designation), level of government (national, regional and local/ municipal), type of expenditure (operating expenditure/investment) and type of private funding (donations in kind, private non-profit sector and sponsorship).

● **11.4** Strengthen efforts to protect and safeguard the world's cultural and natural heritage.

**SDG 12 –** ensure sustainable consumption and production patterns. Under target 12.8, UNESCO is the custodian of indicator 12.8.1 Extent to which: (i) global citizenship education and (ii) education for sustainable development (including climate change education) are mainstreamed in (a) national education policies; (b) curricula; (c) teacher education; and (d) student assessment.

● **12.8** By 2030, ensure that people everywhere have the relevant information and awareness for sustainable development and lifestyles in harmony with nature.

**SDG 14 –** conserve and sustainably use the oceans, seas and marine resources for sustainable development. This stand-alone goal recognises that ocean science and UNESCO's Intergovernmental Oceanographic Commission's (IOC) standard-setting role are essential to addressing all of the challenges or dimensions of ocean sustainability. The IOC contributes to targets 14.1 and 14.2 and is the custodian of targets 14.3 and 14.a.

● **14.1** By 2025, prevent and significantly reduce marine pollution of all kinds, in particular from land-based activities, including marine debris and nutrient pollution.

● **14.2** By 2020, sustainably manage and protect marine and coastal ecosystems to avoid significant adverse impacts, including by strengthening their resilience, and take action for their restoration in order to achieve healthy and productive oceans.

● **14.3** Minimize and address the impacts of ocean acidification, including through enhanced scientific cooperation at all levels.

● 1**4.a** Increase scientific knowledge, develop research capacity and transfer marine technology, taking into account the Intergovernmental Oceanographic Commission Criteria and Guidelines on the Transfer of Marine Technology, in order to improve ocean health and to enhance the contribution of marine biodiversity to the development of developing countries, in particular small island developing States and least developed countries.

**SDG 16 –** promote peaceful and inclusive societies for sustainable development, provide access to justice for all and build effective, accountable and inclusive institutions at all levels. UNESCO contributes to targets 16.4, 16.6 and 16.7. It is also responsible for monitoring against indicators 16.10.1 Number of verified cases of killing, kidnapping, enforced disappearance, arbitrary detention and torture of journalists, associated media personnel, trade unionists and human rights advocates in the previous 12 months and 16.10.2 on access to information.

● **16.4** Strengthen the recovery and return of stolen assets and combat all forms of organized crime

● **16.6** Develop effective, accountable and transparent institutions at all levels

● **16.7** Ensure responsive, inclusive, participatory and representative decision-making at all levels

● **16.10** Ensure public access to information and protect fundamental freedoms, in accordance with national legislation and international agreements.

**SDG 17 –** strengthen the means of implementation and revitalize the global partnership for sustainable development. UNESCO is the custodian of indicator 17.6.1 Number of science and/or technology cooperation agreements and programmes between countries, by type of cooperation, under this target:

● **17.6** Enhance North-South, South-South and triangular regional and international cooperation on and access to science, technology and innovation and enhance knowledge-sharing on mutually agreed terms, including through improved coordination among existing mechanisms, in particular at the United Nations level, and through a global technology facilitation mechanism.

## KPI 11: Results are delivered efficiently.

This KPI looks at the extent to which UNESCO is meeting its own aims and standards on delivering results efficiently.

**There is little evaluative evidence of efficiency and no aggregated self-assessment of UNESCO's resource or cost efficiency.** Several evaluations noted that slow disbursement of funds was an impediment to effective implementation. This is being addressed through an initiative to streamline institutional procedures (Invest for Efficiency). Internal audits focus on resource/cost efficiency, and there are plans to carry out a result-based budgeting process audit in 2018. This will assess the overall risk that UNESCO's resources are not deployed to priority areas and the extent to which extrabudgetary funding and regular budgets are aligned. The evaluation of the Capacity Development for Education for All Programme deemed the programme value for money.

**The most recent Programme Implementation Report states that, overall, programme implementation is on track with a high likelihood of achievement by the end of 2017.** This most recent (second) PIR, assessed progress by expected result against related performance indicators and targets, as revised in the context of the Expenditure Plans. In the absence of a new PIR, a number of evaluations noted that the slow disbursement of funds was an impediment to effective implementation. This evidence must be set in the context of the assessment of institutional procedures. These include systems for engaging staff, procuring project inputs, disbursing payment and arranging logistics.

## KPI 12: Results are sustainable.

This KPI looks at the degree to which UNESCO successfully delivers results that are sustainable in the longer term.

**There is limited evaluative evidence to assess sustainability. The available evidence suggests varying degrees of sustainability.** Limits to UNESCO's ability to secure long-term staffing and funding for both normative work and interventions weaken the likelihood of results being sustainable. However, self-assessments and external evidence indicate that benefits from UNESCO's work to reinforce global norms with supportive interventions, continue after the programme or project funding ends.

Examples include the long-term partnerships established with governments in education and the ongoing monitoring and support of the World Heritage team to projects across the world. Reports demonstrate that UNESCO's normative, standard-setting role builds consensus and understanding of what constitutes sustainable results in each sector. It strengthens the enabling environment for development by working with governments to develop stronger policies and strategies, as well as to build implementation capacity. There are many examples where UNESCO's work is absorbed by government. For example, since 2013, through the Regional Montevideo office, a small Judges School Programme in Mexico has now been rolled out in 21 countries. The programme instructs judges and supports regional judicial systems on Freedom of Expression and access to public information.

Corporate reporting and reporting at the sectoral and programme levels demonstrate that UNESCO's work is strongly aligned with Agenda 2030 and that its national and regional offices work with and through National Commissions to support the delivery of respective UNDAFs. UNESCO's sectoral experts and Category 1 institutes are often long-standing partners of national governments and departments, working with them to strengthen institutional capacity. However, there is insufficient evaluative evidence to draw definitive conclusions in relation to this KPI, and it is not possible to triangulate between a sufficient body of evaluative evidence and self-assessment sources.

# 3. OVERALL PERFORMANCE OF UNESCO

# Chapter 3. Overall performance of UNESCO

The conclusions of the assessment are reflected in a rounded view on organisational performance framed around four key attributes. A reflection on the organisation's trajectory of performance improvement complements this view. An effective organisation (i) is future facing in terms of understanding needs and demands; (ii) is organised and operates in ways that make best use of its assets and comparative advantages; (iii) has systems, planning and operations all suitably geared to the delivery of its mandate; and (iv) consistently demonstrates an ability to make a difference with the resources it has, in the context in which it operates. The final part of the assessment report sets out the observed strengths of the organisation and suggested areas for improvement.

## 3.1. CURRENT STANDING AGAINST THE REQUIREMENTS OF AN EFFECTIVE ORGANISATION

### Is UNESCO future facing?

UNESCO has a strong appreciation of the demands it presently faces and is laying the foundations to face future demands from a solid position. However, it looks ahead from a somewhat vulnerable position.

UNESCO's 2014-2021 Medium-Term Strategy outlines a clear vision, and its progressively improving Programme and Budget plans operationalise this vision relatively effectively. But, with the benefit of hindsight, it is clear that the prioritisation reflected in the Medium-Term Strategy does not sufficiently compensate for the 22% funding loss caused by the suspension of two members' contributions at the end of 2011. Since then, the ensuing budget crisis has caused UNESCO to continually adapt, and there is evidence that it has become more effective in this regard. In future, UNESCO's member states will need to agree to much more ruthless prioritisation than they have to date. Without this agreement, UNESCO's resources will continue to be spread too thinly across too many priorities. Member states have a track record of continuing to ask UNESCO to do more with less; as such, the Secretariat's ability to engage its membership in difficult decisions will be critical. Reaching an agreement regarding the organisation's priorities and footprint for the next Medium-Term Strategy (2022-28) is an opportunity to achieve this.

The substantive priority areas for UNESCO's future-facing mandate are clear. It has carefully and comprehensively aligned its programme for the 2018-21 period to the 2030 Sustainable Development Agenda. UNESCO, including its Category 1 institutes, contributes to the achievement of nine SDGs and other SDG targets. It leads the co-ordination and monitoring of SDG 4 and is the custodian of six other SDG indicators. All UNESCO's sectors – education, the natural sciences, social and human sciences, culture, and communication and information – are engaged in future-facing analytical work, and addressing topical global, regional and national issues that have broad relevance. UNESCO also has a critical mandate to safeguard eight international Conventions signed under its auspices. How it contributes to this mandate is going to be critical. It will need to identify its most impactful interventions and leave behind those activities that make a lesser contribution. For example, while many of the Conventions remain highly relevant, there is scope for the organisation to review how it monitors compliance. It could take steps to downgrade its investment in those that have little practical impact – releasing resources and effort.

UNESCO effectively supports the implementation of normative frameworks for cross-cutting issues of gender equality, environmental sustainability and climate change, good governance, and human rights. Gender equality is a particular strength, and it shapes global norms in the fields of the environment and human rights.

### Is UNESCO making best use of what it has?

The budget crisis has made it difficult for UNESCO to use its assets and comparative advantages to maximum effect. Since 2012, it has been an organisation under stress. However, if UNESCO continues to implement the reform initiatives it is putting in place, it should be in a much stronger position in the coming years.

While overall the organisation has adapted well to the need to manage the loss of a fifth of its funding since 2012, it has faced continuous operational challenges. Staffing constraints persist particularly in corporate roles, improvements in human resource management have lagged and structural reforms have been incomplete. Some of UNESCO's institutional procedures, which are now being addressed, have been found to impede the speed of implementation. It is working on strengthening its approach to risk identification and mitigation and is improving the transparency of its data. While initiatives to improve human resource management, field office performance and risk management are relatively developed and progress has been made, changes are too recent for their impact to be reflected in this assessment.

Within its budgetary constraints, UNESCO allocates resources according to its strategic priorities, though resources remain thinly spread. The organisation has now put in place a very strong integrated results-based budgeting system, and recent improvements should yield further gains in both implementation and resource mobilisation in the future. Financial systems and internal control mechanisms are robust, though staffing cuts in corporate roles at headquarters risk weakening control functions.

One of UNESCO's comparative advantages, and a genuine strength, is how it uses its rich network of partnerships. It deploys its relationships and influence effectively and is a much-respected global authority in a broad range of specialist fields. In several fields of competence, it generates highly respected knowledge products, using them to influence the framing of global norms, and reports against them. The expertise and passion of UNESCO staff are clear to see.

To improve delivery and efficiency, UNESCO began to reform its field network in 2012, beginning in Africa. However, the new model which was supposed to be applied globally was not implemented across the rest of the world, largely due to the budget crisis. UNESCO's field network remains heterogeneous, with complex and weak accountability lines. A new initiative to review and streamline the network is anticipated, and steps are being taken to strengthen oversight and management within the current system.

UNESCO has recently strengthened the way in which its field offices approach programming. This should help UNESCO country programmes to position themselves strategically to meet present and emergent needs. Overall, planning and programming procedures contain clear mechanisms to support relevance through context analysis, alignment with national priorities and the ability to adapt interventions.

The power and coherence of UNESCO's public messaging is not part of the MOPAN framework, but in the assessors' view is worth noting. The team felt that UNESCO's current communication operations do not do its contribution and achievements justice. A fresh, stronger approach to communication would help strengthen public perceptions of UNESCO and increase its influence. This could be built on greater evaluative evidence of UNESCO's impact and broader policy influencing role.

### Is UNESCO a well-oiled machine?

UNESCO's systems, planning and operations are largely fit for purpose and are geared to help it deliver on its mandate. However again, the quality of its systems has suffered from a lack of adequate investment since the budget crisis. Improvement measures are ongoing, and additional initiatives should also lead to improvements.

UNESCO has greatly improved and strengthened its results-based management system since 2015, and there is strong corporate commitment to a results culture. UNESCO's results focus is not consistent across all sectors or field operations, and there is a tendency to measure inputs rather than longer term outcomes, which the organisation is working to address.

UNESCO has gradually increased the volume of programmatic compared to normative work. This reflects the relative increase in extrabudgetary funding gathered in the field. It has had to ensure that its delivery systems are able to manage the higher volumes of funds managed by its field network. Ensuring all of these systems are fit for purpose is a work in progress. The introduction of an Integrated Budget Framework in 2018-19 provides systemic guarantees about the alignment of these donations to institutional priorities. Further investments in resource mobilisation and related processes and controls are foreseen in the context of UNESCO's Strategic Transformation process and in the work about Core System Redesign. It will be important for UNESCO to ensure its systems and control keep pace with any further growth in programmatic work financed by extrabudgetary funds; otherwise it will expose itself to unacceptable risk.

In terms of grounding planning and programming on a robust evidence base, UNESCO has a strong and independent corporate evaluation function. Centrally managed and corporate evaluations are strong, but decentralised evaluations are weaker and have uneven coverage. Therefore, the evidence base from which UNESCO can draw is uneven. This should improve with recent increases in allocations to evaluation and new measures to strengthen the quality of decentralised evaluations. UNESCO does track action taken in the light of evaluations. Its Evaluation Office is active in disseminating lessons and has established an organisation-wide community of practice.

### Is UNESCO making a difference?

There is a limited evaluative basis for assessing results across the spectrum of UNESCO's mandate, from standard setting to programmatic interventions. UNESCO needs to focus on identifying the longer term outcomes and impact of its interventions and, in particular, to ensure that it reports on its innovative intersectoral co-operation. Overall, evaluative evidence combined with self-assessment reports indicate that UNESCO's interventions both broadly achieve their objectives and are aligned with national, regional and global priorities and initiatives.

Evaluative evidence indicates that UNESCO delivers as part of a coherent and well-aligned response. However, evidence for assessing interventions' response to needs and priority targets groups is mixed. Also, it is difficult to see if and how UNESCO acts against poorly performing interventions. There is limited evidence on efficiency, with indications that slow disbursement of funds has often impeded effective implementation.

The evidence on sustainability from available evaluations is also mixed. Country-level interventions have an uneven record, and greater attention to sustainability is needed. But UNESCO's convenor and broker roles and mandate suggest that the sustainability of its contributions is greater than the available evaluative evidence implies. UNESCO contributes to the achievement of nine SDGs and eight international Conventions, as well as regional ones. UNESCO's normative and programmatic work in support of these standards is highly likely to lead to long-term change in the practices of governments and institutions, and there is some evidence that it already does. UNESCO would do well to ensure that its reporting and monitoring systems collect data more systematically on this standard-setting work. Without this – and without more evaluations of its normative work – there is a strong likelihood that UNESCO will continue to under articulate its global and regional contribution to global development.

### 3.2. PERFORMANCE JOURNEY

This is UNESCO's first assessment using the MOPAN methodology. Therefore, there is no baseline against which to compare its current performance. In terms of tracing UNESCO's performance journey, the assessors have drawn on self-reporting of its prior performance and from assessments made by UNESCO's external auditor in particular.

The general conclusion of the 2018 MOPAN assessment is that while there are some areas where performance needs to improve, overall UNESCO meets the requirements of an effective multilateral organisation. While UNESCO was established, in the words of one staff member, to "play chess not to run the triathlon" – that is, to contribute to progress

in ideas and knowledge rather than to implement country-level programmes at scale – it does do both well. It has the systems and processes to do both.

UNESCO is a mature organisation but has been operating under particular stress since 2012. Following the loss of a fifth of its budget at the end of 2011, it was expected to continue to implement broadly the same mandate and range of activities. UNESCO has done well in protecting its normative and programmatic work, despite the cuts, and in raising additional funds to close the gap. However, its ability to manage and deliver has inevitably suffered.

In particular, partly because cuts to administrative and corporate functions were proportionately more severe, the quality of some of UNESCO's corporate systems has lagged since 2012. As it is itself aware, UNESCO needs to modernise its human resource management systems, rationalise its field network, and improve staff mobility and its management of risk. If UNESCO is to deliver on the ambitions of its improvement initiatives, it will need the staff and resources to drive them. Notwithstanding the cuts, UNESCO has been able to drive through impressive improvements in areas such as results-based management. It has also ensured that some core services, such as evaluation and internal auditing, have provided a quality that matches or exceeds that of its peer agencies.

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**Box 6: Main strengths identified in 2018**

**Strengths in 2018**

- **A central position to the SDGs**. The breadth and depth of UNESCO's contribution to the SDGs gives it a critical position within the global development delivery architecture. In addition to its key role with respect to education, UNESCO contributes to the achievement of nine SDGs and is the custodian of seven SDG targets and indicators.

- **A global leader in knowledge and practice**. UNESCO leads policy developments in a broad range of fields, from tsunami monitoring, Global Geoparks and freshwater use to cultural heritage and the safety of journalists. The value of its role in facilitating global agreements, such as the nine Conventions that include the World Heritage Convention, is impossible to quantify. The professionalism, expertise and commitment of UNESCO's staff, particularly their resilience during the budget crisis, are real strengths.

- **A crucial role in education**. With a mandate and the capacity to cover all aspects of education, UNESCO leads the co-ordination and monitoring of SDG 4, as part of the Global Education 2030 Agenda. Evaluations have shown the effectiveness of many of its interventions, and its rich network of Category 1 institutes and centres support education planners across the world.

- **Successful mainstreaming of gender equality, good governance, environment and human rights**. UNESCO effectively mainstreams these issues across the range of its work and is driving innovative intersectoral work (e.g. women in science and sport, climate change and education). Its progress in mainstreaming gender equality throughout its operations is particularly strong.

- **Commitment to and strong process in results-based management and budgeting**. Despite staffing constraints, UNESCO has greatly strengthened its results-based management since 2015 and has created a strong basis for results-based budgeting with its current Programme and Budget. In particular, there has been a marked improvement in demonstrating results to the level of expected results. The development of a new ICT platform should enable even better integration of results-based management with project implementation.

- **A high-quality central evaluation service.** UNESCO's Evaluation Office has established consistently high standards across centrally managed evaluations, such that UNESCO is well-positioned as a learning organisation.

**Box 7: Areas for improvement in 2018**

**Areas for improvement in 2018**

- **Prioritising**. With the endorsement of its General Conference, UNESCO needs to ensure that the volume of its resources matches the ambition of its future programmes and mandate, and that these resources are not too thinly spread. Member states need to accept a degree of selectivity and prioritisation beyond the level they have previously accepted.

- **Modernising corporate systems.** UNESCO's investment in its corporate systems has lagged, and its systems need to be updated to drive efficiency and effectiveness. For example, human resource management and staff mobility systems are weak, as is the organisation's treatment of risk management. UNESCO also needs to ensure that staffing levels in corporate roles are sufficient to drive these changes and that new systems are adopted across the organisation.

- **Rationalising the global field network**. This is a complex and overdue reform. The heterogeneous network undermines UNESCO's ability to demonstrate coherence and makes for unclear accountability and for inefficiencies. The network needs to be reshaped in a way that dovetails with the new UN network footprint being debated by the United Nations Development Group. Member states need to accept and endorse the potential reduction of UNESCO's presence in some countries.

- **Addressing poor performance and tracking efficiency.** UNESCO's systems to identify poorly performing interventions and to ensure action is taken are not fully developed or are not well evidenced. In addition, systems are not yet in place that allow for judging efficiency. These will need attention, especially as the volume of extrabudgetary programmes increases.

- **Refining the treatment of results and tracking impact.** This needs to be taken to the next level. Systems and processes need to make explicit how UNESCO influences partners, i.e. be clearer about causal pathways sectorally and intersectorally. They also need to define impact – how the aggregated delivery of the expected results contributes to the strategic objectives. Finally, the systems and processes need to create a consistent understanding of a hierarchy of results across the sectors.

- **Improving the quality of decentralised evaluations and evaluating normative work**. The coverage and quality of decentralised evaluations requires strengthening, and a stronger body of evaluative evidence on UNESCO's normative engagement is needed. The recent increase in finance for evaluation will help, but staffing constraints may remain.

- **Communicating externally.** While there is much excellent practice, UNESCO's overall communications can be updated and strengthened to ensure that its messages achieve the reach and impact they deserve.

The MOPAN framework does not address the relationship between the organisation and its governance bodies, or the characteristics of the governing bodies themselves; however, these deserve attention in the case of UNESCO. The attitudes of UNESCO's governing bodies and member states and their relationship with the Secretariat are key determinants of UNESCO's future. Many of UNESCO's member states have *in situ* permanent representatives who have grown accustomed to being able to lobby the Secretariat on issues that concern them. This can make it hard for the Secretariat to rationalise its work, programmes or country presence. Member states, the Executive Board and the General Conference also appear to have developed an expectation that they will be consulted on a level of organisational or programmatic detail that would normally lie firmly within the purview of a Secretariat itself. This tendency to micro-manage limits UNESCO's freedom of movement and leads to inefficiencies. However, most significant is the expectation of member states that UNESCO can continue to do more with less, and their reluctance to encourage or endorse the degree of prioritisation that UNESCO requires if it is to thrive in future.

UNESCO makes a distinct contribution to global norms and practice in a range of critical areas. Its combination of normative and programmatic roles is a real strength and guarantees a mutually reinforcing interplay between them. UNESCO ensures that both its normative and programmatic work are relevant and targeted. The organisation contributes to an extraordinarily broad range of issues that require innovative thinking, a range that this assessment has barely touched on. UNESCO is unique for having the mandate and space to bring together experts, practitioners, citizens and governments to develop solutions to the global problems embedded in the SDGs. The organisation has rare expertise and a degree of authority that enables it to influence governments across the world. Member states will need to give the Secretariat the direction, resources and space to ensure that UNESCO's contribution to the 2030 Sustainable Development Goals matches its unique strengths.

# ANNEXES

# Annex 1. Evidence table

**Methodology for scoring and rating**

The approach to scoring and rating under MOPAN 3.0 draws from the OECD *Handbook on Constructing Composite Indicators: Methodology and User Guide* (OECD/EU/JRC, 2008). Each of the MOPAN 3.0 key performance indicators (KPIs) contains a number of micro-indicators (MIs) which vary in number. The MIs, in turn, contain elements representing international best practice; their numbers also vary.

The approach is as follows:

*a) Micro-indicator level*

Scores ranging from 0 to 4 are assigned per **element**, according to the extent to which an organisation implements the element.

For **KPIs 1-8**, the following criteria frame the scores:

 4 = Element is fully implemented/implemented in all cases
 3 = Element is substantially implemented/implemented in the majority of cases
 2 = Element is partially implemented/implemented in some cases
 1 = Element is present, but not implemented/implemented in zero cases
 0 = Element is not present

Taking the average of the constituent elements' scores, a rating is then calculated per MI. The rating scale applied is as follows:

| | |
|---|---|
| 3.01-4 | **Highly satisfactory** |
| 2.01-3 | **Satisfactory** |
| 1.01-2 | **Unsatisfactory** |
| 0.00-1 | **Highly unsatisfactory** |

The ratings scale for **KPIs 9-12** applies the same thresholds as for KPIs 1-8, for consistency, but pitches scores to the middle of the threshold value (to guard against skewing in favour of higher ratings).

| | |
|---|---|
| 3.01-4 | **Highly satisfactory** |
| 2.01-3 | **Satisfactory** |
| 1.01-2 | **Unsatisfactory** |
| 0.00-1 | **Highly unsatisfactory** |

A score of zero (0) for an element means the assessment team had expected to find evidence but did not find any. A score of zero counts towards the MI score.

A score of "N/E" means "no evidence" indicates that the assessment team could not find any evidence but was not confident of whether or not there was evidence to be found. The team assumes that "no evidence" does not necessarily equal a zero score. Elements rated N/E are excluded from any calculation of the average. A significant number of N/E scores in a report indicates an assessment limitation (see the Limitations section at the beginning of the report).

A note indicating "N/A" means that an element is considered to be "not applicable". This usually owes to the organisation's specific nature.

*b) Aggregation to the KPI level*

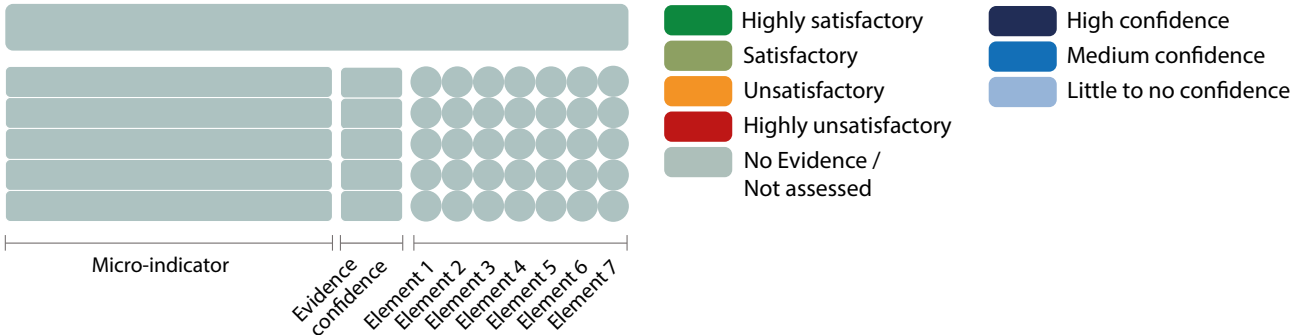The same logic is pursued at aggregation to the KPI level to ensure a consistent approach. Taking the average of the constituent scores per MI, a rating is then calculated per KPI.

The calculation for KPIs is the same as for the MIs above, namely:

| | |
|---|---|
| 3.01-4 | **Highly satisfactory** |
| 2.01-3 | **Satisfactory** |
| 1.01-2 | **Unsatisfactory** |
| 0.00-1 | **Highly unsatisfactory** |

# Key

| | |
|---|---|
| Highly satisfactory | High confidence |
| Satisfactory | Medium confidence |
| Unsatisfactory | Little to no confidence |
| Highly unsatisfactory | |
| No Evidence / Not assessed | |

Micro-indicator

Evidence confidence

Element 1 · Element 2 · Element 3 · Element 4 · Element 5 · Element 6 · Element 7

# Strategic management

**KPI 1: Organisational and financial framework**

- 1.1 Long-term vision
- 1.2 Organisational architecture
- 1.3 Support to normative frameworks
- 1.4 Financial frameworks

**KPI 2: Structures for cross-cutting issues**

- 2.1a Gender equality
- 2.1b Environment
- 2.1c Governance
- 2.1d Human rights

# Operational management

**KPI 3: Relevance and agility**

- 3.1 Resources aligned to functions
- 3.2 Resource mobilisation
- 3.3 Decentralised decision-making
- 3.4 Performance-based HR

**KPI 4: Cost effective and transparent systems**

- 4.1 Decision-making
- 4.2 Disbursement
- 4.3 Results-based budgeting
- 4.4 International audit standards
- 4.5 Control mechanisms
- 4.6 Anti-fraud procedures

# Relationship management

**KPI 5: Relevance and agility in partnership**

- 5.1 Alignment
- 5.2 Context analysis
- 5.3 Capacity analysis
- 5.4 Risk management
- 5.5 Design includes cross-cutting
- 5.6 Design includes sustainability
- 5.7 Implementation speed

**KPI 6: Partnerships and resources**

- 6.1 Agility
- 6.2 Comparative advantage
- 6.3 Country systems
- 6.4 Synergies
- 6.5 Partner coordination
- 6.6 Information sharing
- 6.7 Accountability
- 6.8 Joint assessments
- 6.9 Knowledge deployment

# Performance management

**KPI 7: Results focus**

| 7.1 BRM applied |
| 7.2 RBM in strategies |
| 7.3 Evidence-based targets |
| 7.4 Effective monitoring systems |
| 7.5 Performance data applied |

**KPI 8: Evidence-based planning**

| 8.1 Evaluation function |
| 8.2 Evaluation coverage |
| 8.3 Evaluation quality |
| 8.4 Evidence-based design |
| 8.5 Poor performance tracked |
| 8.6 Follow-up systems |
| 8.7 Uptake of lessons |

# Results

**KPI 9: Achievement of results**

| 9.1 Results deemed attained |
| 9.2 Benefits for target groups |
| 9.3 Policy/capacity impact |
| 9.4 Gender equity results |
| 9.5 Environment results |
| 9.6 Governance results |
| 9.7 Human rights results |

**KPI 10: Relevance to partners**

| 10.1 Target groups |
| 10.2 National objectives |
| 10.3 Coherence |

**KPI 11: Results delivered efficiently**

| 11.1 Cost efficiency |
| 11.2 Timeliness |

**KPI 12: Sustainability of results**

| 12.1 Sustainable benefits |
| 12.2 Sustainable capacity |
| 12.3 Enabling environment |

## STRATEGIC MANAGEMENT
*Clear strategic direction geared to key functions, intended results and integration of relevant cross-cutting priorities*

| KPI 1: Organisational architecture and financial framework enable mandate implementation and achievement of expected results | KPI score |
|---|---|
| **Highly satisfactory** | **3.20** |

UNESCO's Medium-Term Strategy outlines a clear, long term vision. Its previous (2014-2017) and current (2018-2021) Programme and Budget documents operationalise this vision by setting out expected results and how these will be achieved programmatically and according to UNESCO's comparative advantages. UNESCO has aligned its work for the 2018-2021 period to the 2030 Sustainable Development Agenda. Its organisational architecture appears largely congruent with its vision and operating model. UNESCO's decentralised field network was in the process of being reformed but remains a hybrid. The process was stopped after its budget crisis. Notwithstanding the stalled field network reform, there is evidence that it adapts its structure to ensure operational efficiency and that it is able to collaborate effectively with external partners.  UNESCO's current and draft new Programme and Budget documents explicitly support the implementation of wider normative frameworks and associated results. Given UNESCO's leadership role in implementing or monitoring many of these, they are mainstreamed throughout both programmes. As the specialised UN agency for education it leads and co-ordinates the Sustainable Development Goal (SDG) 4 Education 2030 agenda.

UNESCO's budget crisis has meant that it has had to continually adapt since 2012. There is evidence of UNESCO adapting effectively, but challenges remain, and its financial situation remains 'fragile'. The external auditor has raised concerns that still greater prioritisation is needed – an issue member states need to decide on. Its 2018-2021 programme and budget will be the first fully integrated budget framework and should help ensure greater alignment in programme implementation.

| MI 1.1: Strategic plan and intended results based on a clear long-term vision and analysis of comparative advantage | Score |
|---|---|
| **Overall MI Rating** | **Satisfactory** |
| **Overall MI score** | **3** |
| Element 1: A publicly available Strategic Plan (or equivalent) contains a long-term vision | 4 |
| Element 2: The vision is based on a clear analysis and articulation of comparative advantage | 3 |
| Element 3: A strategic plan operationalises the vision, including defining intended results | 2 |
| Element 4: The Strategic Plan is reviewed regularly to ensure continued relevance | 3 |
| **MI 1.1 Analysis** | **Source document** |
| UNESCO's current Medium-Term Strategy (2014-2021) outlines a clear, long term vision. Its last (2014-2017) and current (2018-2021) Programme and Budgets documents operationalise this vision by setting out expected results and how these will be achieved programmatically according to UNESCO's comparative advantages. UNESCO has aligned its work for the 2018-2020 period to the 2030 Sustainable Development Agenda.

The Medium-Term Strategy is built around a clear mission statement: "As a specialized agency of the United Nations, UNESCO – pursuant to its Constitution – contributes to the building of peace, the eradication of poverty and sustainable development and intercultural dialogue through education, the sciences, culture, communication and information". The strategy defines two overarching objectives – peace and equitable and sustainable development – as well as two global priorities Africa and gender equality. The Strategy further defines nine strategic objectives. These are translated into five programmatic priorities through 'main lines of action' and 'expected results' in the Programme and Budget document adopted by the General Conference. Programmes are defined for four years while the budget allocation is approved every two years. UNESCO's five current major programmes are in: education, the natural sciences, social and human sciences, culture, and communication and information. | 1, 3, 4, 5, 6, 7, 36, 64 |

The Medium-Term Strategy identifies UNESCO's five core functions as: to serve as a laboratory of ideas, generating innovative proposals and policy advice in its fields of competence; to develop and reinforce the global agenda in its fields of competence through policy analysis, monitoring and benchmarking; to set norms and standards in its fields of competence and supporting and monitoring their implementation; strengthening international and regional co-operation in its fields of competence, and fostering alliances, intellectual co-operation, knowledge sharing and operational partnerships; and, finally, providing advice for policy development and implementation, and developing institutional and human capacities. It undertakes these functions globally, and at the regional and national level.

UNESCO's vision is based on a clear analysis and articulation of its comparative advantages and its fields of competence within the UN and among other development actors. UNESCO's strategic priorities and major programmes build on expertise it has developed in the five major programme areas and on its mandate to safeguard international Conventions signed under UNESCO's auspices. UNESCO has framed its mandate and comparative advantage within the Agenda 2030 framework and articulates where it leads and where it contributes to the delivery of individual SDGs and their components. The partner survey validates this with 54% of respondents stating that UNESCO has an excellent (15%) or very good (39%) understanding of its comparative advantage.

1, 3, 4, 5, 6, 7, 36, 64

UNESCO has faced an extremely difficult financial situation owing to the suspension, in late 2011, of contributions by two Member States. By the end of the 2012-2013 programme period, it had lost 22% of assessed contributions. This severely constrained budget has persisted, and UNESCO prepares two budget scenarios in each of the 2014-2017 and 2018-2021 periods, one based on the receipt of the suspended funds, and one on it not doing so. Likewise, the sectors present two sets of expected results based on each of the scenarios. The prioritisation reflected in the Medium-Term Strategy did not sufficiently reflect the 22% funding loss caused by the suspension of two members' contributions at the end of 2011.

This review was conducted over a period that spans two Programme and Budget planning periods: 2014-2017 (37 C/5), and 2018-21 (39 C/5). These documents define the expected results to be attained, the performance indicators and targets. The 2018-2021 is particularly clear on how operationalisation is being improved.

| MI 1.1 Evidence confidence | High confidence |
|---|---|

| MI 1.2: Organisational architecture congruent with a clear long-term vision and associated operating model | Score |
|---|---|
| Overall MI rating | Satisfactory |
| Overall MI score | 3 |
| Element 1: The organisational architecture is congruent with the strategic plan | 3 |
| Element 2: The operating model supports implementation of the strategic plan | 3 |
| Element 3: The operating model is reviewed regularly to ensure continued relevance | 3 |
| Element 4: The operating model allows for strong co-operation across the organisation and with other agencies | 3 |
| Element 5: The operating model clearly delineates responsibilities for results | 3 |

| MI 1.2 Analysis | Source document |
|---|---|
| UNESCO's structure is congruent with its current objectives and mandate.  UNESCO's decentralised field network was in the process of being reformed but remains a hybrid as the process was stopped after the budget crisis. It adapts its structure to ensure operational efficiency and that it is able to collaborate effectively with external partners.

UNESCO aims to carry out its global normative work at the headquarters level and policy advice and capacity building at the national level. At headquarters, its organisational architecture reflects its primary programme sectors. Each of the Major Programmes in its current strategy have the status of a 'Sector' in UNESCO's system. Education; natural, and human and social sciences; culture; communication and information as well as the Intergovernmental Oceanographic Commission (IOC) and the UNESCO Institute for Statistics (UIS) have this status. Category 1 institutes are considered integral to UNESCO: they are governed by UNESCO's rules and regulations and their overall programmes and priorities are part of UNESCO's Programme and Budget. The education sector is responsible for seven Category 1 institutes and centres, and the natural sciences sector for one.  The relationship between UNESCO and its Category 1 Institutes effectively balances the need for functional autonomy and accountability to UNESCO. Institutes have the autonomy to deliver their strategic priorities how they see fit and, whilst they are also accountable to their own governing bodies, they are also accountable to their parent Sectors for the delivery of results.

Within Sectors, Divisions are held responsible for delivering the 'Main Lines of Action' nested within Major Programmes. Beneath these are nested 'Sections', which are held responsible for delivering Expected Results. Units have been established within Sectors to provide an institutional home for key intergovernmental programmes.

The structure and mandate of UNESCO's regional and country Field Offices was reviewed in 2012 to ensure they were better able to support delivery of UNESCO's mandate. The reform process began by changing the field network in Africa. However, this reform process was paused, largely in response to the budget crisis. UNESCO's field network now comprises some reshaped country and regional offices in Africa, and unchanged structures elsewhere.  The current heterogeneous network has mixed reporting lines and two parallel structures in operation (multisectoral regional and national offices in Africa, and cluster and national offices and thematic regional bureaux in the rest of the world). Funding shortages also meant that offices in Africa did not receive their anticipated staffing profiles. An external audit recommended rationalising the field network and in Spring 2018 the Director-General committed to re-examining UNESCO's field presence, noting that field office reform "remains unfinished in Africa and has not been pursued in the rest of the world as planned".

UNESCO is already reviewing its field office network and country operations and is doing so within the context of ongoing reforms of the UN development system and country presence. UNESCO is on the UN Reform core group and is in a position to shape UN's country and regional presence. However, the challenge of reform its field network is made more difficult as it will do so within a shifting context that it will need to fit within. Any changes to the field network have a political dimension that makes it more difficult. Previous attempts to reduce UNESCO's country presence met strong lobbying from member states.

UNESCO has introduced institutional changes to ensure it is able to deliver its priorities as these have evolved. For example, in 2016 the Education Sector was restructured to ensure it was able to implement its new enhanced SDG4 mandate. The new DG intends to create a new Administration and Management Sector to improve efficiency. | 2, 5, 19, 29, 30 45, 46, 49, 64, 66, 92, 133 |

| | |
|---|---|
| UNESCO shows evidence of strong co-operation across the organisation. Whilst there has been a tendency for the Sectors to operate in isolation, UNESCO has taken steps to drive 'intersectoral cooperation', as it terms internal collaboration, where there are interdisciplinary issues such as climate change or when related to UNESCO's cross-cutting Strategic Priorities (Africa and Gender Equality). UNESCO established a cross-sectoral climate change task team in 2017. UNESCO has also strengthened co-operation between headquarters, its special commissions (UIS, IOC) and its Category 1 institutions. All UNESCO's Category 1 Institutes operate and collaborate in rich multi-partner networks. UNESCO's collaboration with other UN agencies and specialised agencies is a particular strength. For example, UNESCO is a permanent member of the SDG Education 2030 Steering Committee, with UNICEF and the World Bank; and it has convening roles in relation to global work on freshwater and the oceans, statistics, and culture, and is also an active participant in UN-wide evaluation standard setting.<br><br>UNESCO's operating model appears to effectively delineate responsibility for results. There is a straightforward tiered system whereby the Divisions nested within Sectors are responsible for the implementation of Main Lines of Action and Sections, units of Divisions, are responsible for the delivery of expected results. Responsibility for the delivery of results of IOC and UIS and 'Category 1' institutions lies with them but is accounted for within UNESCO's system.  From the partner survey, 43% of respondents felt UNESCO was fairly good at staffing to deliver results, which was balanced by 42% of total respondents stating that they were excellent (14%) or very good (28%). | 2, 5, 19, 29, 30 45, 46, 49, 64, 66, 92, 133 |

| | |
|---|---|
| **MI 1.2 Evidence confidence** | **High confidence** |

| | |
|---|---|
| **MI 1.3: The strategic plan supports the implementation of wider normative frameworks and associated results, including Agenda 2030 and others where applicable (e.g. the quadrennial comprehensive policy review (QCPR), Grand Bargain, replenishment commitments, or other resource and results reviews)** | **Score** |
| **Overall MI rating** | **Highly satisfactory** |
| **Overall MI score** | **4** |
| Element 1: The strategic plan is aligned to wider normative frameworks and associated results, including Agenda 2030, and others, such as the QCPR and the Grand Bargain (where applicable) | 4 |
| Element 2: The strategic plan includes clear results for normative frameworks, including Agenda 2030, and others, such as the QCPR and the Grand Bargain (where applicable) | 4 |
| Element 3: A system to track normative results is in place for Agenda 2030, and any other relevant frameworks, such as the QCPR and the Grand Bargain (where applicable) | 4 |
| Element 4: The organisation's accountability for achieving normative results, including those of Agenda 2030, and any other relevant frameworks, such as the SDGs and their targets and indicators, the QCPR and the Grand Bargain (where applicable), is clearly established | 4 |
| Element 5: Progress on implementation on an aggregated level is published at least annually | 4 |

| MI 1.3 Analysis | Source document |
|---|---|
| UNESCO's previous and current Programme and Budget documents explicitly support the implementation of wider normative frameworks and associated results. Given UNESCO's leadership role in implementing or monitoring many of these, they are mainstreamed throughout Programmes. UNESCO demonstrates how it will contribute to the delivery of Agenda 2030 throughout its new 2018-2021 Programme and Budget. As the specialised UN agency for education it leads and co-ordinates the SDG 4 Education 2030 agenda. For a full breakdown of UNESCO's role within the SDGs please see KPI 10 summary.

UNESCO's Medium-Term Strategy for 2014-2021 is aligned to the agency's mandate, member states' priorities and the MDGs. The previous Programme and Budget (2016-2017) articulates explicit support to the SDGs as well as specific normative frameworks, such as the Conventions that UNESCO monitors. The current Programme and Budget (2018-2019) demonstrates UNESCO's alignment to individual SDGs in a more systematic and comprehensive way, and to the goals of the Paris Agreement on Climate Change.

The previous and current future Programme and Budget include expected results, with performance indicators and targets for all 'main lines of action' for each major programme. The 2018-2019 Programme and Budget shows how each intervention contributes to individual SDGs. Programmes also set out how they support implementation of UNESCO Conventions and individual SDGs or elements of them, and at what level (global, national). Category 1 Institutes also include a clear link between their programmes and SDG results. Some UNESCO institutes have a global custodian role for leading the delivery of SDG targets (e.g. IOC for 14.3 and 14a) and therefore report on results on behalf of the global community.

UNESCO tracks results in its annual Programme Implementation Reports. Reporting is captured in UNESCO's 'expected results' system. The UIS provides global leadership in the measurement of SDG 4 and therefore its system tracks results for global efforts and not those of UNESCO alone. UNESCO's accountability for achieving normative results, including those of Agenda 2030 and other normative frameworks, is to its governing bodies and to the specialised reporting bodies (e.g. the SDG-Education 2030 Steering Committee with respect to SDG 4).

Progress on implementation is provided annually by the Programme Implementation Report (PIR). Progress is aggregated at the level of the expected result from output delivery over the past year. A shorter version is prepared every six months and made available online. It is complemented by information available to registered users online through UNESCO's System of Information on Strategies, Tasks and the Evaluation of Results (SISTER). This reports on progress toward the attainment of each expected results. UNESCO is required to provide a report to the Executive Board at the first spring session of the quadrennium: the quadrennial Analytical Programme Implementation Report (APIR) contains aggregated information by major programme and an analysis of progress. This report is intended to include trends, aggregated information by region, and covers the preceding biennium. UNESCO publishes a Strategic Results Report (SRR) once a quadrennium, in the third year of the cycle. This is a strategic and analytical report, both retrospective and forward looking and is intended to capture UNESCO's contribution to change and to facilitate decision-making and planning by the Executive Board. UNESCO also provides reports to the High-Level Political Forum on the implementation of the 2030 Agenda through the Secretary General's SDG progress report and through the reports submitted through UNESCO intergovernmental bodies including Man and Biosphere, International Hydrological Programme, the World Heritage Centre, the SDG 4 Steering Committee and the Intergovernmental Oceanographic Commission (IOC). | 1, 2, 3, 5, 25, 29, 32, 33, 61 |
| **MI 1.3 Evidence confidence** | **High confidence** |

| MI 1.4: Financial Framework (e.g. division between core and non-core resources) supports mandate implementation | Score |
|---|---|
| **Overall MI rating** | **Satisfactory** |
| **Overall MI score** | **2.8** |
| Element 1: Financial and budgetary planning ensures that all priority areas have adequate funding in the short term or are at least given clear priority in cases where funding is very limited | 3 |
| Element 2: A single integrated budgetary framework ensures transparency | 3 |
| Element 3: The financial framework is reviewed regularly by the governing bodies | 2 |
| Element 4: Funding windows or other incentives in place to encourage donors to provide more flexible/un-earmarked funding at global and country levels | 3 |
| Element 5: Policies/measures are in place to ensure that earmarked funds are targeted at priority areas | 3 |
| **MI 1.4 Analysis** | **Source document** |
| UNESCO's budget crisis has meant that it has had to continually adapt since 2012. There is evidence of UNESCO adapting effectively, but challenges remain and its financial situation remains 'fragile'. The External Auditor has raised concerns that still greater focus is needed – an issue Member States need to decide on. Its 2018-2021 Programme and Budget is UNESCO' first fully integrated budget framework and should help ensure greater fidelity in programme implementation.<br><br>UNESCO's budget crisis began in 2011, when the level of the Organisation's regular budget was reduced by 22% due to the non-payment of assessed contributions from two Member States. Within the context of severe budget constraints, UNESCO underwent a prioritization exercise in mid-2013. The Executive Board confirmed a re-prioritisation of components within major programmes by 'expected result'. This prioritization was then used to ensure that core resources were allocated to priority areas in subsequent Programme and Budget documents (2014-2017, 2016-2017, 2018-21) to ensure that core resources are allocated to priority areas.<br><br>The Executive Board did not mandate a sufficiently aggressive prioritisation that was commensurate with UNESCO's reduced budget. The External Auditor considers that UNESCO Member States need to "more clearly face up to the choices resulting from a financial situation which is still fragile and an excessive number of objectives in relation to the resources which have been reduced". This remains relevant in mid-2018. However, the new Director-General has prioritised intent to "undertake a strategic examination" of UNESCO's actions and, in the light of this to "launch new initiatives and let go of others" – seeking the engagement of members states who are "the decision-makers of our strategic changes".<br><br>It should be recognised that the 2018-2021 Programme and Budget is more focused than the preceding one: the number of Main Lines of Actions and Expected Results within UNESCO's Major Programmes have been reduced. Despite this the budgets allocated from regular resources only permit some units to implement little more than their basic normative responsibilities. Units that are unable to raise extrabudgetary funds often have very limited funds with which to carry out programmatic activities after they have carried out periodic assessments of compliance with Conventions, for example. Extrabudgetary activities currently represent approximately 45% of total expenditure.<br><br>Core corporate functional units lost a number of posts in the wake of the budget crisis, as UNESCO attempted to protect the budgets of programme units to the extent possible and they remain under-resourced. | 3, 5, 18, 23, 29, 36, 72, 73, 92 |

| | |
|---|---|
| The 2018-2019 Programme and Budget is based on an integrated budget framework and includes all the anticipated available funds with a forecast assessment of potential future voluntary contributions: it includes assessed contributions, committed and anticipated extrabudgetary funds. The Executive Board and Governing Council reviews the financial framework regularly. Whilst the governing bodies do review the financial framework, they have not facilitated a strong prioritisation exercise – such that UNESCO's financial resources still appear to be too thinly spread. | |
| In Autumn 2018 UNESCO will begin collective donor consultations ('structured financing dialogue') in addition to bilateral dialogue, to try to obtain more predictable and accurate forecasts of extrabudgetary contributions to priority areas. UNESCO is now asking its donors to allocate their funds with as little earmarking as possible and is now able to receive funds in this way. | 3, 5, 18, 23, 29, 36, 72, 73, 92 |
| Because the Executive Board approves budgets for two years at a time, Sectors that need commitments for longer-term interventions that lie outside UNESCO's normative mandate (and that are funded under UNESCO's regular budget) need to seek funding from donor extrabudgetary commitments. This means that UNESCO's regular budget can rarely be used to fund long-term strategic interventions. | |

| MI 1.4 Evidence confidence | High confidence |
|---|---|

| KPI 2: Structures and mechanisms in place and applied to support the implementation of global frameworks for cross-cutting issues at all levels | KPI score |
|---|---|
| **Highly satisfactory** | **3.64** |

UNESCO has many of the structures and mechanisms to support the implementation of global frameworks for cross-cutting issues – particularly in relation to gender, human rights, environment and good governance. The evidence indicates that UNESCO is particularly strong at mainstreaming gender equality and the empowerment of women across the organisation's work. It has integrated the requirement to ensure gender equality is addressed in its programming tools and has introduced a method to track implementation. It has established innovative partnerships to promote gender equality. UNESCO leads global debate and implementation in several specialised environmental sustainability and climate change areas and participates in key SDG areas. Its strong track record is reflected in the mandates it has in related to the SDGs. UNESCO's core mandate is to promote peaceful and inclusive societies for sustainable development. A large proportion of its programming is designed to support good governance. As such, there is strong evidence that UNESCO mainstreams this cross-cutting agenda. UNESCO has a constitutional mandate to contribute to the promotion of all human rights and a large proportion of its programming is designed to support human rights in various sectors. There is strong evidence that UNESCO mainstreams human rights across its work.

| MI 2.1a: Gender equality and the empowerment of women | Score |
|---|---|
| Overall MI Rating | **Highly satisfactory** |
| Overall MI score | **3.67** |
| Element 1: Dedicated policy statement on gender equality available and showing evidence of use | 4 |
| Element 2: Gender equality indicators and targets fully integrated into the organisation's strategic plan and corporate objectives | 4 |
| Element 3: Accountability systems (including corporate reporting and evaluation) reflect gender equality indicators and targets | 4 |
| Element 4: Gender screening checklists or similar tools used for all new Interventions | 4 |
| Element 5: Human and financial resources (exceeding benchmarks) are available to address gender issues | 3 |
| Element 6: Capacity development of staff on gender is underway or has been conducted | 3 |

| MI 2.1a Analysis | Source document |
|---|---|
| UNESCO is particularly strong at mainstreaming gender equality and the empowerment of women across the organisation's work. It has integrated the requirement to ensure gender equality is addressed in its programming tools and has introduced a method to track implementation. It has established innovative partnerships and programmes to promote gender equality. | |
| Gender equality is one of UNESCO's two Global Priorities as set out in its current Medium-Term Strategy (2014-2021). The policy is defined in UNESCO's accompanying Gender Equality Action Plan 2 (GEAP). The Action Plan, which was built on the lessons of an evaluation of GEAP 1, establishes how gender equality is mainstreamed in all UNESCO's programmes planning, implementation, monitoring and reporting. An internal evaluation of GEAP 2 shows substantial evidence of implementation and use of the policy. The evidence that gender equality is mainstreamed in UNESCO's education, science, cultural and information programmes is particularly strong. The 2016-2017 and the 2018-19 Programme and Budget documents continue to prioritise gender equality as a UNESCO global priority. | |
| UNESCO's strategic Programme and Budget documents fully integrate gender equality indicators and targets. The GEAP for 2014-2021 establishes expected results across UNESCO's other Strategic Priority (Africa) and the five major programmes. Each major programme estimates the proportion of the resources allocated that will contribute to gender equality. For example, in the 2014-17 Programme and Budget UNESCO's social and human sciences programme (major programme 3) estimated that nearly 40% of its activities supported gender equality. The mainstreaming of indicators and targets is evidenced by UNESCO's 'System of Information on Strategies, Tasks and the Evaluation of Results' (SISTER) report. Category 1 institutions also embed gender indicators and targets. UNESCO has several examples of flagship programmes that mainstream gender equality in innovative ways. UNESCO's reporting system also integrates a 'Gender Equality Marker' to measure the contribution of an activity when gender equality is not the primary objective. It also gives an indicative financial value and is seen as a first step in 'gender budgeting'. UNESCO's evaluation guidance mandates the inclusion of gender equality indicators and targets in evaluations. | 1, 2, 3, 4, 5, 12, 21, 22, 30, 47, 50, 53, 54, 57, 62, 66, 69 |
| UNESCO allocates a total activity budget from its 'Regular Programme' to implement Priority Gender programmes of around 7.2% of its expenditure and estimated that 40.4% of its Regular Programme operational budget allocated to sectors contributes to gender equality. | |
| A standard project preparation template was introduced in September 2016 that requires the analysis of the potential impact on gender equality; performance indicators are disaggregated by gender. Workplans for each of the Major Programmes are also subsequently analysed by UNESCO's Gender Equity Division. | |
| UNESCO, and in particular UIS, produces tools to analyse gender equality that are used by other agencies and countries. UIS prioritises gender equality across its statistical programmes. UIS is a global lead institute in highlighting gender disparities in education and in science. UNESCO establishes normative standards in gender equality in a broad range of fields. UNESCO has established several partnerships with the private sector and civil society to promote gender equality: its flagship L'Oréal 'Women in Science' award has a high profile. | |
| Gender training is mandatory for all staff and UNESCO's Division for Gender Equality has established a network of 150 'Gender Focal Points' across the organisation – in each sector and division and in regional offices. UNESCO's ability to roll out capacity development to its Gender Focal Points has been constrained by budget limitations. UNESCO has developed online training material and delivers face-t0 face training on issues such as use of gender marking. | |
| **MI 2.1a Evidence confidence** | **High confidence** |

| MI 2.1b: Environmental Sustainability and Climate Change | Score |
|---|---|
| **Overall MI Rating** | **Highly satisfactory** |
| **Overall MI score** | **3.5** |
| Element 1: Dedicated policy statement on environmental sustainability and climate change available and showing evidence of use | 4 |
| Element 2: Environmental sustainability/ climate change indicators and targets are fully integrated into the organisation's strategic plan and corporate objectives | 4 |
| Element 3: Accountability systems (including corporate reporting and evaluation) reflect environmental sustainability and climate change indicators and targets | 4 |
| Element 4: Environmental screening checklists/impact assessments used for all new Interventions | 3 |
| Element 5: Human and financial resources (exceeding benchmarks) are available to address environmental sustainability and climate change issues | 3 |
| Element 6: Capacity development of staff on environmental sustainability and climate change is underway or has taken place | 3 |
| **MI 2.1b Analysis** | **Source document** |
| UNESCO leads policy in several fields of environmental sustainability and climate change, related in particular to education, as well as science. UNESCO has had an Intersectoral Task Force on Climate Change since 2015, charged with revising its policy and then co-ordinating its implementation work across the agency and with its partners. UNESCO has updated its environmental sustainability and climate change policy to reflect both the Paris Agreement and the 2030 Agenda. The policy was approved by the executive board in Autumn 2017 and the General Conference.<br><br>Environmental sustainability and climate change are fully integrated into UNESCO's programming as it comprises an important part of UNESCO's agenda and mandate. UNESCO's 5th strategic objective is to "promote international scientific cooperation on critical challenges to sustainable development". Environmental sustainability and climate change issues are mainstreamed into much of its education, scientific, heritage work and with the way it addresses gender equality.<br><br>Its key policy frameworks, such as the Global Action Programme on Education for Sustainable Development, Disaster Risk Reduction, and the Global Framework for Climate Services, Small Island Developing States (SIDS) Action Plan and the Strategy for Technical and Vocational Education and Training drive debate and action on environmental sustainability and climate change. UNESCO's intergovernmental body, the IOC is the global authority on the ocean and environmental sustainability and climate, and, for example, co-ordinates tsunami early warning systems across the world. UNESCO Global Geoparks, World Heritage sites and biosphere reserves constitute climate change observatories. UNESCO's World Water Assessment Programme produces a flagship annual assessment of the status of global freshwater resources and its International Hydrological Programme drives global initiatives that address related elements of environmental sustainability and climate change.<br><br>A 2015 evaluation recommended that UNESCO strengthens the way it integrates sustainable development into its work on culture. Action to address this is incorporated into the current strategy: The Culture Programme now includes a cross-cutting Expected Result on the integration of culture into national and local policies for the implementation climate and environment-related parts of the 2030 Agenda. | 1, 2, 4, 10, 15, 17, 27, 41, 43, 44, 62, 64, 70 |

| | |
|---|---|
| UNESCO's accountability systems track the contribution of relevant interventions to environmental sustainability and climate change. Expected results and measures of effectiveness are established in programmes and budgets and are reported against.<br><br>UNESCO's workplan programming principles are aligned to those of the UNDAF and include requirements on environmental sustainability and resilience principles.  These are required to be applied when analysing the intervention context and implementation strategies. UNESCO's project document template requires staff to identify the environmental impact of the intervention and to identify any environmental risks and how they can be mitigated.<br><br>Human and financial resources are available to address environmental sustainability and climate change issues. Environmental sustainability and climate change are embedded into the objectives and targets of many of UNESCO's thematic and cross-cutting Strategies and Action Plans. A commensurate portion of UNESCO's budget is therefore allocated to fund programmatic activity as well as core staff and operational costs.  Examples include the International Hydrological Programme Strategy for Water Security and the Man and the Biosphere Programme.<br><br>UNESCO's global leadership role in various aspects of environmental sustainability and climate change means that staff in relevant parts of the organisation have expert level technical knowledge. | 1, 2, 4, 10, 15, 17, 27, 41, 43, 44, 62, 64, 70 |
| **MI 2.1b Evidence confidence** | **High confidence** |

| **MI 2.1c: Good governance** | **Score** |
|---|---|
| **Overall MI Rating** | **Highly satisfactory** |
| **Overall MI score** | **3.4** |
| Element 1: Dedicated policy statement on the principles of good governance and effective institutions available and showing evidence of use | 4 |
| Element 2: Indicators and targets related to the principles of good governance and effective institutions are integrated into the organisation's strategic plan and corporate objectives | 4 |
| Element 3: Accountability systems (including corporate reporting and evaluation) reflect the principles of good governance and effective institutions | 2 |
| Element 4: New interventions are assessed for relevant governance/institutional effectiveness issues | 4 |
| Element 5: Human and financial resources are available to address the principles of good governance and issues related to effective institutions | 3 |
| Element 6: Capacity development of staff on the principles of good governance and effective institutions is underway or has taken place | N/E |
| **MI 2.1c Analysis** | **Source document** |
| UNESCO's mandate is to "build peace in the minds of men and women" and a large proportion of its work is explicitly aimed at supporting good governance as defined here. The mission statement of UNESCO's current medium-term strategy notes that as a specialised UN agency it "contributes to the building of peace, the eradication of poverty, and sustainable development and intercultural dialogue through education, the sciences, culture, communication and information". Its two overarching objectives are 'peace' and 'equitable and sustainable development'. There is plentiful evidence that its programmes are designed to implement these policies in a very broad range of areas. | 1, 32, 69 |

| | |
|---|---|
| Indicators are consistently used to show progress for good governance-related interventions, as appropriate. Indicators seen measure the number of countries that have integrated peace and human rights education in education policies and practices. Indicators stop short of assessing outcomes e.g. effective implementation of policies and/or dedicated budget lines to relevant outcomes e.g. education institutes for planning There is therefore a gap in evidence which would demonstrate how UNESCO has contributed to changes beyond new policy adoption.<br><br>In terms of accountability and corporate reporting, although numerous indicators within UNESCO's results frameworks reflect principles of good governance, and are reported on accordingly, a specific focus on the range of indicators that constitute good governance is not required in evaluations. However, evaluations do cover aspects of good governance as relevant e.g. UNESCO Institute for Statistics evaluation. Furthermore, the IOS through its performance audits looks into good governance.<br><br>All prospective projects are required to demonstrate how they will deliver change. New interventions are screened insofar as the project document template requires projects to spell out their theory of change and analyse the relative interests of stakeholders, beneficiaries and partners.<br><br>Financial and human resourcing for interventions that support good governance are available for relevant programmes, from education to information and communication. Limits in human resources and funding are cited as risks to a number of good governance related interventions in UNESCO's latest Programme Implementation Report (32). A large number of programmes are funded from extrabudgetary sources.<br><br>No Evidence has been found in relation to training of staff on the principles of good governance and effective institutions. | 1, 32, 69 |

| MI 2.1c Evidence confidence | Medium confidence |
|---|---|

| MI 2.1d: Human Rights | Score |
|---|---|
| Overall MI Rating | Highly satisfactory |
| Overall MI score | 4 |
| Element 1: Dedicated policy statement on human rights issues available and showing evidence of use | 4 |
| Element 2: Human rights indicators and targets fully integrated into the organisation's strategic plan and corporate objectives | 4 |
| Element 3: Accountability systems (including corporate reporting and evaluation) reflect human rights indicators and targets | 4 |
| Element 4: Human rights screening checklists or similar tools used for all new interventions | 4 |
| Element 5: Human and financial resources (exceeding benchmarks) are available to address human rights issues | 4 |
| Element 6: Capacity development of staff on human rights is underway or has been conducted | 4 |

| MI 2.1d Analysis | Source document |
|---|---|
| As UNESCO's Human Rights Strategy makes clear, UNESCO has a "constitutional mandate to contribute to the promotion of all human rights". It has 'special responsibility' with regard to certain rights, namely: the right to education, the right to participate in cultural life, the right to freedom of opinion and expression, including the right to information, and the right to access the benefits of scientific progress. UNESCO has a mandate to promote and protect cultural diversity. Many of its programmes promote the freedom of expression, media pluralism, multilingualism and equal access to a cultural life. UNESCO's policy states the organisation is driven by a human rights-based approach and that human rights principles and standards should guide programming process at all stages, including design, implementation, monitoring and evaluation. Its guidance states that programmes should focus on marginalised, disadvantaged and excluded groups, and should place emphasis on empowering strategies. There is plentiful evidence that its programmes are designed to implement these policies in a very broad range of areas. It also has a strong impact on global norms: for example, in March 2018 UNESCO facilitated the Geneva Declaration on Human Rights and Cultural Heritage, which, in the wake of the destruction in Mosul and Timbuktu aimed to clarify cities' obligations with respect to the destruction of cultural heritage. UNESCO has a clear and public 'Strategy on Human Rights' policy that sets out how the organisation must mainstream human rights throughout its work and these instructions are reflected in its Administrative Manual. | |
| A number of programmes and expected results relate either to human rights-related programmes or explicitly to UNESCO human rights mainstreaming work. Workplans that are part of UNESCO's Programme and Budget are expected to have mainstreamed human rights throughout their programming, implementation and reporting stages. | 1, 24, 32, 66, 69, 71 |
| In terms of accountability and corporate reporting, UNESCO's Evaluation Policy states it aims to integrate a human rights perspective throughout the evaluation process. UNEG guidance on the integration of a human rights perspective is disseminated internally and with external evaluation teams. | |
| UNESCO's project template requires prospective projects to demonstrate how they will deliver change. New interventions are screened for their human rights impact indirectly, insofar as the template requires projects to spell out their theory of change and analyse the relative interests and potential impact on stakeholders, beneficiaries and partners. | |
| Financial and human resourcing for interventions that support human rights are committed to relevant programmes – from the field of education to bioethics. There is evidence, in UNESCO's last two Programme Implementation Reports, of a large number of programmes related to human rights in several sectors. | |
| Training on 'UN Human Rights Responsibilities' (an advanced course) is mandatory for all staff. Evidence of staff training on a Human Rights Based Approach to development in some field offices exists. The Social and Human Sciences Sector is piloting a manual that aims to integrate a human rights-based approach in staff development of intercultural competences and training is being rolled out. | |
| **MI 2.1d Evidence confidence** | **High confidence** |

## OPERATIONAL MANAGEMENT

*Assets and capacities organised behind strategic direction and intended results, to ensure relevance agility and accountability*

| KPI 3:  Operating model and human/financial resources support relevance and agility | KPI score |
|---|---|
| **Satisfactory** | **2.57** |

UNESCO has and continues to face a severely constrained budget that has made it difficult to ensure it has the staffing it requires. It has adapted to budget constraints and adopted a new human resource strategy. It is too early to determine whether this is having an impact. Its draft Programme and Budget (2018-2019) shows signs of UNESCO streamlining its activities, which responds to the external auditor's high priority concern.

UNESCO is revising its resource mobilisation strategy to improve alignment, predictability, flexibility, transparency and to broaden its donor base. This new approach, which it encapsulates as 'Structured Financing Dialogue' is being complemented by a new approach to budgeting. It has introduced an integrated budget to capture the totality of resource flows in its forthcoming Programme and Budget (39 C/5). These changes will help UNESCO identify how resources can be used most strategically.

The policy governing which programming decisions can be delegated to decentralised levels has recently been changed. UNESCO has clarified responsibilities, but the change has been too recent to yield evidence for this review.  UNESCO human resources and performance assessment systems have lagged behind international best practice but are being strengthened. There are now clearer links in individual performance frameworks to UNESCO's results framework. Work is underway to roll out exposure to these new framework and standards. UNESCO's budget constraints meant that there was limited investment in training until 2015.

| MI 3.1: Organisational structures and staffing ensure that human and financial resources are continuously aligned and adjusted to key functions | Score |
|---|---|
| **Overall MI Rating** | **Satisfactory** |
| **Overall MI score** | **2.33** |
| Element 1: Staffing is aligned with, or being reorganised to, requirements set out in the current Strategic Plan | 2 |
| Element 2: Resource allocations across functions are aligned to current organisational priorities and goals, as set out in the current Strategic Plan | 3 |
| Element 3: Internal restructuring exercises have a clear purpose and intent, aligned to the priorities of the current Strategic Plan | 2 |
| **MI 3.1 Analysis** | **Source document** |
| UNESCO has and continues to face a severely constrained budget that has made it difficult to ensure it has the staffing it requires. It has adapted to budget constraints and adopted a new human resource strategy. It is too early to determine whether this is having an impact. Its newest Programme and Budget (2018-2019) shows signs of UNESCO streamlining its activities, which responds to the external auditor's high priority concern.<br><br>The 2012 budget crisis obliged UNESCO to reduce its staffing in a way that it had not anticipated. The immediate need to find savings meant that a strategic approach was not taken, vacant posts were withdrawn. The continued shortfall, and uncertainty over whether the budget gap will persist each year, has made it difficult to plan. Between 2011 and 2015 UNESCO reduced its staff costs by 14%. It has tried to preserve staffing in the field office network, to ensure it can continue to deliver results, at the expense of headquarters posts. | 1, 5, 26, 32, 36, 46, 52, 64, 66 |

UNESCO's March 2015 audit of staff planning highlighted the need to improve human resource planning, concluding that there is "inadequate strategic vision of human resource needs" and that there "remains a need to enhance mobility, both geographical and functional". UNESCO's current human resource strategy (2017-2022) states that workforce planning tools and mechanisms will be put in place. The strategy states that UNESCO intends to assess current capabilities, identify strategic/priority issues for future staffing and introduce strategies to address talent gaps. It is too early to judge its effectiveness. UNESCO's ability to develop the careers of existing staff or to re-cruit new talent has been reduced by a General Conference decision in 2018 to extend the re-tirement age of staff recruited before 1990 from 60 to 65. There will now be approximately 5% fewer regular staff vacancies across the organisation.  Notwithstanding UNESCO's human resource issues, the partner survey indicates a high degree of respect for the professionalism of its staff: 23% of total respondents felt UNESCO was excellent at providing sufficiently skilled and experi-enced staff, and 37% felt it was very good.

UNESCO has a particular challenge – that few other multilaterals face – in defining resource allocation. UNESCO currently prepares two alternative budget scenarios: one based on the assumption that certain member states will pay their assessed contributions; and the other based on the as-sumption that they will not (from 2019 this will be unnecessary as the USA and Israel will fully withdraw). These two scenarios also show the differential ability UNESCO would have in delivering targets and expected results.

The 2015 external audit noted that following budget reductions the sectors refocused on their core activities. However, it notes that the sectors generally maintained their previous commitment to ambitious expected results and main lines of action, resulting in unrealistic or overambitious objectives. This mismatch appears to have been partially addressed: the 2018-19 budget demon-strates that a process of prioritisation has taken place. UNESCO has reduced the 'main lines of ac-tion' from 16 in its last Programme and Budget to 11, with a commensurate reduction in the number of expected results. The 2018-19 budget is based on an integrated budget framework, which, in principle, allows it to direct the totality of resources at its disposal according to priorities.

UNESCO's Medium-Term Strategy (2014-2021) committed to an ongoing programme of restructur-ing to drive efficiency and effectiveness. UNESCO's restructuring agenda focused on the imple-mentation of a 'roadmap', crafted in response to a 2010 Independent External Evaluation – that predates the budget crisis – but has been complimented by numerous other restructuring initiatives designed to address the consequences of the budget crisis. A recent external evaluation concludes that "UNESCO has emerged from the crisis strengthened in some areas and weakened in others", noting that roadmap targets were" broadly coherent and relevant but the management of their implementation encountered some problems". It notes that UNESCO failed to refocus the programme in light of the budget crisis, partly the consequence of General Conference's reluc-tance to be selective. The report notes that the crisis itself reduced the resources available to tackle the challenges it caused. The education sector was restructured to ensure UNESCO was suitably equipped to support implementation of the Education 2030 Agenda.

As noted above, the plan to restructure the global field network, starting with Africa, by the end of 2013 – which was a reform roadmap target – was launched on the understanding that an implementation budget was available, has stalled due to the budget crisis.  An evaluation of the reform noted a number of challenges, several of which remain to be addressed. Amongst these is UNESCO's human resource capacity in field offices.

1, 5, 26, 32, 36, 46, 52, 64, 66

| | |
|---|---|
| UNESCO's new DG has signalled the intent to strengthen the alignment of its organisational structures, committing to reviewing priorities, the field network and will create a new Administration and Management Sector. Any review of the field network will need to question which model – Africa, that which remains elsewhere, or a hybrid – is best suited to helping UNESCO implement its mandate. | 1, 5, 26, 32, 36, 46, 52, 64, 66 |
| **MI 3.1 Evidence confidence** | **High confidence** |

| **MI 3.2: Resource mobilisation efforts consistent with the core mandate and strategic priorities** | **Score** |
|---|---|
| **Overall MI Rating** | **Satisfactory** |
| **Overall MI score** | **3** |
| Element 1: Resource mobilisation strategy/case for support explicitly aligned to current strategic plan | 3 |
| Element 2: Resource mobilisation strategy/case for support reflects recognition of need to diversify the funding base, particularly in relation to the private sector | 3 |
| Element 3: Resource mobilisation strategy/case for support seeks multi-year funding within mandate and strategic priorities | 3 |
| Element 4: Resource mobilisation strategy/case for support prioritises the raising of domestic resources from partner countries/institutions, aligned to goals and objectives of the Strategic Plan/ relevant country plan | 3 |
| Element 5: Resource mobilisation strategy/case for support contains clear targets, monitoring and reporting mechanisms geared to the Strategic Plan or equivalent | 3 |
| **MI 3.2 Analysis** | **Source document** |
| UNESCO is strengthening its resource mobilisation strategy to improve alignment, predictability, flexibility, transparency and to broaden its donor base. Its new approach, which it encapsulates as 'Structured Financing Dialogue' is being complemented by a new approach to budgeting. It introduced an integrated budget to capture the totality of resource flows in its current Programme and Budget (39 C/5). These changes strengthen UNESCO's ability to identify where resources can be used most strategically. UNESCO's resource mobilisation is strategically aligned with programme priorities – funds are sought to implement agreed priorities. UNESCO has not made up the budget shortfall created in 2011 when assessed contributions dropped by more than a fifth. Whilst voluntary contributions have not made up this shortfall, UNESCO has made progress in closing the gap by taking a strategic approach to 'extrabudgetary' resource mobilisation. It increased voluntary contributions by 9% between 2010-2015 whilst net regular contributions decreased by 30% - leaving income in 2015 13% lower than it was in 2010. UNESCO was able to secure an increase in extrabudgetary funds of 3% in 2016. UNESCO's draft resource mobilisation strategy for 2018-2019 sets out a strategic new approach. UNESCO's mandate is broadly underfunded, and it is highly dependent on voluntary contributions. A small number of donors (2-3%) provide 60-70% of UNESCO voluntary contributions. Extrabudgetary activities represent approximately 45% of total expenditure. The headquarters-based sectors raise approximately half of all extrabudgetary contributions and field offices raise the other half. UNESCO has broadened its approach to resource mobilisation following the recent decrease in Regular Programme contributions. For example, it has entered into multi-year Programme Cooperation Agreements with donors, enabling better planning and programme delivery. It is taking steps to institutionalise new structured financing dialogue, piloted with Nordic donors in 2017 and in September 2018. In time UNESCO intends to hold Structured Financing Dialogue meetings to focus on specific regions and on themes. | 5, 27, 36, 74, 131 |

It has used its experience in post conflict/post disaster situations to start to mobilise funds to support projects and meet urgent needs in culture, education and natural sciences in these contexts. UNESCO is also now seeking partnerships with BRIC countries to promote South-South co-operation and support 'self-benefitting' projects. UNESCO is also increasingly partnering with private organisations to fund long term projects in areas such as information and communication technology – historically the private sector has contributed to 10-13% of funds.

Audits on resource mobilisation have highlighted the need to clarify roles and responsibilities, which the draft strategy for 2018-2019 does. Major Programmes, field offices and Category 1 Institutes will be required to develop Resource Mobilization Action Plans and co-ordinate their activity among themselves and with headquarters.

Several core donors commit only two years funding at a time to the 'regular budget'. This is often too short a timeframe for substantive development interventions. UNESCO is seeking longer term investments in its donor engagement. Where UNESCO seeks to raise domestic resources from partner countries/institutions, these funds are closely aligned to UNESCO's sectors. UNESCO has sought support from donors 'in kind' – e.g. providing premises, but also funding conferences/meetings. UNESCO is also expanding what it calls 'self-benefitting' arrangements in framework agreements with more middle-income countries, whereby countries fund activities led by UNESCO.

5, 27, 36, 74, 131

UNESCO's integrated 2018-2021 (39 C/5) budget helps it to monitor resource mobilisation performance, and to focus effort on underfunded areas. Based on its lower budget scenario, UNESCO's funding gap for 2018-2019 is 29% ($339 million). The new integrated Programme and Budget should also allow UNESCO to allocate regular budget funds and other flexible funds between expected results to address funding gaps in a consistent way. UNESCO intends to use its public 'Transparency Portal' to help monitor the adequacy and alignment of both regular programme and extrabudgetary resources against sectors. The portal includes information on resource requirements (see also MI 6.6).

| MI 3.2 Evidence confidence | High confidence |
|---|---|

| MI 3.3: Aid reallocation/programming decisions responsive to need can be made at a decentralised level | Score |
|---|---|
| **Overall MI Rating** | **Satisfactory** |
| **Overall MI score** | **2.75** |
| Element 1: An organisation-wide policy or guidelines exist which describe the delegation of decision-making authorities at different levels within the organisation | 2 |
| Element 2: *(If the first criterion is met)* The policy/guidelines or other documents provide evidence of a sufficient level of decision-making autonomy available at the country level (or other decentralised level as appropriate) regarding aid reallocation/programming | 3 |
| Element 3: Evaluations or other reports contain evidence that reallocation/programming decisions have been made to positive effect at country or other local level, as appropriate | 3 |
| Element 4: The organisation has made efforts to improve or sustain the delegation of decision-making on aid allocation/programming to the country or other relevant levels | 3 |

| MI 3.3 Analysis | Source document |
|---|---|
| The policy governing which programming decisions can be delegated to decentralised levels has recently been changed. UNESCO has clarified responsibilities, but the change has been too recent to yield evidence for this review. However, much of UNESCO's normative work is carried out by headquarters and Category 1 agencies and does not require decentralised aid allocation or programming – therefore this indicator does not cover the totality of UNESCO's programming modalities. | |
| A 2016 external audit concluded that "(i)n Africa, as elsewhere, the respective roles of regional, cluster and national offices have not been sufficiently clarified and harmonized". UNESCO acknowledges the need "for greater clarity in the assignment of responsibilities" and accountability and reporting lines applicable to the field network in Africa have been outlined since the audit. The Secretariat has prepared a matrix defining responsibilities, accountabilities, and reporting lines for directors of multisectoral regional offices and heads of national offices in Africa. UNESCO's online Administrative Manual does not yet reflect this new guidance. As UNESCO is in the process of reviewing and strengthening the relationship between headquarters and its field network it is too early to comment on its impact.  The external auditor produced a comprehensive review of the field office network in Spring 2018 and made a number of concrete recommendations. These include giving hierarchical authority to offices with a regional role over all national offices; appointing co-ordinators for each sector with responsibility over each region; ensuring all new country entities have time-limited mandates; and decentralising more responsibility the field network preparation and monitoring of sectoral programmes and budgets. | 26, 27, 32, 33, 36, 66, 91, 133 |
| Directors of field offices have sufficient delegated authority for the overall management of their operations, financial resources (regular budget and extrabudgetary resources). Directors and field office heads are responsible for the mobilisation of funds as well as programming them. This is set out in an internal note. | |
| UNESCO is developing a management tool to assess the performance of individual field offices and the network as a whole. This tool, the Balanced Scorecard, will identify and score performance criteria (such as programme implementation, resource mobilisation). It has carried out one round of assessments and is modifying the instrument. UNESCO intends to use it to monitor the performance of the field network during the 2018-2019 Programme and Budget. The intention is for it to be integrated into existing IT tools and to be fully operational by the end of 2018. | |
| **MI 3.3 Evidence confidence** | **Medium confidence** |

| MI 3.4: HR systems and policies performance based and geared to the achievement of results | Score |
|---|---|
| **Overall MI Rating** | **Satisfactory** |
| **Overall MI score** | **2.2** |
| Element 1: A system is in place which requires the performance assessment of all staff, including senior staff | 2 |
| Element 2: There is evidence that the performance assessment system is systematically and implemented by the organisation across all staff and to the required frequency | 2 |
| Element 3: The performance assessment system is clearly linked to organisational improvement, particularly the achievement of corporate objectives, and to demonstrate ability to work with other agencies | 2 |
| Element 4: The performance assessment of staff is applied in decision making relating to promotion, incentives, rewards, sanctions, etc. | 2 |
| Element 5: A clear process is in place to manage disagreement and complaints relating to staff performance assessments | 3 |

| MI 3.4 Analysis | Source document |
|---|---|
| UNESCO has strengthened its human resources and performance assessment systems in recent years. There are now clear links in individual performance frameworks to UNESCO's results framework. Work is underway to roll out exposure to these new framework and standards, UNESCO's budget constraints meant that there was limited investment in training until 2015.<br><br>UNESCO is in the process of updating and strengthening its human resources and performance assessment systems. Clearer links are being made between individual performance frameworks and UNESCO's results framework. UNESCO's budget constraints meant that there was limited investment in either updating its systems or in training until 2015. Creating a 'culture of results' has been an 'expected result' of UNESCO's human resources policy since at least 2012. Training to engender this focus has been limited due to financial constraints – the human resources office lost 96% of its training budget between 2011-2015 as well as six of its nine staff who were responsible for training.<br><br>UNESCO updated its Performance Management Policy in 2014 to simplify the performance assessment process and to enhance the accountability of supervisors and managers. It encompasses all staff including Directors and Heads of Field Offices, as well as senior management for whom separate Performance Agreements are established. However, a 2016 external audit, noted very uneven performance remains and recommended that heads of field offices are given individual performance contracts rather than being held only to high-level UNESCO strategic priorities. UNESCO is in the process of implementing this recommendation and is introducing management competences into its performance framework. There are also structural weaknesses in line management arrangements of heads of field offices: the head of the Division of Field Support and Coordination is the line manager of 39 field office directors – too large a number to facilitate quality management.  Reporting lines in African offices and offices in the rest of the world are not uniform.<br><br>UNESCO's performance assessment system currently assesses the performance of staff every two years, rather than every year – as is international best practice. It also does not contain an element of 360-degree reporting. UNESCO is moving to a system of annual performance assessment. In 2018 only 31% of staff survey respondents considered that UNESCO's performance assessment system effectively recognises/identifies outstanding or poor performance staff.<br><br>The 2014 Performance Assessment Policy aims to reinforce a culture of results-based management and budgeting by linking the work of individuals to that of their unit's expected results (source: 2014 circular).   Individual work plans are expected to reflect key expected results of their unit. A UNESCO Competency Framework to strengthen staff capabilities to deliver the SDGs has been developed and will be implemented in the 2017-19 programme period. The Framework comprises of core values, seven core competencies and six managerial competencies that are applicable to all UNESCO staff. UNESCO is in the process of introducing the system through 'information sessions' given to all staff at HQ, in field offices and Institutes.<br><br>UNESCO's updated (2014) Performance Management Policy mandates that performance assessment is applied to decision making in relation to sanctions, the awarding of salary increments, and passing probation. A competency-based interview guide has also been developed and implemented and interviews are now said to be guided by competency based-questions. Given that performance is assessed only every two years, this element can be judged as partially implemented. UNESCO has in place a clear, documented, process for managing disagreements and complaints relating to staff performance assessment | 21, 26, 33, 36, 53, 66, 72, 132 |
| **MI 3.4 Evidence confidence** | **Medium confidence** |

| KPI 4: Organisational systems are cost- and value-conscious and enable financial transparency/accountability | KPI score |
|---|---|
| **Highly satisfactory** | **3.25** |

UNESCO has a transparent system for allocating resources to ensure they are spent in line with strategic priorities. Concern has been raised that UNESCO's diminished resources are spread too thinly against a mandate that remains unchanged, and that its governing bodies should take a more aggressive approach to prioritisation. The agency has systems to ensure funds are disbursed as intended and according to agreed variances. There are delays in spending trigger alerts and management reviews.  It has a comprehensive results-based budgeting system that has been significantly improved over successive budgets and programmes. The draft Programme and Budget that applies to 2018-2019 is the most comprehensive yet. Concerns were expressed about the quality with which results were identified in the last budget (2016-2017).

UNESCO's external and internal audit functions fully meet all international standards. The Secretariat provides audit responses and tracks its performance in responding to and implementing recommendations. The independence of UNESCO's internal audit function is assured (rated 'generally conforms'), and it has been externally accredited with meeting global standards. The agency has clear guidance and systems to ensure controls are in place; management and individual responsibilities are made clear, a secure route to report suspected violations is available, and a system is in place to track the implementation of audit recommendations. Concerns have been raised that staffing cuts forced by UNESCO's budget crisis have left UNESCO's risk management capacity weakened. UNESCO has clear policies and procedures to prevent, detect, investigate and sanction irregularities; it is addressing a gap relating to conflicts of interest in recruitment**.**

| MI 4.1: Transparent decision-making for resource allocation, consistent with strategic priorities | Score |
|---|---|
| **Overall MI Rating** | **Highly satisfactory** |
| **Overall MI Score** | **3.25** |
| Element 1: An explicit organisational statement or policy exists which clearly defines criteria for allocating resources to partners | 3 |
| Element 2: The criteria reflect targeting to the highest priority themes/countries/areas of intervention as set out in the current Strategic Plan | 3 |
| Element 3: The organisational policy or statement is regularly reviewed and updated | 3 |
| Element 4: The organisational statement or policy is publicly available | 4 |
| **MI 4.1 Analysis** | **Source document** |
| UNESCO has a transparent system for allocating resources to ensure they are spent in line with strategic priorities. The system is clear and logical. Concern has been raised that UNESCO's diminished resources are spread too thinly against a mandate that remains unchanged, and that its governing bodies should accept and act on this reality.<br><br>UNESCO has a clear and explicit decision-making system for the allocation of resources throughout the organisation. The integrated Results and Resources framework for the period 2017-2019 (39 C/5), is allied to the Medium-Term Strategy (2014-2021). It sets out transparently how total resources available to the organisation will be allocated to the defined outcomes and results. It contains the two budget scenarios - that assume all regular contributions due are and are not made. Criteria reflected in the Results and Resources Framework reflect the priorities and intentions of the Strategic Plan. The document is publicly available. More than half (57%) of total partner survey respondents rated the transparency of criteria for financial resource allocation excellent (20%) or very good (37%). The Programme and Budget for 2014-17 also met these standards except that it was not based on an integrated framework. | 2, 3, 36, 56, 66 |

In terms of how UNESCO allocates resources specifically to partners, it has four vehicles: The Participation Programme, Fellowship Programme, Financing Activity Contracts, and Implementing Partner Agreements. Allocations are made through an explicit and transparent process. UNESCO's Administrative Manual sets out the parameters for budget submissions so that resources are allocated to the agency's highest priorities. Sectors submit a sectoral strategic framework that must contribute to UNESCO's strategic plan, alongside a resource allocation matrix that shows how programme funds will be allocated to Main Lines of Action - for interventions both in headquarters and in decentralised entities. These proposals are considered within headquarters and submitted to the General Conference for finalisation.

In terms of specific resources allocated to partners through the Participation Programme (PP), Fellowship Programme, Financing Activity Contracts, and Intergovernmental Body Allocation Contracts are made on their basis of their contribution to UNESCO's strategic objectives. An 'intersectoral' committee on the Participation Programme is mandated to ensure priority is given to Africa, gender equality and priority countries. UNESCO's rules for awarding grants under the Participation Programme, Fellowship Programme, Financing Activity Contracts, and Intergovernmental Body Allocation Contracts are reviewed and approved by the General Conference each biennium.

General Conference documents are publicly available on UNESCO's internet. UNESCO has detailed manuals setting out how these operate.

To assess the extent to which UNESCO's resource allocation decisions are consistent with strategic priorities, it is necessary to return to a finding of the external auditor cited above. The external auditor commented that following UNESCO's budget crisis UNESCO" applied the same rules and priorities" to the 2016-2017 Programme and Budget (38 C/5) "with the same dispersal of efforts across an area that is too wide having regard to the reduced resources". The 2018-19 Programme and Budget, as indicated above, has been prioritised. However, given that UNESCO aims to achieve results in the same mandated five sectors and five major programme areas, it is not evident that prioritisation has been sufficient to the financial challenge.

2, 3, 36, 56, 66

| MI 4.1 Evidence confidence | Medium confidence |
|---|---|

| MI 4.2: Allocated resources disbursed as planned | Score |
|---|---|
| Overall MI Rating | Satisfactory |
| Overall MI score | 3 |
| Element 1: The institution sets clear targets for disbursement | 4 |
| Element 2: Financial information indicates that planned disbursements were met within institutionally agreed margins | 3 |
| Element 3 Clear explanations are available in relation to any variances | 3 |
| Element 4: Variances relate to external factors rather than internal procedural blockages | 2 |

| MI 4.2 Analysis | Source document |
|---|---|
| UNESCO has systems to ensure funds are disbursed as intended and according to agreed variances. Delays in spending trigger alerts and management reviews. Where variances are high it is often a reflecting of attempts by spending units to ensure they have secure funding for future activities. Implementation rates have been affected by staff shortages, but UNESCO has mandated spending units to hire temporary staff to fill vacant posts.<br><br>Funds are aligned to time-bound workplans. This alignment is based on approval from governing bodies and, where extrabudgetary funds are involved, donor agreements. UNESCO has processes in place to ensure there is management review and validation.<br><br>The implementation of both regular programme and extrabudgetary funds are tracked against the targets for each. Deviations in excess of set standards are analysed and reported to the Executive Board. For example, at the end of 2016, global expenditure stood at 48% against a target of 50% whilst variance in the totality of major programmes in the five main sectors was 31.6% - a relatively high figure. This high degree of variance appears to be a coping mechanism used by spending units: they appear to over-bid and underspend to ensure they have sufficient funds to fully implement activities in case future budget allocations are inadequate. Variance reporting is currently manual and is not built into a system such as SISTER.<br><br>Monthly management reports highlight variances across the spectrum of UNESCO's programme: quarterly 'sector alerts' highlight marked variances in the disbursement of extrabudgetary resources in individual sectors. In addition to sector-based reviews, significant variances are reviewed by the senior management team and by the Programme Management Committee. These bodies are charged with defining mitigating actions to tackle internal blockages.<br><br>Reporting by the sectors for 2016 expenditure indicates that variances are due to a combination of external and internal factors. Some sectors reported that staff shortages caused by the budget crisis "limited the capacity to implement funds". However, UNESCO mitigates the impact of staff shortages by enabling spending units to hire temporary staff to implement a programme, where extrabudgetary funding exists. The impact of staffing shortages and the ability of programmes to resolve these through temporary hires is reflected in the partner survey. On the one hand, 39% of total respondents stated that they thought staffing levels' contribution to the delivery of results was excellent or very good. On the other hand, 58% of total respondents felt staffing was fairly good or fairly poor. | 27, 32 |
| MI 4.2 Evidence confidence | Medium confidence |

| MI 4.3: Principles of results-based budgeting applied | Score |
|---|---|
| Overall MI Rating | Highly satisfactory |
| Overall MI score | 3.25 |
| Element 1: The most recent organisational budget clearly aligns financial resources with strategic objectives/intended results of the current Strategic Plan | 3 |
| Element 2: A budget document is available which provides clear costings for the achievement of each management result | 3 |
| Element 3: Systems are available and used to track costs from activity through to result (outcome) | 3 |
| Element 4: There is evidence of improved costing of management and development results in budget documents reviewed over time (evidence of building a better system) | 4 |

| MI 4.3 Analysis | Source document |
|---|---|
| UNESCO has a comprehensive results-based budgeting system that has been significantly improved over successive budgets and programmes. UNESCO links the current and preceding Programme and Budgets financial resources to expected results, which are aligned with the Strategic Objectives of the Medium-term Strategy. This is evidenced clearly from an examination of the statements and budget allocations relating to the sectors in the approved 2015-2016 Programme and Budget and 2018-2019 Programme and Budget.<br><br>Budget tables show estimated costs of implementing the expected results within each of the Major Programme Sectors. Major Programmes are broken down into their 'Main Lines of Action' (MLA), under which the expected results are listed and costed. Again, this is clearly evidenced in both Programme and Budget documents. Similar information is provided for both of the official budget scenarios. UNESCO uses a system based on SAP's Enterprise Resource Planning software for financial management and monitoring and uses its internally developed SISTER system to monitor both Programme and Budget information from 'activities' to 'Expected Results'. UNESCO is currently developing a new ICT platform to replace SISTER that will better integrate results-based management and provide a system to track project implementation.<br><br>There is clear evidence that UNESCO has progressively built a better system for results-based budgeting over the last five years:<br><br>• UNESCO's Programme and Budget for 2012-2013 (36 C/5) did not contain budget information by expected result. The 2014-17 Programme and Budget (37 C/5) was the first to provide budget estimates by expected results for Major Programmes and included an addendum with summary information about the Expenditure Plan with budgetary and staffing tables. However, this budget did not provide detailed programmatic information of the expenditure plan (e.g. performance indicators, targets etc.).<br><br>• The 2016-17 Programme and Budget (38 C/5) introduced further improvements. It provides expenditure plan information as an integral part of the Programme and Budget document. Expenditure plan envelopes are presented by expected result. The current Programme and Budget provides detailed information about the budget, staffing and programmatic impact (e.g. performance indicator information) for both the budget and the expenditure plan.<br><br>• The 2018-21 Programme and the 2018-19 Budget (39 C/5) has introduced further improvements. It provides budget estimates by expected results for both programmes and services. The new integrated budget framework in the draft 39 C/5 also provides budgetary information about the different sources of funds and includes an estimated funding gap. It provides programmatic, staffing and budgetary information for both the budget scenarios and the expenditure plans. A revised cost recovery policy adopted in 2016 also now provides a transparent basis for the classification of costs and the attribution of management costs across all sources of funding. | 3, 4, 5, 33, 38, 57, 66, 72, 77 |

| | |
|---|---|
| UNESCO has very clear and comprehensive guidance that spells out how to ensure indicators measure results/impact rather than inputs. However, it appears there is a gap in applying this guidance effectively. An external audit of the draft budget for 2016-17 noted that "some indicators do not measure performance because they are focused on measuring deliverables rather than on the impact or consequences of activities": concluding that "a large number of indicators that do not measure results reflects the weaknesses of the system for measuring performance and progress". The audit took a sample of 600 performance indicators used to measure the results of UNESCO's activities – and therefore contribute to 'expected outcomes'. The audit concluded that "32% of indicators measured outputs rather than actual results (outcome)". The audit recommended UNESCO trains staff to improve the quality of indicators at all levels. A mid-2014 formative evaluation of UNESCO's results reporting also noted the same tendency. In response, BSP in collaboration with IOS assisted programme sectors in their review of the 2016-2017 Draft C/5 expected results, performance indicators and associated targets to improve their outcome orientation. Member States expressed their appreciation for this review and accordingly these were reflected in the 38 C/5 Approved. UNESCO has also been conducting results-based management coaching sessions for staff in key Sectors. In summary, this is being progressively corrected (please refer to KPI4 MI 4.3 for further clarification). | 3, 4, 5, 33, 38, 57, 66, 72, 77 |
| **MI 4.3 Evidence confidence** | **High confidence** |

| MI 4.4: External audit or other external reviews certifies the meeting of international standards at all levels, including with respect to internal audit | Score |
|---|---|
| **Overall MI Rating** | **Highly satisfactory** |
| **Overall MI score** | **3.33** |
| Element 1: External audit conducted which complies with international standards | 4 |
| Element 2: Most recent external audit confirms compliance with international standards across functions | 3 |
| Element 3: Management response is available to external audit | 4 |
| Element 4: Management response provides clear action plan for addressing any gaps or weaknesses identified by external audit | 3 |
| Element 5: Internal audit functions meet international standards, including for independence | 4 |
| Element 6: Internal audit reports are publicly available | 2 |
| **MI 4.4 Analysis** | **Source document** |
| UNESCO's external and internal audit functions fully meet all international standards. The Secretariat provides audit responses and tracks its performance in responding to and implementing recommendations. Internal audit performs the follow up of its own recommendations. The independence of UNESCO's internal audit function is assured, and it has been externally accredited with meeting global standards. Internal audit's work is in accordance with the International Standards for the Professional Practice of Internal Auditing.<br><br>UNESCO's Financial Regulations require audits to be "conducted in conformity with generally accepted common auditing standards" and UNESCO's External Auditors are committed to conducting audits according to the International Standards on Auditing (ISA) published by the International Auditing and Assurance Standards Board (IAASB) of the International Federation of Accountants (IFAC). All recent external audits state they were conducted in accordance with these standards. | 8, 34, 35, 36, 37, 43, 51, 72, 75, 76, 77, 78, 159 |

In terms of financial management, the external audit of UNESCO's accounts relating to the year ending 31 December 2016 states that UNESCO's financial statements give a 'fair view' of its financial position and of its financial performance. Recent Performance Audit reports– including audits of the Bangkok, Amman and Iraq office and an audit of UNESCO's handling of the budget crisis – whilst generating a series of recommendations - appear to confirm that across the board UNESCO follows international standards. Recommendations seen in these reports do not appear to contradict this judgement.

UNESCO gives a management response to all external audit report recommendations. The Secretariat produces an annual consolidated report against all external audit recommendations citing its management report and some are appended to the audit itself when it is presented to the Executive Board. The Secretariat provides a clear response and action plan to address each audit recommendation. UNESCO reports on the implementation of the external auditor's recommendations to the auditor annually and to Member States at a frequency decided by them. Within the assessment period, the last report was presented to the Executive Board in August 2017: it lists each recommendation made in audits between 2008 and 2017, and measures taken, or commitments made. It addresses 416 recommendations, extending to 195 pages and is publicly available.

UNESCO's internal audit function – the Audit Section of the Internal Oversight Service – has been independently validated as meeting international standards, including for independence. International Standards for the Professional Practice of Internal Auditing require external assessments to be conducted at least once every five years. This can be done by self-assessment with independent validation. UNESCO carried out an internal self-assessment in mid-2016. This was then validated by an accredited external validator nominated by the Institute of Internal Auditors (IIA). UNESCO was accredited with the highest IIA compliance rating: 'Generally Conforms', and therefore is considered to have "a charter and policies and process that are judged to be in accordance with the Standards" – but with opportunities for improvement. It met the requirements for functional independence.

8, 34, 35, 36, 37, 43, 51, 72, 75, 76, 77, 78, 159

Specifically, in terms of independence, the Director of the Internal Oversight Service is required to make a statement to the Executive Board annually on the status of the organisational independence of the audit function. The latest annual report confirms the unit's independence. The Internal Oversight Service (IOS) has a direct reporting line to the Director-General. In addition, there is a term limit for the appointment of the Director of IOS, and the Executive Board is involved/consulted in any termination of a Director of IOS contract. Annual reports are shared with the Board. These measures are reflective of best practices in the UN system. The UN's Joint Inspection Unit (JIU) has noted that UNESCO is one of three UN agencies assessed as having the highest degree of internal audit function independence as the head approves the Internal Audit plan directly without approval of the executive head or Executive Board.

UNESCO publishes and makes available summaries of internal audit reports produced by its Internal Oversight Service on the internet (IOS website). While full audit reports are not publicly available select internal audit reports are presented to member states on request.

| MI 4.4 Evidence confidence | High confidence |

| MI 4.5: Issues or concerns raised by internal control mechanisms (operational and financial risk management, internal audit, safeguards etc.) adequately addressed | Score |
|---|---|
| **Overall MI Rating** | **Highly satisfactory** |
| **Overall MI score** | **3.67** |
| Element 1:  A clear policy or organisational statement exists on how any issues identified through internal control mechanisms will be addressed | 3 |
| Element 2: Management guidelines or rules provide clear guidance on the procedures for addressing any identified issues, including timelines | 4 |
| Element 3: Clear guidelines are available for staff on reporting any issues identified | 4 |
| Element 4: A tracking system is available which records responses and actions taken to address any identified issues | 4 |
| Element 5: Governing Body or management documents indicate that relevant procedures have been followed/action taken in response to identified issues, including recommendations from audits (internal and external) | 4 |
| Element 6: Timelines for taking action follow guidelines/ensure the addressing of the issue within twelve months following its reporting | 3 |
| **MI 4.5 Analysis** | **Source document** |
| UNESCO has clear guidance and systems to ensure controls are in place; management and individual responsibilities are made clear, a secure route to report suspected violations is available, and a system is in place to track the implementation of audit recommendations. However, concerns have been raised that staffing cuts forced by UNESCO's budget crisis have left UNESCO's risk management capacity weakened.

UNESCO provides managers with guidelines on how to reinforce internal controls through the self-assessment of the unit they are responsible for. These are intended to address: effectiveness and efficiency of operations, the reliability of financial reporting, and compliance with UNESCO's rules and regulations. Managers are required to complete a detailed pro-forma questionnaire annually and are provided with detailed operational guidance. They are required to provide a detailed action plan for each issue where the control objective is seen as 'partially met' or 'not met'. The action plan is expected to give a deadline for implementation and who will implement the measure. A recent internal audit on the status of internal controls found good practice and recommended measures to improve reliability and comparability.

Managers are also responsible for the identification and follow up of corrective measures to respond to internal and external audit recommendations. They are required to establish time-bound action plans and report on the status of outstanding recommendations under their purview on a regular basis.

UNESCO provides staff with clear guidelines on what to do when they suspect any irregularities of any kind. This guidance is available in UNESCO's online Administrative Manual, its Human Resources Manual and on its public website.

UNESCO's Internal Oversight Office tracks audit recommendations and reports on their follow up twice a year. Reports are presented to UNESCO's independent Oversight Advisory Committee and its senior management. Recommendations that relate to Category 1 institutes as well as core UNESCO entities are tracked. IOS also publishes on its website the status of UN Joint Investigation Unit recommendations. | 22, 36, 42, 43, 66, 77, 78, 79, 135 |

Executive Board papers demonstrate that the Secretariat tracks the implementation of internal and external audits – as indicated in 4.4.4. The Secretariat's action plans are regularly reviewed at the senior management level within UNESCO. All external audit reports are shared with Member States who are then able to recommend relevant action during Executive Board sessions and during the General Conference. All Executive Board documents and General Conference documents are publicly available.

Action against external audit recommendations are put into action plans that are time-bound and a realistic timeframe for implementation is established. In terms of outstanding external audit recommendations, up to May 2017 the Secretariat achieved a 61% implementation rate (higher if the 7% deemed superseded by Member States is counted). 50% of the remaining outstanding recommendations were issued within 6 months of the reporting period. Many of the recommendations that take longer than 12 months to implement require longer term action plans (e.g. strategic reviews involving consultations, IT developments, etc.). In terms of action taken to implement internal audit recommendations, 65% of 'open recommendations' were implemented in the previous 12 months.

The Oversight Advisory Committee notes in its February 2017 report to the Executive Board that it has "observed a growing degree of operational risk". It states that the resources of key parts of the organisation are so stretched that "the Committee is concerned that some key control functions may be severely weakened". The External Auditor has expressed a similar concern, finding that staff cuts between 2012 and 2015 left risk management capacity 'overstretched'.

22, 36, 42, 43, 66, 77, 78, 79, 135

| MI 4.5 Evidence confidence | High confidence |
|---|---|

| MI 4.6: Policies and procedures effectively prevent, detect, investigate and sanction cases of fraud, corruption and other financial irregularities | Score |
|---|---|
| Overall MI Rating | Satisfactory |
| Overall MI score | 3 |
| Element 1: A clear policy/guidelines on fraud, corruption and any other financial irregularities is available and made public | 3 |
| Element 2: The policy/guidelines clearly define the roles of management and staff in implementing/ complying with the guidelines | 3 |
| Element 3: Staff training/awareness-raising has been conducted in relation to the policy/guidelines | 2 |
| Element 4: There is evidence of policy/guidelines implementation, e.g. through regular monitoring and reporting to the Governing Body | 3 |
| Element 5: There are channels/mechanisms in place for reporting suspicion of misuse of funds (e.g. anonymous reporting channels and "whistle-blower" protection policy) | 4 |
| Element 6: Annual reporting on cases of fraud, corruption and other irregularities, including actions taken, ensures that they are made public | 3 |

| MI 4.6 Analysis | Source document |
|---|---|
| UNESCO has clear policies and procedures to prevent, detect, investigate and sanction irregularities; it is in the process of addressing a gap relating to conflicts of interest in recruitment. Staff training has been limited but is intended to increase. UNESCO publishes an annual report on misconduct including a description of action taken against staff found to have contravened its policies. The Ethics Office submits an Annual Report to the Executive Board and in 2018 launched a global staff survey on ethics.<br><br>UNESCO's relevant policy and guidelines are set out in detail in the 'Prevention of Fraud and Corrupt practices' section of its online Administrative Manual. A 2015 evaluation of UNESCO's recruitment practice considered its policy on avoiding conflicts of interest with regard to recruitment insufficiently explicit. It recommended formalising and disseminating a policy and guidance on the issue. In response, a Guidance Note on Conflicts of Interest in the Recruitment process was issued in November 2017. It sets out procedures for managing perceived, potential and actual conflicts of interest in the recruitment process and was issued as a part of an updated Recruitment Policy. UNESCO is disseminating the Recruitment Policy including on the Conflict of Interest aspect through internal information sessions.<br><br>UNESCO's policy defines the role of management and staff. It sets out the institutional mechanisms and roles required by different positions and is explicit that staff have a duty to report and a right to protection against retaliation.<br><br>UNESCO's budget crisis resulted in there being no corporate training budget between 2012 and 2015. Training activities during that period were "mostly limited to internal and online trainings". Mandatory ethics training appears to have ceased in the period but restarted in 2015 and was delivered in headquarters and to field offices (in 2017 around 2,100 staff received training). Fraud Awareness Training developed by the Investigation Office and started in November 2016. Specialised training is delivered to staff involved in procurement activities. The Secretariat proposes to complement this by acting on a UN Joint Inspection Unit recommendation to strengthen Fraud Risk Assessment.<br><br>As with audit recommendations, the Internal Oversight Office presents an annual report to the Executive Board on all investigations. The report demonstrates that action has been taken. The Internal Oversight Office also shares its reports with the Oversight Advisory Committee.<br><br>Channels and mechanisms are in place for individuals – from both within or outside UNESCO - to report any suspicion of misuse of funds or other wrongdoing. Individuals are able to make a report online, by phone, email or in person. Reports are then dealt with by the Internal Oversight Office's Investigation Office if they are linked to Fraud and/or Corruption allegations (including the misuse of funds and assets). Allegations of harassment (moral or sexual) are currently dealt with by the Ethics Office. Should the Director General decide, based on the recommendation of the Ethics Office, that a case be referred to IOS, then only at that point would IOS deal with a case of harassment. The Ethics Office also manages the Whistleblower Protection policy and the Protected Disclosures System (to provide protection from retaliation).<br><br>UNESCO's Internal Oversight Office issues a publicly available annual report on the number of allegations made, how many cases were closed, and whether they resulted in disciplinary action. It states how many cases were actionable and analyses the nature of the allegations received, as well as, where cases involved fraud or financial irregularities, how much money was recovered. There is also a link on the Internal Oversight Service's Investigations webpage giving a summary of investigation cases and their outcome: within the assessment period the latest document lists disciplinary actions for the period 2014-15. | 21, 66, 26, 32, 33, 43 |
| **MI 4.6 Evidence confidence** | **High confidence** |

## RELATIONSHIP MANAGEMENT

*Engaging in inclusive partnerships to support relevance, to leverage effective solutions and to maximise results (in line with Busan Partnerships commitments*

| KPI 5: Operational planning and intervention design tools support relevance and agility (within partnerships) | KPI score |
|---|---|
| **Satisfactory** | **2.64** |

Operational planning and intervention design tools broadly appear to support the relevance and agility of UNESCO's interventions. A number of changes have been introduced to further improve performance - but evidence on impact of these changes is not yet available. UNESCO is fully integrated with the UNDAF process and its Country Programming Documents show how its interventions support national priorities. Programming documents provide contextual analysis and UNESCO's project document template requires a high degree of contextual analysis. Some of UNESCO's programmes have a track record of particular effectiveness. However, a synthetic analysis of evaluations notes that many programmes lack a strategic approach to capacity building.

UNESCO has a risk management policy that applies to programmes and requires a detailed risk analysis for all new interventions. UNESCO's new Country Strategy guidance will require national programmes to integrate risk management more strongly into operations. Overall UNESCO-wide risk management has been seen as incomplete and overstretched. UNESCO is putting in place a programme to strengthen enterprise-level risk management. Clear policies, procedures and guidance are in place to require UNESCO staff to integrate an analysis of gender in interventions. This is reflected in project document guidance. UNESCO's 2016 project document template requires all interventions to describe how sustainability of impact will be enhanced. A review of evaluations of interventions that predate this guidance was judged not to take a strategic approach to sustainability.

Some of UNESCO's institutional procedures (e.g. extrabudgetary grant management, recruitment) have been found to impede the speed of implementation. As its dependence on extrabudgetary funding has increased in importance, this has become a higher priority and it recently launched an initiative to streamline its procedures. This work is underway.

| MI 5.1: Interventions aligned with national/regional priorities and intended national/regional results | Score |
|---|---|
| **Overall MI Rating** | **Satisfactory** |
| **Overall MI score** | **3** |
| Element 1: Reviewed country or regional strategies make reference to national/regional strategies or objectives | 3 |
| Element 2: Reviewed country strategies or regional strategies link the results statements to national or regional goals | 3 |
| Element 3: Structures and incentives in place for technical staff that allow investment of time and effort in alignment process | 3 |
| **MI 5.1 Analysis** | **Source document** |
| UNESCO units prepare detailed annual work plans that set out national and regional programmes. These govern the deployment of any resources to countries or regions. Work plans are required to integrate country-level priorities as identified in the UNDAF or an equivalent common country strategy document. | 66, 72, 78, 80, 81, 82, 83, 84, 85, 86, 136, 137, 138, 139 |

UNESCO's Country Programming Documents and their successor, UNESCO Country Strategies, present the totality of UNESCO's interventions in a jurisdiction; they show their alignment to an UNDAF, where one exists, and to country goals. UNESCO also sometimes uses its own network to identify a country's priorities: UNESCO offices often consult with National Commissions in identifying and refining national priorities. UNESCO is the only UN Agency to have a global network of national co-operating bodies known as National Commissions. Set up by their respective governments they operate, on a permanent basis, "for the purpose of associating their governmental and non-governmental bodies" with UNESCO's work across education, sciences, culture and communication. Presently, there are 199 National Commissions around the world.

In late 2017 UNESCO revised the Country Programming Documents framework replacing it with guidance to draft Country Strategies (UCS). New Guidelines for Country Strategies have been produced and have been used by a handful of field offices. UNESCO intends to roll out the guidance through the 2018-2019 biennium.

All the Country Programming Documents and UNESCO Country Strategies reviewed refer to national objectives either directly or by their references to the UNDAF, and how planned UNESCO interventions contribute to them. UNDAFs are based on national priorities that the UN supports and are defined in strategic prioritisation exercises conducted by UN Country Teams – of which UNESCO is a member. A large number of the 53 UNESCO Country Programming Documents, for which links exist on UNESCO's website, are not current. Seven of these older format documents were sampled. The reviewed Country Programming Documents generally link the results statements to national goals directly or through the UNDAF. Three UNESCO Country Strategies (Cambodia, Vietnam, Mali), written in line with new guidance make these links – and to the SDGs – particularly clearly.

UNESCO is rolling out a capacity building course for UNESCO staff on the new UN Country Programming system designed to take forward the Agenda 2030. This training is also intended to ensure UNESCO staff can align country programmes more effectively with UNDAF processes. The course was designed in collaboration with the UN System Staff College.

66, 72, 78, 80, 81, 82, 83, 84, 85, 86, 136, 137, 138, 139

| MI 5.1 Evidence confidence | High confidence |
|---|---|

| MI 5.2: Contextual analysis (shared where possible) applied to shape the intervention designs and implementation | Score |
|---|---|
| Overall MI Rating | Highly satisfactory |
| Overall MI score | 3.17 |
| Element 1: Intervention designs contain a clear statement that positions the intervention within the operating context | 3 |
| Element 2: Context statement has been developed jointly with partners | 3 |
| Element 3: Context analysis contains reference to gender issues, where relevant | 4 |
| Element 4: Context analysis contains reference to environmental sustainability and climate change issues, where relevant | 3 |
| Element 5: Context analysis contains reference to governance issues, including conflict and fragility, where relevant | 3 |
| Element 6: Evidence of reflection points with partner(s) that take note of any significant changes in context | 3 |

| MI 5.2 Analysis | Source document |
|---|---|
| All UNESCO's Country Programming Documents contain a situation analysis of sectors in which UNESCO engages. Insofar as UNESCO works within the context of UN programming frameworks at the country level, its interventions are informed by the same contextual analysis that informs the rest of the UN family at country level, and to which UNESCO staff themselves contribute. UNESCO reports that, where necessary, it complements this shared analysis with more specific analysis related to its areas of competence.<br><br>The new UNESCO Country Strategy guidelines emphasise the need for analytical and strategic context and UNESCO's standard template for preparing a project document requires an explanation of how the project responds to the assessed needs in the country, region, or globally. There is a requirement to explain how the project ties in with the national development strategy, the UNDAF, or regional policies and frameworks.<br><br>A synthetic review of 261 evaluations of UNESCO interventions notes that "UNESCO is recognized for its distinct interdisciplinary and participatory approach to programming, notably in the design phase", citing a number of examples. UNESCO's project document template requires staff to indicate the involvement of partners in the design of the project. There does not seem to be an explicit requirement for the context statement to be developed jointly with partners. However, if the underlying context analysis is sourced from the UNDAF, there will be broad agreement from partners on the nature of the context.<br><br>All 7 of the sampled UNESCO Country Programme Documents (and one Country Strategy) contain reference to gender issues. The context analysis in some (Palestine, Bangladesh, Jordan) is particularly comprehensive. UNESCO's project document template also requires an explanation of how gender equality is affected or addressed by the intervention, where relevant. Staff are required to present a gender analysis with reference to gender roles, division of labour, opportunities and constraints for women's access to resources as they may relate to the intervention. Staff are required to include sex-disaggregated data and statistics to substantiate their background analysis.<br><br>Where relevant to the context and its planned interventions, UNESCO Country Programme Documents contain reference to environmental sustainability. Of the sampled country documents, all refer to it and countries with proposed investments (e.g. Philippines), contain greater detail. UNESCO's new Country Strategy Guidelines and its project document template require staff to identify an intervention's environmental impact and to identify any pertinent environmental risks.<br><br>Where relevant to the context and its planned interventions, UNESCO Country Programme Documents contain reference to the political context, governance and conflict issues. Of the sample seven country documents, these issues are referred to, though without analysing the political and economic context of the programme in any detail. UNESCO's project document template does make explicit reference to the need to consider fragility or conflict issues.<br><br>UNESCO, as a member of the UN Country Team, takes part in the annual review process of the UNDAF. The annual review is intended to generate lessons on implementation and to ensure the UNDAF is still relevant and effective, for example, following changes in the external environment. In principle, any changes made to the UNDAF as a result of the annual review, should then lead to changes in UNESCO' strategy and workplans, when appropriate.<br><br>UNESCO's template for producing a project/programme final narrative report requires reflection on challenges and lessons learned when it is complete but not during implementation. | 64, 80, 81, 82, 83, 84, 85, 86 |
| **MI 5.2 Evidence confidence** | **Medium confidence** |

| MI 5.3: Capacity analysis informs intervention design and implementation, and strategies to address any weakness found are employed | Score |
|---|---|
| **Overall MI Rating** | **Satisfactory** |
| **Overall MI score** | **3** |
| Element 1: Intervention designs contain a clear statement of capacities of key national implementing partners | 3 |
| Element 2: Capacity analysis considers resources, strategy, culture, staff, systems and processes, structure and performance | 3 |
| Element 3: Capacity analysis statement has been developed jointly where feasible | 3 |
| Element 4: Capacity analysis statement includes clear strategies for addressing any weaknesses, with a view to sustainability | 3 |
| Element 5: Evidence of regular and resourced reflection points with partner(s) that take note of any significant changes in the wider institutional setting that affect capacity | 3 |
| **MI 5.3 Analysis** | **Source document** |
| As UNESCO's Medium-Term Strategy notes "developing institutional and human capacities" constitutes one of its five functions. Capacity development is a feature of each one of UNESCO's Main Lines of Action in every Major Programme implemented by its Institutions as well as sectors. These interventions are targeted at different levels - not necessarily just at national implementation partners. A number of UNESCO's institutes and centres have as their primary objective the building of specialist capacity. For example, the mandate of the International Institute for Capacity Building in Africa, a Category 1 institute under the Education Sector, is to strengthen capacities of teaching institutions in Africa; and the development of specialist skills is a main plank of the Intergovernmental Oceanographic Commission's current strategy.

UNESCO's sectors and institutes also produce knowledge products (e.g. guidelines) that are themselves tools to help practitioners perform specialised capacity analysis and develop capacity. The partner survey reflects the value users put on UNESCO's knowledge products: 30% of total respondents state they are excellent and 41% considered them to very good. UNESCO has developed particular expertise in crisis-sensitive educational planning, information management and capacity building for ministries of education and in supporting and building capacities of national and local stakeholders of UNESCO-designated sites in the governance of natural resources and sustainable development. Where support is given within the context of an UNDAF or with other donors, capacity analysis had been undertaken jointly.

Country Programming Documents provide an analysis of capacity in relation to the planned interventions. The 28 country Capacity Development for Education for All programme had a systematic five-step capacity development approach that assessed and established capacity baselines. This was evaluated as particularly effective due to the way they were tailored to countries' specific needs and their ability to adapt and respond to evolving contexts. Evaluations indicate that the approach of some programmes to capacity building and institutionalisation contributes to the sustainability of the intervention (e.g. Capacity Development for Education for All, and a water programme in Jordan). Normative programmes have as a core component the assessment of capacity, with the goal of building it for the long term. The Intergovernmental Oceanographic Commission's capacity development strategy and UNESCO's Media and Information Literacy programmes provide good examples of this approach. | 3, 13, 15, 38, 44, 45, 58, 64, 68, 80, 81, 82, 83, 84, 85, 86,160, 161 |

There is evidence from some of UNESCO's interventions that it takes a dynamic and fluid approach to capacity building. For example, an evaluation of the Capacity Development for Education for All (CapEFA) programme identifies a reason for its success was its "unique capacity development approach and its solid monitoring and reporting arrangements." An evaluation of the normative work of the Culture Sector noted that UNESCO's support in building institutional and professional capacities generated tangible results. However, there is evidence of an uneven track record: a synthetic review of 68 evaluations noted that many of them highlighted that the interventions lacked strategic capacity development strategies, and activities were characterised as 'ad hoc'.

3, 13, 15, 38, 44, 45, 58, 64, 68, 80, 81, 82, 83, 84, 85, 86,160, 161

UNESCO's Corporate Rolling Evaluation Plan states the intention to undertake 'Evaluation of capacity building mechanisms and instruments' for programmes funded by the Culture Sector in 2017, though noted that funds had not been committed at the time of writing. A decision was subsequently made to prioritise other areas of the Culture Sector's portfolio, and the evaluation will not be conducted.

| MI 5.3 Evidence confidence | Medium confidence |
|---|---|

| MI 5.4: Detailed risk (strategic, political, reputational, operational) management strategies ensure the identification, mitigation, monitoring and reporting of risks | Score |
|---|---|
| Overall MI Rating | Unsatisfactory |
| Overall MI score | 2 |
| Element 1: Intervention designs include detailed analysis of and mitigation strategies for operational risk | 2 |
| Element 2: Intervention designs include detailed analysis of and mitigation strategies for strategic risk | 2 |
| Element 3: Intervention designs include detailed analysis of and mitigation strategies for political risk | 2 |
| Element 4: Intervention designs include detailed analysis of and mitigation strategies for reputational risk | N/E |
| Element 5: Risks are routinely monitored and reflected upon by the partnership | 2 |
| Element 6: Risk mitigation actions taken by the partnership are documented and communicated | N/E |
| MI 5.4 Analysis | Source document |
| UNESCO has a risk management policy that applies to programmes and requires a detailed risk analysis for all new interventions. The new Country Strategy guidance will require national programmes to integrate risk management more strongly into operations. Of total partner survey respondents, 49% were broadly satisfied with UNESCO's management of risk in a given context [excellent (9%) and very good (40%)], whilst 43% considered it 'fairly good'. Overall UNESCO-wide risk management has been seen as incomplete and overstretched. UNESCO is putting in place a programme to strengthen enterprise-level risk management. | 1, 32, 60, 75, 88 |

UNESCO's risk management framework aims to embed risk management in the programme cycle. Management is required to routinely report on the status of risk control systems - in the internal control self-assessment they are required to complete (see Micro-Indicator 4.5 Element 2). Staff are currently required to report 'Challenges and risks in implementation and remedial actions' in results reporting and project level reporting. This is captured on the SISTER system. UNESCO's project preparation procedures require a detailed risk analysis and a description of mitigation measures taken. Its document template requires staff to outline the main risks to the project and the achievement of its outcomes. Potential risks listed are environmental, political, economic and social. Staff are also required to rank the risk and if it is outside the project's direct control, staff are required to indicate how UNESCO will manage and mitigate them.

UNESCO's draft new UNESCO Country Strategy guidance also instructs staff to consider key risks and assumptions. The draft guidance states that: "Risks that could hinder the implementation of projects or the attainment of results should be identified coupled with a strategy to mitigate them." Country Programming Documents produced under preceding guidance generally did not include analysis and mitigation of risk. Several of the interventions were designed to reduce risk for partners (e.g. Disaster risk reduction). The 2007 guidance under which they were written did not instruct that risk be covered – and did mention the issue.

UNESCO's draft new risk management policy establishes a system whereby risks will be routinely monitored at the level at which they are 'owned', and in which unmitigated significant risks are referred upwards. There is clear responsibility for monitoring and referring upwards such risks. Highest order risks should be referred to the Risk Management Committee and should be recorded in the respective corporate risk register.

UNESCO's overall risk management has been perceived as sub-optimal for some time. UNESCO itself noted in 2017 that it needs to "transition to a more formalized and systematic approach". The External Auditor's report on 2016 expressed concern that UNESCO's risk management capacity was overstretched; the Executive Board expressed concern that limitations on the Internal Oversight Office's budget in 2016, meant it could only provide limited assurance regarding 'risk management'. UNESCO has responded to these concerns by taking steps to strengthen its corporate/enterprise-level risk management. A detailed new (draft) risk management policy was issued in early 2017 (dated August 2016) and corporate and unit risk registers are being developed and maintained. This policy sets responsibility for risk that applies at different operational levels and identifies how risks are escalated through the hierarchy of the organisation. It is rolling out training and its Risk Management Committee meets regularly. The implementation roadmap gives June 2018 as the end-date for the introduction of UNESCO's new enterprise risk management policy. If applied robustly and with sufficient resources, UNESCO's new risk management system should address the auditor's concerns. UNESCO reported a series of actions being taken to implement this policy in a response to a draft of this report in December 2018.

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| 1, 32, 60, 75, 88 | |

| **MI 5.4 Evidence confidence** | **Medium confidence** |
|---|---|

| MI 5.5: Intervention designs include the analysis of cross-cutting issues (as defined in KPI 2) | Score |
|---|---|
| **Overall MI Rating** | **Satisfactory** |
| **Overall MI score** | **2.57** |
| Element 1: Intervention design documentation includes the requirement to analyse cross-cutting issues | 3 |
| Element 2: Guidelines are available for staff on the implementation of the relevant guidelines | 2 |
| Element 3: Approval procedures require the assessment of the extent to which cross-cutting issues have been integrated in the design | 2 |
| Element 4: Intervention designs include the analysis of gender issues | 4 |
| Element 5: Intervention designs include the analysis of environmental sustainability and climate change issues | 2 |
| Element 6: Intervention designs include the analysis of good governance issues | 2 |
| Element 7: Plans for intervention monitoring and evaluation include attention to cross-cutting issues | 3 |
| **MI 5.5 Analysis** | **Source document** |
| UNESCO's recently introduced Country Strategy guidance requires the analysis of all the cross-cutting issues under this micro-indicator. UNESCO has particularly clear policies, procedures and guidance that require staff to integrate gender in interventions. This is reflected in project document guidance. Guidance or systems to encourage the integration of other cross-cutting issues is less explicit, though evaluations show that where relevant these cross-cutting issues factor into intervention designs. Design documentation includes the requirement to state how gender equality is addressed in the intervention. As well as its explicit guidance on how to assess gender equality, UNESCO has a network of Gender Focal Points to whom staff can refer for further advice, and extensive technical advice notes on the relevant page of its website. UNESCO's Division for Gender Equality drives gender mainstreaming across the organisation. A key function of Gender Focal Points is to review programme proposals for the extent to which they promote gender equality. The Education Sector's 'Section of Education for Inclusion and Gender Equality' promotes gender equality programming specifically within the sector. The Gender Review of the Global Education Monitoring Report regularly reviews progress on gender equality. UNESCO refers to UNDG's guidance on mainstreaming environmental sustainability and good governance and resilience when conducting context analysis and implementation strategies. | 49, 53, 57 |
| **MI 5.5 Evidence confidence** | **Medium confidence** |

| MI 5.6: Intervention designs include detailed and realistic measures to ensure sustainability (as defined in KPI 12) | Score |
|---|---|
| **Overall MI Rating** | **Satisfactory** |
| **Overall MI score** | **2.5** |
| Element 1: Intervention designs include statement of critical aspects of sustainability, including; institutional framework, resources and human capacity, social behaviour, technical developments and trade, as appropriate | 2 |
| Element 2: Key elements of the enabling policy and legal environment that are required to sustain expected benefits from a successful intervention are defined in the design | 3 |
| Element 3: The critical assumptions that underpin sustainability form part of the approved monitoring and evaluation plan | 2 |
| Element 4: Where shifts in policy and legislation will be required these reform processes are addressed (within the intervention plan) directly and in a time sensitive manner | 3 |
| **MI 5.6 Analysis** | **Source document** |
| UNESCO's interventions include both normative/standard setting programmes and country-level programmes.<br><br>Much of UNESCO's normative work, particularly its support to countries to implement Conventions, is aimed at ensuring an enabling policy or legal environment is in place, and that these are sufficiently robust that they can be readily implemented. For example, with respect to the 2003 Convention on the Safeguarding of the Intangible Cultural Heritage, UNESCO promotes "universal ratification and the effective implementation of the 2003. For 2005 Conventions, UNESCO strengthen the legal, policy and institutional environments that support the diversity of cultural expressions" (98). UNESCO carries out similar role in respect to the other seven Conventions in other sectors. Its ability to support reform processes using its regular budget in all jurisdictions has been limited by resource constraints; but where extrabudgetary funds have been committed, it has been able to provide consistent and well-targeted support. Its support to embedding freedom of expression legislation in Latin America is a good example of this.<br><br>UNESCO's mandate to safeguard the eight international Conventions signed under its auspices means that a lot of work undertaken by units focuses around gathering routine feedback and compiling reports on compliance. In interviews some interlocutors noted that this absorbs a huge amount of work and sometimes with few benefits. They felt there was scope to reduce the burden of reporting, and that this would free up time to drive implementation.<br><br>In terms of country programmes, UNESCO's 2016 project document template requires all interventions to describe how the sustainability of impact will be enhanced. A review of evaluations of interventions that predate this guidance were noted to not take a strategic approach to sustainability. | 58, 64, 68, 85, 98, 117, 118, 119 |

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| A very large proportion of UNESCO's projects aim to build sustainable capability. UNESCO's project design template requires a statement of how the benefits of the project will be sustained after the project ends. It requires a detailed explanation of what will be put in place to secure the continuation of activities, outputs and outcomes after the funding has ceased. It also asks what entity will be responsible for this, and what processes will be put in place to replicate or scale up the benefits of the intervention. The Country Programming Documents reviewed did not generally explain how the sustainability of the interventions outlined would be supported. Again, the guidance under which these documents were written has been superseded. The new UNESCO Country Strategy guidance aims to make sustainability considerations more explicit.<br><br>A synthesis of cross-cutting issues from 68 evaluation reports published between 2008 and 2015 found that many evaluations noted that a sustainability strategy - a statement articulating how achievements would be sustained over the long term - was 'weak or absent'. Some UNESCO evaluations of sectoral interventions analyse and present best practice on how to enhance sustainability of interventions (e.g. in strengthening teacher quality). A review of UNESCO evaluations of its education work in 2016 commented that a consistent theme was a lack of baseline data and a missing evidence base to measure sustainability, amongst other factors. | 58, 64, 68, 85, 98, 117, 118, 119 |
| **MI 5.6 Evidence confidence** | **Medium confidence** |

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|---|---|
| **MI 5.7: Institutional procedures (including systems for engaging staff, procuring project inputs, disbursing payment, logistical arrangements etc.) positively support speed of implementation** | **Score** |
| **Overall MI Rating** | **Satisfactory** |
| **Overall MI score** | **2.25** |
| Element 1: Internal standards are set to track the speed of implementation | 3 |
| Element 2: Organisation benchmarks (internally and externally) its performance on speed of implementation across different operating contexts | 2 |
| Element 3: Evidence that procedural delays have not hindered speed of implementation across interventions reviewed | 2 |
| Element 4: Evidence that any common institutional bottlenecks in speed of implementation identified and actions taken leading to an improvement | 2 |
| **MI 5.7 Analysis** | **Source document** |
| Some of UNESCO's institutional procedures (e.g. extrabudgetary grant management, recruitment) have been found to impede the speed of implementation. As its dependence on extrabudgetary funding has increased in importance, this has become a higher priority and it recently launched an initiative to streamline its procedures. This workstream is underway.<br><br>As it has become dependent on a larger proportion of funding from donors for earmarked projects, UNESCO has taken steps to streamline its institutional procedures that relate to implementing donor funded projects (extrabudgetary funds). A number of evaluations noted that the slow disbursement of funds was an impediment to effective implementation. UNESCO launched an initiative to increase efficiency at headquarters and in the field in 2015. The External Auditor noted at the end of 2016 that it "was too soon to make an assessment" of its initial results but that it could lead to "practical and operational improvements". | 5, 20, 26, 34, 36, 37, 64, 66, 72, 78 |

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| The Secretariat operates a quarterly traffic light dashboard to monitor the financial status of projects by sectors and field offices. A monthly financial report is presented to the Senior Management Team (SMT) with analysis of implementation of extrabudgetary resources. Projects that are problematic are referred to UNESCO's 'Programme Management Committee' (PMC), which meets quarterly. UNESCO's Administrative Manual indicates what internal follow up action should be taken. | |
| There is evidence that UNESCO is acting to address institutional bottlenecks that have been identified. The external auditor recommended that UNESCO identify bottlenecks causing delays in project execution and the allocation of resources for extrabudgetary projects: these projects are increasing in number, but without a commensurate increase in core UNESCO staff.  A working group for extrabudgetary projects is in the process of identifying what the systemic constraints are under an "Invest for Efficient Delivery" initiative. Some changes have been identified. UNESCO proposes to simplify its procedures governing how projects are reviewed; and to focus skills in regional centres for procurement and contracting. Some external audits identified slow recruitment as a bottleneck impeding the speed of implementation (Yangon, Iraq). UNESCO recently revised its recruitment policy with a view to reducing delays and improving its quality. The new policy was issued in November 2017 and by reducing redundant steps and streamlining procedures aims to complete new recruitments within 130 days. | 5, 20, 26, 34, 36, 37, 64, 66, 72, 78 |
| UNESCO is also redesigning its IT systems, with the aim of improving efficiency. It is updating its finance systems, which will now include grant management, and is replacing SISTER with a new planning tool. UNESCO states that processes will be simplified as it redesigns these systems. | |
| **MI 5.7 Evidence confidence** | **Medium confidence** |

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|---|---|
| **KPI 6:  Works in coherent partnerships directed at leveraging and/or ensuring relevance and catalytic use of resources** | **KPI score** |
| **Highly satisfactory** | **3.34** |

UNESCO has a strong track record of working in coherent partnerships directed at leveraging / ensuring relevance and catalytic use of resources. UNESCO has procedures in place to enable it to adapt implementation to reflect the needs of its partners. Bottlenecks have been identified and work is underway to streamline procedures and processes that lead to delays.

UNESCO sees establishing and nurturing partnerships as a primary modality for implementing its strategy. It has perhaps the broadest range of different kinds of partnership of all multilateral organisations. Its partnerships are set within a partnership strategy, which it reports on every two years. UNESCO participates with collective UN efforts to enhance coherence and efficiency at the country level by, inter alia, aligning its planning and programming within UNDAFs. UNESCO has a track record of designing strategies and interventions that aim to encourage synergies and leverage resources and other partners. There are a number of examples of effective practice. However, equally, there is evidence that this is not always achieved in practice. UNESCO aims to strengthen the way it works in an interdisciplinary and integrated way. One of UNESCO's five main functions is to act as a convening power for international action. There is strong evidence that UNESCO entities co-ordinate key business practices to foster this at various stages with their very wide and diverse network of partners.

UNESCO has greatly strengthened the transparency of its information between 2015 and 2017 and is one of 11 UN systems organisations to have adopted IATI standards. Whilst UNESCO appears to lack a formal explicit statement of its standards of accountability to beneficiaries, its procedures for accountability are embedded in its principle programming manual. Given how constrained UNESCO's training resources have been, it is unclear how embedded these procedures are in practice. Participating in the assessment of global commitments has been a key function of UNESCO from the outset. The mandate given to UNESCO in 2015 to lead or participate in the delivery of different SDGs, gives this function a higher profile. There is a great deal of evidence from the different sectors that headquarters sectoral leads and its specialist institutes are leading or participating in multi-stakeholder dialogue at the global and regional level.

The production of specialist knowledge that aims to promote policy dialogue, advocacy and to guide more effective programming is a real UNESCO strength. UNESCO has a very strong track record of producing knowledge in an accessible way that is of use to partner government and other development actors. UNESCO-produced knowledge consistently reaches a large audience, and is accessible in a number of languages.

| MI 6.1: Planning, programming and approval procedures enable agility in partnerships when conditions change | Score |
|---|---|
| **Overall MI Rating** | **Satisfactory** |
| **Overall MI score** | **2.8** |
| Element 1: Mechanisms in place to allow programmatic changes and adjustments when conditions change | 3 |
| Element 2: Mechanisms in place to allow the flexible use of programming funds as conditions change (budget revision or similar) | 3 |
| Element 3: Institutional procedures for revisions permit changes to be made at country/regional/HQ level within a limited timeframe (less than three months) | 3 |
| Element 4: Evidence that regular review points between partners support joint identification and interpretation of changes in conditions | 3 |
| Element 5: Evidence that any common institutional bottlenecks in procedures identified and action taken leading to an improvement | 2 |
| **MI 6.1 Analysis** | **Source document** |
| Procedures are in place to enable UNESCO to adapt implementation to reflect the needs of its partners. Bottlenecks have been identified and work is underway to streamline procedures and processes that lead to delays.<br><br>Mechanisms are in place to allow programmatic changes and adjustments when conditions change. UNESCO's results-based programming guidance makes clear that staff should monitor implementation, in close association with partners and other stakeholders, and adapt the programme if conditions require. UNESCO's Administrative Manual gives clear guidance/procedures on how staff should make a request to 're-programme' an intervention, including at what levels requests should be made. Budget revisions are permitted within parameters set out in UNESCO's Administrative Manual. The partner survey reflects concern that UNESCO is not as flexible as it could be at deploying resources: more than half of respondents (56%) thought UNESCO was fairly good (43%) or fairly poor (13%) at providing flexible resources. | 1, 5, 20, 34, 36, 37, 57, 66, 72, 78, 87 |

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|---|---|
| UNESCO's administrative rules permit changes to be made at the relevant operational level provided the head of that unit has delegated authority to authorise the change. A reference to a timeframe could not be located.<br><br>All projects have a mandatory requirement for the responsible officers to submit monitoring information on a six-monthly basis and, under most donor agreements, to prepare a minimum of one annual narrative progress report. The six-monthly online report requires responsible officers to update progress on expected outputs and results, challenges and lesson learnt in the implementation, cost-effectiveness and efficiency measures, and on contribution of the project to expected results. The frequency of reporting can be greater if the project agreement with the donor specifies this. UNESCO conveys reports to the donor; and requires the responsible officer to prepare a separate note detailing the proposed changes and their justification if adjustment is being recommended. UNESCO organises review meetings with donors and sectors to agree changes. As UNESCO subscribes to UNDAF principles, these review points have been integrated into UNESCO's systems.<br><br>As stated in Micro-Indicator 5.7 Element 4, there is evidence that UNESCO is addressing institutional bottlenecks that have been identified.<br><br>The external auditor recommended that UNESCO identify bottlenecks causing delays in project execution and the allocation of resources for extrabudgetary projects: these projects are increasing in number, but without a commensurate increase in core UNESCO staff. A working group for extrabudgetary projects is in the process of identifying what the systemic constraints are under an "Invest for Efficient Delivery" initiative. Some changes have been identified. UNESCO proposes to simplify its procedures governing how projects are reviewed; and to focus skills in regional centres for procurement and contracting. As mentioned above, a number of external audits identified slow recruitment as a bottleneck impeding the speed of implementation. UNESCO recently revised its recruitment policy with a view to reducing delays and improving its quality. | 1, 5, 20, 34, 36, 37, 57, 66, 72, 78, 87 |
| **MI 6.1 Evidence confidence** | **Medium confidence** |

| MI 6.2: Partnerships based on an explicit statement of comparative advantage e.g. technical knowledge, convening power/partnerships, policy dialogue/advocacy | Score |
|---|---|
| **Overall MI Rating** | **Highly satisfactory** |
| **Overall MI score** | **3.25** |
| Element 1: Corporate documentation contains clear and explicit statement on the comparative advantage that the organisation is intending to bring to a given partnership | 4 |
| Element 2: Statement of comparative advantage is linked to clear evidence of organisational capacities and competencies as it relates to the partnership | 3 |
| Element 3: The organisation aligns its resources/competencies to its perceived comparative advantage | 3 |
| Element 4: Evidence that comparative advantage is deployed in partnerships to positive effect | 3 |

| MI 6.2 Analysis | Source document |
|---|---|
| UNESCO sees establishing and nurturing partnerships as a critical way of implementing its strategy. It has perhaps the broadest range of different kinds of partnership of all multilateral organisations. Its partnerships are set within a partnership strategy, which it reports on every two years. It is a funding recipient, a funder, and uses its convening power to bring global and regional partners together.<br><br>UNESCO has set out its approach to partnerships in a partnership strategy, which it reports on biennially. Reflecting its mandate and operating model, UNESCO has an extraordinarily broad range of partnerships. The breadth of partnerships that the biennial report updates on comprises: the private sector; bilateral funding partners; NGOs, the media; parliamentarians; associations centres and clubs for UNESCO; academic (research and higher education) partnerships; schools; its honorary and goodwill ambassadors; its global network of technical and vocational education and training centres (UNEVOC); and the Category 2 institutes and centres that are affiliated with UNESCO. UNESCO publishes clear documentation targeting the private sector and bilateral donors that set out UNESCO's comparative advantage in partnering with it – and of supporting initiatives ranging from the 'Education for All' goals to supporting the work of the International Hydrological Programme on water security. The Programme and Budget 2018-19 states that: "UNESCO can play a significant role in all its domains as the convener, broker, facilitator and implementer of multi-stakeholder partnerships in support of realizing the 2030 Agenda, acting in closer partnership with government, civil society, private sector, and developing new types of inclusive multi-stakeholder partnerships, supporting also South-South and North-South-South co-operation to implement the SDGs". The Sectors outline their partnership activities in their work plans contained in UNESCO's Programme and Budget documents.<br><br>In its 2012 policy framework for strategic partnerships, UNESCO has set out what it brings to partnerships, and its criteria for entering into them. UNESCO's statements of comparative advantages are based on UNESCO's competencies. UNESCO's 'Partnering with UNESCO' document intended to attract potential donor partners sets out its unique sectoral competencies and operational advantages. Amongst other advantages, it spells out UNESCO's global co-ordination mandate and recognised expertise in delivering some of the SDGs (e.g. technical and vocational education and training (TVET) and higher education, its multi- and inter-disciplinary expertise, and its work on youth, climate change and gender equality in science, technology, engineering and mathematics (STEM).<br><br>UNESCO's latest comprehensive biennial report on the implementation of its partnership strategy monitors whether it is achieving 'expected results' relative to its partnerships with the full spectrum of its partners. UNESCO monitors partnerships against whether they are delivering the expected results and has terminated partnerships that have been problematic (e.g. with private sector organisations that do not pay committed funds). The last biennial report on the implementation of the partnership strategy records the status of current partnerships: ongoing partnerships appear to endure on the basis that both parties are meeting their obligations. | 1, 5, 25, 48, 67, 87 |
| **MI 6.2 Evidence confidence** | **High confidence** |

| MI 6.3: Clear adherence to the commitment in the Busan Partnership for Effective Development Cooperation on use of country systems | Score |
|---|---|
| **Overall MI Rating** | **Highly satisfactory** |
| **Overall MI score** | **3.25** |
| Element 1: Clear statement on set of expectations for how the organisation will seek to deliver on the Busan commitment/QCPR statement (as appropriate) on use of country systems within a given time period | 4 |
| Element 2: Internal processes (in collaboration with partners) to diagnose the condition of country systems | 3 |
| Element 3: Clear procedures for how organisation to respond to address (with partners) concerns identified in country systems | 3 |
| Element 4: Reasons for non-use of country systems clearly and transparently communicated | 3 |
| Element 5: Internal structures and incentives supportive of greater use of country systems | N/E |
| Element 6: Monitoring of the organisation trend on use of country systems and the associated scale of investments being made in strengthening country systems | N/E |
| **MI 6.3 Analysis** | **Source document** |
| UNESCO aligns its programmes with national governments, which are often themselves delivery/implementation partners. UNESCO participates with collective UN efforts to enhance coherence and efficiency at the country level by, inter alia, aligning its planning and programming within UNDAFs.<br><br>UNESCO makes clear its intent to abide by the principles of the QCPR statement. It states that it will "act as an integral part of the United Nations development system at the country and regional levels", and that it will participate fully in the United Nations Sustainable Development Assistance Framework (UNSDAF). UNESCO's Administrative Manual is explicit that partner governments can be implementation partners and that their systems can be used for delivery of an intervention.<br><br>UNESCO requires responsible officers to ensure government entities, that are potential implementation partners, have the capacity to manage the funds and implement project activities. Officers are required to ensure they have appropriate internal controls, capacity and systems in place. Responsible officers must carry out a comprehensive assessment of implementing partners' performance annually.<br><br>Where an assessment indicates unsatisfactory performance by the implementation partner, a senior official from the sector (Assistant Directors General, Directors of Bureaux, or Heads of Field Office) must ensure that either the problem is rectified in a timely manner or UNESCO will terminate the implementation partner's agreement.<br><br>In line with the UNDG UNDAF guidance, which UNESCO subscribes to as a member of the UNDG, and in line with the UN commitment to national ownership through strengthening national capacities, UN activity in a country aims at maximising the use of national systems, including for M&E.<br><br>No documentary evidence – on incentives or disincentives for responsible officers to use country systems – found to date. However, UNESCO staff will be subject to the same incentives as other UN Country Team members. | 1, 5, 25, 66, 114, 115, 116 |
| **MI 6.3 Evidence confidence** | **Medium confidence** |

| MI 6.4: Strategies or designs identify synergies, to encourage leverage/catalytic use of resources and avoid fragmentation | Score |
|---|---|
| **Overall MI Rating** | **Satisfactory** |
| **Overall MI score** | **3** |
| Element 1: Strategies or designs clearly recognise the importance of synergies and leverage | 3 |
| Element 2: Strategies or designs contain clear statements of how duplication/fragmentation will be avoided based on realistic assessment of comparative advantages | 3 |
| Element 3: Strategies or designs contain clear statement of where an intervention will add the most value to a wider change | N/E |
| Element 4: Strategies or designs contain a clear statement of how leverage will be ensured | N/E |
| Element 5: Strategies or designs contain a clear statement of how resources will be used catalytically to stimulate wider change | N/E |
| **MI 6.4 Analysis** | **Source document** |
| UNESCO's Medium-Term Strategy 2014-2021 commits it to reducing "the fragmentation of programmes, building on synergies and cooperation, avoiding redundancies and marginal endeavours, and concentrating all efforts for attaining expected results and greater impact".<br><br>Some of UNESCO's Sector strategies demonstrate this very clearly. For example, the Education Sector's Education for All initiative explicitly aims to build synergy and leverage broader change. A synthetic review of evaluations undertaken up to late 2015 notes that when UNESCO "strategically taps into its broad range of partners and manages to co-ordinate the contribution of multiple partners well, it has been found to make a significant difference" and cites a number of examples: it notes its strengths are "UNESCO's participatory and interdisciplinary programming practices, its large network of institutional partners, and its potential to mobilize and deploy a critical mass of diverse expertise".<br><br>The synthesis of evaluations goes on to comment that "the coalescence of these important ingredients for a relevant and effective intervention seems to be the exception, rather than the rule" and that "a lack of strategic focus that affects the quality and potential for impact of its work at all levels of intervention, limited financial and human resources, issues of coordination and strategic alignment that weaken the potential of the wider UNESCO network, dispersed governance systems, and a number of operational challenges".<br><br>At the country level: UNESCO's draft new UNESCO Country Strategy guidance should drive selectivity at country level. It recommends the selection of 3 to 5 interventions where UNESCO can "credibly demonstrate its comparative advantage and its scale up capacity focusing on few large projects, rather than numerous small programmes".<br><br>In terms of its future direction, UNESCO has committed to "delivering UNESCO's programmes in a more integrated manner through sharpening programme focus and strengthening interdisciplinary and intersectoral approaches" is one of UNESCO's five guiding principles listed in the draft 2018-2021 Programme and Budget. The document states that UNESCO will focus on "developing innovative cooperative initiatives, in particular at country level where the value and relevance of intersectoral engagement is the highest."<br><br>Strategies contained in UNESCO Country Strategy Documents do set out how interventions fit within broader the UNDAF. | 1, 3, 5, 14, 57, 64, 65, 66, 83, 85, 88 |
| **MI 6.4 Evidence confidence** | **Medium confidence** |

| MI 6.5: Key business practices (planning, design, implementation, monitoring and reporting) co-ordinated with other relevant partners (donors, UN agencies, etc.) | Score |
|---|---|
| **Overall MI Rating** | **Highly satisfactory** |
| **Overall MI score** | **3.5** |
| Element 1: Evidence that the organisation has participated in joint planning exercises, such as the UNDAF | 4 |
| Element 2: Evidence that the organisation has aligned its programme activities with joint planning instruments, such as UNDAF | 4 |
| Element 3: Evidence that the organisation has participated in opportunities for joint programming where these exist | 4 |
| Element 4: Evidence that the organisation has participated in joint monitoring and reporting processes with key partners (donor, UN, etc.) | 3 |
| Element 5: Evidence of the identification of shared information gaps with partners and strategies developed to address these | 3 |
| Element 6: Evidence of participation in the joint planning, management and delivery of evaluation activities | 3 |
| **MI 6.5 Analysis** | **Source document** |
| There is extensive evidence that UNESCO participates in joint planning exercises both at the level of sector partnerships and at the country level. UNESCO is engaged in the High-Level Committee on Programmes, and on Management, and the UN Development Group and their working groups. The 2014-2016 programme implementation report cites progress against a large number of inter-agency partnerships led largely by headquarters or Institutes. The draft 2018-19 Programme and Budget (39 C/5) sets out for each of the main lines of work the sector's engagement with other UN and non-UN planning. UNESCO's role in each case ranges from being responsible for managing planning (e.g. in relation to education, ocean sciences) to being a partner (e.g. in relation to the Small Islands Developing States).<br><br>In both its 2016-17 and 2018-19 Programme and Budgets documents UNESCO allocates a portion of its Major Programme activity budget to ensure its field offices are involved in the preparation of common country programming exercise (2% and 1%, respectively). UNESCO's Administrative Manual requires all extra budgetary funds to align with country programming documents including the UNDAF. This is also requested within the SISTER Template at Project level.<br><br>There is extensive evidence from several sectors that UNESCO has participated in opportunities for joint programming where these exist. There are many examples of inter-agency partnerships – from UNESCO's partnership with UNICEF and the World Bank in an Inter-Agency Group on Education Inequality Indicators to a joint programme on empowering girls through education with UN Women, UNFPA and the World Bank.<br><br>There is also some evidence that it has engaged in joint monitoring and reporting processes with partners, particularly in the education field. | 3, 5, 13, 14, 25, 32, 43, 45, 64, 66, 85, 88, 136, 137, 138, 139 |

| | |
|---|---|
| Much of the strategic inter-agency work UNESCO participates in or leads shows that it identifies shared information gaps with partners and that it develops strategies address these gaps. In terms of the education sector alone, UNESCO has focused on identifying gaps and solutions in: sector-wide policy and planning; literacy, technical and vocational education and training (TVET), and teacher training. The UNESCO Institute of Statistics' mandate is focused on identifying information gaps with the global education community and helping to develop strategies to address them. The UNESCO Intergovernmental Oceanographic Commission has a similar mandate with respect to the oceans.<br><br>There is clear evidence of UNESCO's Internal Oversight Service participation in the joint planning, management and delivery of evaluation activities. UNESCO's evaluation policy sets out explicitly how UNESCO supports or participates in joint evaluations or system-wide evaluations. For example, UNESCO was in the management group that oversaw the Review of the UN System-wide Action Plan on Gender Equality and the Empowerment of Women (UN-SWAP) Evaluation Performance Indicator Reporting. It led the evaluation of the Education for All Global and Regional Coordination Mechanisms and co-chaired the UN Evaluation Group's Interest Group on Culture and Evaluation. There is less evidence that UNESCO participates in joint decentralised evaluations.<br><br>UNESCO's new Country Strategy drafting guidance gives very high priority to the need to position UNESCO's strategy within UNDAF mechanisms. The requirement on field offices to articulate UNESCO's strategy within that of the UNDAF is given high priority in the guidance. A selection of UNESCO Country Programmes and Country Strategies reviewed show that both demonstrate the intention to work within the UNDAF. | 3, 5, 13, 14, 25, 32, 43, 45, 64, 66, 85, 88, 136, 137, 138, 139 |
| **MI 6.5 Evidence confidence** | **High confidence** |

| **MI 6.6: Key information (analysis, budgeting, management, results etc.) shared with strategic/implementation partners on an ongoing basis** | **Score** |
|---|---|
| **Overall MI Rating** | **Highly satisfactory** |
| **Overall MI score** | **3.4** |
| Element 1: Information on the organisation's website is easily accessible and current | 4 |
| Element 2: The organisation has signed up to the International Aid Transparency Initiative or reports through the OECD-DAC systems | 4 |
| Element 3: Accurate information is available on analysis, budgeting, management and is in line with IATI or OECD-DAC (CRS) guidelines | 3 |
| Element 4: Evidence that partner queries on analysis, budgeting, management and results are responded to in a timely fashion | 3 |
| Element 5: Evidence that information shared is accurate and of good quality | 3 |

| MI 6.6 Analysis | Source document |
|---|---|
| UNESCO has greatly strengthened the transparency of its information between 2015 and 2017 and is one of 11 UN systems organisations to have adopted International Aid Transparency Initiative (IATI) standards. It recently commissioned an audit to review the status of its transparency work and, when the recommendations are implemented, will further strengthen the quality and breadth of data it posts to IATI. It is also committed to improving the quality of data on its associated Transparency Portal so that it can better serve operational needs with partners. | |
| UNESCO has a clear and detailed corporate statement on the transparency of its information on its public website. The agency signed up to the IATI and has reported its data on the portal since 2015. | |
| In addition to publishing data on IATI, UNESCO launched its own Transparency Portal, also in 2015 to provide more accessible data. The portal, which aims to present financial and activity data in an interactive and intuitive way, "is generally in line with other portals" developed by other UN agencies, according to a 2017 audit by IOS. The audit notes that UNESCO's "datasets on the IATI dashboard score low on the coverage-adjusted score" and recommends a gap analysis is done to drive improvement in this score. UNESCO aims to strengthen the Portal so that it can better support integrated budgets and structured dialogue with donors/partners and has identified three priority areas it will take forward. UNESCO's planned improvements include including a forward-looking budget – by providing project-level indicative budgets; improving the comprehensiveness of information covered; and upgrading to IATI 2.02, forcing it to report data with greater fidelity. UNESCO has since improved its IATI ranking by 78 positions (132th to 55th, as of June 2018). It has also improved its comprehensiveness (72%) and forward-looking scores (100%), and has upgraded to IATI 2.03 since June 2018. The "coverage adjusted score" has in the meantime been discontinued by IATI and is no longer part of the overall score calculation. | 66, 89b |
| In line with UNESCO's corporate access to information policy, the vast majority of UNESCO's data on analysis, budgeting, management and results are available in the public domain for partners to access themselves. Programme partners receive project-level data directly from their implementation partners within UNESCO. | |
| If a partner or member of the public wishes to access data not publicly accessible, they are able to submit a request in line with UNESCO's Access to Information Policy. UNESCO's guidance states that "every request will be acknowledged" and that a "response will normally be provided within 30 calendar days of receipt." | |
| UNESCO states that the information it shares on the IATI portal and on its own transparency portal meet the IATI Activity Standard and the IATI Organisation Standard – a technical publishing framework that allows data to be compared. In addition to publishing its current activities, UNESCO publishes its aggregate budget for a biennium, as well as links to programmatic and financial documents. These data are updated annually. UNESCO's financial information is controlled by the Bureau of Financial Management and these accounts are certified by the External Auditor annually. | |
| More generally UNESCO makes accessible a vast range of information to the general public and its member states. UNESCO also tracks the use of the information it provides in a detailed monthly visibility report. | |
| **MI 6.6 Evidence confidence** | **Medium confidence** |

| MI 6.7: Clear standards and procedures for accountability to beneficiaries implemented | Score |
|---|---|
| **Overall MI Rating** | **Satisfactory** |
| **Overall MI score** | **3** |
| Element 1: Explicit statement available on standards and procedures for accountability to beneficiary populations e.g. Accountability to Affected Populations | 3 |
| Element 2: Guidance for staff is available on the implementation of the procedures for accountability to beneficiaries | 3 |
| Element 3: Training has been conducted on the implementation of procedures for accountability to beneficiaries | N/E |
| Element 4: Programming tools explicitly contain the requirement to implement procedures for accountability to beneficiaries | 3 |
| Element 5: Approval mechanisms explicitly include the requirement to assess the extent to which procedures for accountability to beneficiaries will be addressed within the intervention | N/E |
| Element 6: Monitoring and evaluation procedures explicitly include the requirement to assess the extent to which procedures for accountability to beneficiaries have been addressed within the intervention | 3 |
| **MI 6.7 Analysis** | **Source document** |
| Whilst UNESCO appears to lack a formal explicit statement of its standards, its procedures for accountability to beneficiaries are embedded in its principle programming manual – introduced in 2015. Given how constrained UNESCO's training resources have been, it is unclear how embedded these procedures are in practice. It should be noted that this micro-indicator has only limited relevance when considering UNESCO's global, regional and sector specific normative work – it is more suited to field-based interventions.<br><br>UNESCO's 2015 Guiding Principles for results-based programming, monitoring and reporting makes repeated reference to the need for the interests of beneficiaries to be embedded in these processes. This spans from identifying who will benefit, to whether beneficiaries could be negatively impacted, to ensuring that results are posited from the perspective of beneficiary groups. This guidance is available in the 'Guiding Principles' manual, as in Element 1. There is guidance on how accountability to beneficiaries should be operationalised throughout the manual.<br><br>Staff are required to involve beneficiaries at all stages of the project cycle. UNESCO's project document template also requires staff to analyse who beneficiaries are, and to state how they will be involved in monitoring and in evaluation.<br><br>UNESCO's project document template requires staff to state how they will be involved in monitoring and in evaluation. The agency's Evaluation Policy states that those designing an evaluation should consult beneficiaries to ensure their concerns are addressed by the evaluation. UNESCO's definition of 'relevance' in evaluations is the extent to which, inter alia, the objectives of a development intervention are consistent with beneficiaries' requirements. | 57, 69 |
| **MI 6.7 Evidence confidence** | **Medium confidence** |

| MI 6.8: Participation with national and other partners in mutual assessments of progress in implementing agreed commitments | Score |
|---|---|
| **Overall MI Rating** | **Highly satisfactory** |
| **Overall MI score** | **4** |
| Element 1: Evidence of participation in joint performance reviews of interventions e.g. joint assessments | 4 |
| Element 2: Evidence of participation in multi-stakeholder dialogue around joint sectoral or normative commitments | 4 |
| Element 3: Evidence of engagement in the production of joint progress statements in the implementation of commitments e.g. joint assessment reports | 4 |
| Element 4: Documentation arising from mutual progress assessments contains clear statement of the organisation's contribution, agreed by all partners | 4 |
| Element 5: Surveys or other methods applied to assess partner perception of progress | 4 |
| **MI 6.8 Analysis** | **Source document** |
| Participating in the assessment of global commitments has been a key function of UNESCO from the outset. The mandate given to UNESCO in 2015 to lead or participate in the delivery of different SDGs, gives this function a higher profile. There is a great deal of evidence from the different sectors that headquarter-based sectoral leads and its specialist Institutes are leading or participating in multi-stakeholder dialogue at the global and regional level. At the national level, UNESCO is involved in UN Country Team planning, monitoring and evaluation.<br><br>UNESCO's Results-Based Programming, Management, Monitoring and Reporting Guiding Principles manual encourages staff to conduct performance reviews with partners. The organisation's Evaluation Policy states that "whenever possible" UNESCO will join others in undertaking evaluations managed by the Evaluation Office and by its decentralised entities.<br><br>UNESCO participates in multi-stakeholder dialogue around joint sectoral or normative commitments in all the sectors and with respect to its strategic objectives and cross-cutting strategies. Participating and convening is one of UNESCO's core stated functions and there is strong and consistent evidence that it does this with respect to all strategic objectives.  The mandating of UNESCO to lead or participate in the delivery of different SDGs has given it greater strategic focus and also authority to act at global, regional and national levels.<br><br>There is particularly strong evidence of UNESCO's participation in joint sectoral and normative commitments in relation to education (SDG4), science, technology and sustainable development (SDGs 9 and 17), freshwater (SD 6) and the ocean (SDG 14), cultural heritage (SDG 11) and gender (SDG 5). To give just two examples, with respect to education and the ocean: UNESCO is mandated to lead and co-ordinate the 2030 education agenda and to develop a global monitoring mechanism. It is co-convening agencies and regional partners to review co-ordination and monitoring mechanisms. UNESCO's Intergovernmental Oceanographic Commission is the recognised UN body leading global co-operation on ocean science and delivery of the standalone SDG 14 - it has a leading role in global monitoring and standard-setting. | 1, 3, 5, 6, 7, 17, 47, 57, 64, 67, 105 |

At the country level, UNESCO participates as a member of UN Country Teams in joint analytical work - principally the mandatory Common Country Assessment as part of the UNDAF development: it also participates in multi-stakeholder dialogue during the strategic prioritisation phase of the UNDAF, and in common UN system monitoring and evaluation of the implementation of UNDAF and associated workplan results.

UNESCO contributes to or is the lead author of joint progress statements or status reports in all the areas set out above (with respect to Element 2). UNESCO's contribution is evidenced by reports and its own reporting and by the following examples:

UNESCO was lead author of: the UN Secretary-General's Report on the Implementation of UN Security Council resolution 2347, the first Security Council resolution dedicated to the destruction of heritage and attacks against culture in conflicts; the UN General Assembly report on culture and development. These reports present assessments of progress made by UNESCO, its partners and stakeholders that related to UNESCO's mandate at the global level and indicate its strong influencing power. UNESCO also produced its first Global Report on Culture for Sustainable Urban Development, which presents policy recommendations on urban heritage management as a contribution to SDG11 Target 4 on sustainable cities and the implementation of the New Urban Agenda adopted at the Third United Nations Conference on Housing and Sustainable Urban Development.

1, 3, 5, 6, 7, 17, 47, 57, 64, 67, 105

Documentation from mutual progress assessments contain a clear statement of UNESCO's contribution and will have been agreed by partners.

UNESCO regularly uses surveys and other means of obtaining partner perception of progress in a range of projects, and normative and thematic programmes. Its collaborative work with partners and stakeholders is evident in its conduct of, for example, its CapED programme, the Memory of the World Programme Review of Status and Rules, and how it seeks and uses feedback from stakeholders in the development of 'Internet Universality Indicators'. (Some documents are internal reports of proceedings). UNESCO also surveyed its member states for their perceptions of its own performance in priorities for the current Programme and Budget (C/5).

| MI 6.8 Evidence confidence | High confidence |
|---|---|

| MI 6.9: Deployment of knowledge base to support programming adjustments, policy dialogue and/or advocacy | Score |
|---|---|
| Overall MI Rating | Highly satisfactory |
| Overall MI score | 3.83 |
| Element 1: Statement in corporate documentation explicitly recognises the organisation's role in knowledge production | 4 |
| Element 2: Evidence of knowledge products produced and utilised by partners to inform action | 4 |
| Element 3: Knowledge products generated and applied to inform advocacy at country, regional or global level | 4 |
| Element 4: Evidence that knowledge products generated are timely/perceived as timely by partners | 4 |
| Element 5: Evidence that knowledge products are perceived as high quality by partners | 4 |
| Element 6: Evidence that knowledge products are produced in a format that supports their utility to partners | 3 |

| MI 6.9 Analysis | Source document |
|---|---|
| The production of specialist knowledge that aims to promote policy dialogue, advocacy and to guide more effective programming is a real UNESCO strength. UNESCO has a very strong track record of producing knowledge in an accessible way that is of use to partner governments and other development actors. UNESCO-produced knowledge consistently reaches a large audience and is accessible in a number of languages. | |
| UNESCO's corporate documentation sets out the organisation's role in knowledge production explicitly. Its Medium-Term Strategy 2014-2021 states that promoting access to information and knowledge is its 9th Strategic Objective for the period and that its function is to serve as a 'laboratory of ideas', and to promote 'knowledge sharing' and 'intellectual cooperation'. Knowledge production is a major feature of every Main Line of Action in the current Programme and Budget (38 C/5) and the 2018-2019 Programme and Budget (39 C/5). In addition, the current Programme and Budget establishes how, using proxy indicators, UNESCO will measure the policy impacts of the social and human science knowledge it generates - together with an 'expected result' and 'performance indicators'. | |
| UNESCO has a knowledge management and information & communication technology strategy that relates largely to internal knowledge management. | |
| In the field of education in particular, there is strong evidence that UNESCO's knowledge products have and continue to inform action. A major evaluation of its education work found that "UNESCO's advocacy efforts have been successful in influencing the SDG4-Education 2030 Agenda and garnered support among its partners to introduce otherwise neglected aspects of education in the global sustainable development agenda". | |
| UNESCO's Strategic Results Report and the 18th month Summary Programme Implementation Report provide evidence of a large number of knowledge products, and how they are used by or to assist partners. Knowledge products are used by all UNESCO's sectors as a means to achieve results. | 1, 3, 5, 6, 14, 17, 23, 63, 89a, 90, 91 |
| UNESCO publishes monthly reports that provide detailed analysis of the use of all of its knowledge products by product category. These reports also identify trends. Its monthly reports show how many times PDF publications produced by the different sectors have been downloaded. For example, there were more than 1.8 million downloads of PDFs produced by the sectors or institutes in June 2017. The report also analyses the number of online views of its major publications in various languages. | |
| UNESCO produces a large number of knowledge products designed to inform advocacy at different levels and there is evidence that it achieves this aim - particularly in the education field. All sectors have a track record of producing knowledge products that are used/downloaded. | |
| UNESCO produces annual or biannual reports on trends in freedom of expression, on internet freedom, and on a broad range of other specialist global themes. Probably UNESCO's strongest contribution globally is the Institute for Statistics' (UIS) global leadership role in providing education statistics. The Institute produces data necessary to devise targeted education programmes - providing accessible online tools and publications that are used by all development agencies/governments working in the education field. UIS has the mandate to develop the methodologies, standards and indicators needed to achieve SDG 4–Education 2030. It also now has similar responsibility in relation to key targets in science and innovation, culture and communication. | |
| A 2016 evaluation concluded that UNESCO's Education For All Global Monitoring Report and other technical publications provided funders and national policy-makers "with the strongest evidence available on what education areas and topics needed to be addressed the most". | |

Recent evaluations confirm the relevance and timeliness of UNESCO's knowledge products. One evaluation noted specifically that publications relating to education in India "align well to national priorities" and two recent publications "have been very timely".

There is strong evidence that, particularly in the education field, many of UNESCO's knowledge products are perceived as high quality. A 2016 external evaluation of 250 'Education for All'-related documents, as well as UNESCO's knowledge sharing, and dissemination and advocacy role noted that "The in-house production and wide dissemination of cutting-edge research work… and specialised literature on education topics…enhanced the credibility of the Organization's intellectual leadership". An earlier evaluation specifically of UNESCO's 'Education for All' Global Monitoring Report stated that it was "widely perceived to be a high-quality report". A 2017 evaluation of UNESCO's flagship 2015 UNESCO Science Report (USR) noted that whilst there was "an overall positive appreciation expressed by USR stakeholders and users", its production process and dissemination strategy could be improved. The Science Sector has subsequently developed a time-bound action plan to implement all the recommendations made by the evaluation – including those related to the production process and dissemination. An evaluation of UNESCO's - and indeed the UN's – flagship World Water Development Reports notes that it is "an authoritative source", though noting its communication could be improved.

1, 3, 5, 6, 14, 17, 23, 63, 89a, 90, 91

| **MI 6.9 Evidence confidence** | **High confidence** |

## PERFORMANCE MANAGEMENT

*Systems geared to managing and accounting for development and humanitarian results and the use of performance information, including evaluation and lesson learning*

| KPI 7:  Strong and transparent results focus, explicitly geared to function | KPI score |
|---|---|
| **Satisfactory** | **3** |

UNESCO has improved and strengthened its RBM focus and logic in the past three years. This is evidenced by the first and second Programme Implementation Reports (PIR), the first Strategic Results Report (SRR) and the first Analytical Programme Implementation Report (APIR). There is a clear and evidenced corporate commitment to a results culture. There is strong evidence of alignment to the level of Expected Results across the organisation. There is also some emerging evidence of intra-sectoral understanding of results. All sectors and some Category 1 institutes have mapped how they contribute to the Sustainable Development Goals and Agenda 2030 more broadly.

On the whole, however there remain gaps at two levels in the application of an RBM approach. Firstly, UNESCO lacks a systematic documented explanation of the causal pathways intra and particularly inter sectors. Leading on from this, the second gap is at the level of UNESCO's impact - demonstrating what the aggregation of the sectoral results leads to.

It is therefore not possible to discern if results targets are based on sound evidence and logic.  However, all Corporate Evaluations need to include their own theory of change/Intervention Logic as evidenced in the IIEP Medium-Term Strategy 2014-2017.

There remain concerns that the source of data and method for monitoring is not consistent at the sub-Major Programme level. Therefore, when this is aggregated to Major Programme level its quality may be insufficiently robust to inform decision making.

Recent changes will take time to bed down and to ensure consistency in the quality of monitoring data across all Major Programmes. There is limited evidence within the current body of Strategic Results Reporting of adjustments to plans based on performance data.

| MI 7.1: Leadership ensures application of an organisation-wide RBM approach | Score |
|---|---|
| **Overall MI Rating** | **Satisfactory** |
| **Overall MI score** | **3** |
| Element 1: Corporate commitment to a results culture is made clear in strategic planning documents | 3 |
| Element 2: Clear requirements/incentives in place for the use of an RBM approach in planning and programming | 3 |
| Element 3: Guidance for setting results targets and developing indicators is clear and accessible to all staff | 3 |
| Element 4: Tools and methods for measuring and managing results are available | 3 |
| Element 5: Adequate resources are allocated to the RBM system | 3 |
| Element 6: All relevant staff are trained in RBM approaches and methods | 3 |

| MI 7.1 Analysis | Source document |
|---|---|
| There is a clear and evidenced corporate commitment to a results culture. This is apparent from the updated guidance on RBM approach, the RBM e-learning transcript and the continued commitment to results leadership throughout the budget crisis. However, the necessary guidance for interventions at the field office level is not clear and there is therefore a gap in terms of the full application of an RBM approach. | |
| UNESCO's Strategic Planning documents, the Programme and Budget – C/5 (four-year Programme; 2 Regular Programme biennial Budgets)- are designed to cast UNESCO's action in response to the Overarching and Strategic Objectives identified in the Medium-Term Strategy document (Medium-Term Strategy 37 C/4 (2014-2021). They form the basis for a limited set of Main Lines of Action (MLAs) for each Major Programme and provide a bridge between UNESCO's medium-term and quadrennial programme priorities, and ensure there is alignment between specific programmes, activities or projects and medium-term objectives. MLAs contained in the C/5 specify a Sector's contribution to the achievement of document C/4 objectives, identifying critical areas of intersectoral and interdisciplinary engagement and commitment. There are three programme levels at UNESCO: Level 1: Major Programme (MP); Level 2: C/5 expected result; and, Level 3: Workplan (WP): Regular Programme/Extrabudgetary. | |
| The Results-Based Programming, Management, Monitoring and Reporting Approach documents are evidence of an internalised RBM focus. The updated Results-Based Management Guidance further strengthens UNESCO results focus and language. A Formative Evaluation of UNESCO's results reporting found that UNESCO has a long experience of implementing RBM principles informed by UN system standards. Self-reporting on results in UNESCO have been subject to continuous updates and improvements. Training and guidance materials on self-reporting in SISTER have been produced. Staff awareness of and compliance with self-reporting requirements (in SISTER) have improved. The Records of the General Conference (38th Session Vol 1 2015) also point to a clear corporate commitment to results. | 12, 15, 24, 28, 32, 38, 46, 56, 57, 65, 72, 93, 94, 95, 96, 140, 141, 146, 147, 149 |
| The Secretariat committed in 2017 to achieving several objectives, including: develop an overall strategic coherence of all of the parts of the UNESCO family to deliver a common programme; further develop evidence-based and result-oriented monitoring and reporting; introduce a systematic review and conduct an evaluation of the programme cycle with the objective of strengthening programme delivery; progressively implement results based budgeting as an integral part of results based management (RBM) process; proactively anticipate and manage risks and opportunities along with the development of appropriate strategic plans as critical factors for the attainment of results; move towards compliance with the International Aid Transparency Initiative (IATI) within the United Nations system. | |
| UNESCO's Programme Implementation Reports clearly demonstrate the rigorous nature of UNESCO's RBM systems. New monitoring frameworks are linked to budget and work planning, extrabudgetary project progress and final narrative reports. These build on the programming and monitoring frameworks contained within SISTER at both the C/5 and workplan levels. In addition to these extrabudgetary projects progress and final narrative reports also contain monitoring frameworks linked to the project planning extrabudgetary projects progress and final narrative reports also contain monitoring frameworks linked to the project planning. | |

However, the Lessons from UNESCO's Field Reform (2015) suggest a lack of clear requirements. It is noted that the Field Reform lacked a cohesive and coherent strategy and was not accompanied with a robust plan of action. Indeed, little supporting evidence of a comprehensive intervention logic demonstrating how the reform was to lead to its intended objectives was found. The Lessons document states that, such a tool would be useful going forward to complement UNESCO's ongoing efforts to strengthen Results-Based Management and Results-Based Budgeting practices. No contingency plans were developed to deal with the consequences of the budget crisis in 2011. Despite the fact that key elements of the reform were not implemented or suspended, it is difficult to see any documented visible re-adjustments or scaling back of the initial objectives. After the budget crisis, there was a focus on contingency planning and programming which used an RBM approach.

At the level of programmes, training and guidance materials on self-reporting in SISTER have been produced and the UNDG RBM Handbook is referenced in critical documents. The updated guidance on RBM sets out clear guidance. An 'outline tools document for inception' is available. It sets out skeleton templates and is accompanied by the extrabudgetary project document tools 2017 which provides instructions. Furthermore, the revised RBM Guiding Principles 2017 document is available. The RBM e-learning transcript is a detailed and strengthened training programme, challenging users to reflect on their RBM approach. For example, to reformulate outcomes and outcome indicators to be more useful.

The main tool for programme design is the standard UNESCO project document template which contains detailed guidance notes to project officers on project proposals. During the reporting period, the standard template has been refined to introduce a number of improvements: alignment of RBM terminology with UNDG standard and that of major donors, guidance notes to factor gender equality more explicitly and comprehensively into project design, an improved results framework, clearer presentation for assessing and weighting risks, and establishing a presentation of the budget by Outcome/Output and/or activity as the "default" budget presentation of UNESCO, as well as introducing systematic provision for evaluation and communication in the budget.

In UNESCO's RBM approach there is a section dedicated to defining quantitative and/or qualitative performance indicators, the associated baseline and targets for results. However, it is unclear how or if staff use this information. An Evaluation states that, the indicators / benchmarks are not designed to measure progress towards any sustainable development goal. This has now been remedied in the 39 C/5 Programme and Budget where the contribution of each expected result is mapped to the relevant SDG. The document also details by expected results a performance indicator or a means of assessment.

At the global level, UNESCO defines the contribution of several of the Conventions to their respective policy environments for culture and sustainable development, including concrete objectives and indicators to measure progress. These, in turn, inform the priorities of the 39 C/5. Beyond the 39 C/5, a number of culture Conventions key documents contribute to this picture. For example, the "World Heritage and Sustainable Development policy" in the case of the 1972 World Heritage Convention includes specific objectives.

12, 15, 24, 28, 32, 38, 46, 56, 57, 65, 72, 93, 94, 95, 96, 140, 141, 146, 147, 149

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|---|---|
| UNESCO comments that, because of financial constraints, and in order to optimise resources utilisation, in 2011, the Organisation revisited its operations and structure with regard to the functioning of the RBM system: the BSP RBM dedicated unit in charge of both RBM training and RBM IT support system (SISTER) was split, with a KMI team assuring the overall SISTER maintenance and upgrading, while the RBM training continued to be assured by SP.  In 2016, BSP was restructured and a dedicated Programming, Monitoring and Reporting Section (PMR) team was created. This served also to enhance collaboration between PMR and KMI. At the same time, there has been further refinement of RBM, including regarding monitoring and reporting on results functions. UNESCO has continued to collaborate with other UN agencies on aligning and sharing best practices on RBM practices and methodologies. Collaboration with and membership in the UN Strategic Planning Network. Despite scarce resources, UNESCO has provided training and coaching for staff:<br><br>• In 2014-2015: Overall 221 staff participated in RBM events. Of these 2 coaching meetings for 14 participants, 2 RBM Training workshops for 28 participants, 1 RBM for Managers for 15 participants and 9 RBM Advanced workshops for 115 participants.<br><br>• In 2016-2017: Overall, 208 staff participated to RBM events. Of these 12 coaching meetings for 47 participants; 4 RBM Training workshops for 117 participants; 1 extrabudgetary resource mobilisation workshop with RBM & project design for 42 participants. | 12, 15, 24, 28, 32, 38, 46, 56, 57, 65, 72, 93, 94, 95, 96, 140, 141, 146, 147, 149 |

| **MI 7.1 Evidence confidence** | **High confidence** |
|---|---|

| **MI 7.2: Corporate strategies, including country strategies, based on a sound RBM focus and logic** | **Score** |
|---|---|
| **Overall MI Rating** | **Highly satisfactory** |
| **Overall MI score** | **3.4** |
| Element 1: Organisation-wide plans and strategies include results frameworks | 3 |
| Element 2: Clear linkages exist between the different layers of the results framework, from project through to country and corporate level | 3 |
| Element 3: An annual report on performance is discussed with the governing bodies | 4 |
| Element 4: Corporate strategies are updated regularly | 4 |
| Element 5: The annual corporate reports show progress over time and note areas of strong performance as well as deviations between planned and actual results | 3 |

| MI 7.2 Analysis | Source document |
|---|---|
| UNESCO has improved and strengthened its RBM focus and logic in the past three years. This is evidenced by the first and second Programme Implementation Reports (PIR) and the recent Strategic Results Report and Analytical Programme Implementation Report. The partner survey validates this assessment: 62% of respondents thought UNESCO was excellent (8%) or very good (54%) at using robust performance data to inform policy and strategy decision. Further, 63% of respondents believe UNESCO prioritises a results-based approach (14% said it was excellent, 49% very good). UNESCO's RBM focus and logic is evidenced in both its standard setting and implementation role. This focus is however not yet consistent across all sectors or indeed across all field operations. At present, Culture stands out for its RBM focus.

UNESCO's results chain flows from the Strategic Objectives of the Medium-Term Strategy (C/4), down to the C/5 expected results defined in the Programme and Budget (C/5) to the results of the projects. The narrative (titled Draft resolutions) for each Major Programme includes the Strategic Objectives and precedes the presentation of the expected results (organised as major lines of action). The narrative around Strategic Objectives includes contributions to international agendas (e.g. SDGs; 2030 Agenda; African Union Agenda 2063) as well as areas of intra and intersectoral co-operation. The 39 C/5 expected result table details the outcome to be achieved within the specific timeframe of the C/5 Programme and Budget (95).

The first and second PIR are structured by Expected Results of each Major Programme. There is no single results framework at the level of Major Programme for UNESCO i.e. a framework which summarises progress at the level of all Major Programmes. Going forward to reduce the C5 to key aspects, UNESCO would like to have a results framework in full as an annex of the C5. The feasibility of this is being tested internally. The new Analytical Programme Implementation Report (published for the first time 9th March 2018) sets out an analytical assessment of programme implementation across the five Major Programmes covering the quadrennium (2014-2017) (99). However, a few results frameworks for individual Major Programmes exist. For example, the International Institute for Educational Planning (IIEP) has a results framework. Also, for the purposes of funding proposals, the Education Sector has developed a single integrated Results framework. It mapped and reviewed the Results Frameworks of several Education Sector entities, programmes and Category 1 Institutes. This exercise covers most of the Expected Results of the Education Programme for 2018-2021. The Results Framework was established on the basis of the 39 C/5 and determined the outcome and output level performance indicators. This exercise will be expanded to all Education Expected Results and will be integrated in programme planning and monitoring.

In its 2013 evaluation of the standard-setting work of UNESCO's Culture Sector, UNESCO's Internal Oversight Service (IOS) noted that the Committee's task of monitoring the implementation of the Convention – one of its functions as set out in Article 7 of the Convention – was impeded by the lack of an overall results framework agreed by its States Parties. The results framework of the 2005 Convention is now operational. It includes four goals, 11 areas of monitoring and 33 indicators articulated with the SDGs with the aim to assess the impact of policies and measures developed in the framework of the Convention over time. The framework is included in the 2005 Convention's first and second Global Monitoring Reports published in 2015 and 2018 respectively. A draft results framework was also developed for the 2003 Convention with 26 core indicators across several thematic areas. It was adopted at the last General Assembly in 2018. The Social and Human Sciences sector also have an overall results framework in place. As do other category 1 institutes such as the Institute for Lifelong Learning. All Category 1 institutes feed into the Expected Results Level. | 11, 23, 24, 32, 38, 40, 57, 59, 63, 72, 93, 95, 97, 98, 99 |

UNESCO's Strategic Results Report Annex 1 sets out the aggregated performance of each expected result by Major Programme against the five criteria of: relevance, capacity to deliver, comparative advantage, demonstrable results and sustainability. The Medium-Term Strategy acts as a guide and concept for the development of the Expected Results. There is no aggregation at a higher level from expected result to strategic objectives. However, UNESCO monitors and reports against many Conventions as well as the Sustainable Development Goals and the broader Agenda 2030. As such, it is integral to look for linkages at many different levels within its mandate. This would ideally be done via an RBM approach between different layers of UNESCO's work, including: i) standard-setting and ii) projects and programmes.

**Standard setting work**: There is a clear link between the standard setting work of the Conventions and the available/developed results frameworks. All UNESCO's sectors demonstrate this: Education, Social and Human Sciences, Communication and Information (freedom of expression), Natural Sciences (right to water) and the Culture sector. Where there are currently no results frameworks in place, the main platform that aligns all the work is the Universal Declaration of Human Rights. At the country level, UNESCO works within the UNDAF which aligns with national level priorities.

**Programmes and Projects:** The RBM approach document states that, the starting point for developing an activity or project is to identify how its expected results will contribute to UNESCO's Results Chain. The mechanism through which a Results Chain is formalised in UNESCO relies on the relationship between the respective levels. Expected results of the upstream programme level represent the starting point for conceiving a programme, activity, or project. The document then sets clear expectations for how the different responsible officers should work together. However, the Formative Evaluation found evidence from audits and evaluations of inconsistent use of results terminology (output, outcome, impact) in UNESCO's reporting (e.g. in SISTER and to donors). Given the nature of UNESCO's work, e.g. advocacy, policy advice and standard setting, it is often quite difficult and costly to capture and explain how change is brought about as a result of UNESCO's interventions. This increases the need for a clear articulation of causal assumptions linking activities to results. However, in most areas of UNESCO's work the causal logic underlying activities is not made sufficiently clear. As a result, aspects such as the causal analysis, the choice of indicators, or the scope and coverage of monitoring and reporting, are often weak or incomplete. The limitations of self-reporting (especially on expected results) can only be partially resolved through strengthening validation and self-assessment at higher levels.

11, 23, 24, 32, 38, 40, 57, 59, 63, 72, 93, 95, 97, 98, 99

The updated RBM Guidance document states that in SISTER responsible officers are required, when designing a project, to identify to which C/5 expected result(s) and performance indicator(s) it will contribute towards. Once the project information is completed, it is submitted to the level above launching the validation cycle. This cycle corresponds to a multi-step approach by the Secretariat involving several key milestones and levels of responsibilities of which the following:

- Field Office Director/Head visa: In the case of projects to be implemented by a Field Office, it ensures that the RBM approach is applied and programme coherence at the country level.

- C/5 expected result level responsible officer validation: Ensures that the project follows the RBM approach and that it will contribute to the achievement of the C/5 expected result; ensuring project and C/5 expected result coherence.

Similarly, statutory reports are elaborated in line with the principles of the Results Chain. The projects of the Organisation contribute to the achievement of the results defined in the Programme and Budget (C/5). Accordingly, Progress assessments at the respective programme levels and associated reporting are therefore built through a bottom-up approach.

| | |
|---|---|
| The Director-General Report on ongoing reforms (2017) clearly sets out that UNESCO has changed and improved its annual results reporting. UNESCO's Secretariat has revised the format and periodicity of the EX/4, a document which informs Members of the Executive Board of progress in the implementation of the programme. It focuses, in particular, on the monitoring of output level data. In this regard, as decided by the 38th session of the General Conference (38 C/Res. 99), and in accordance with the new cycle of reporting approved by the Executive Board in 195 EX/Decision 4 (V), the Secretariat will submit a Programme Implementation Report each year, and a Strategic Results Report (SRR) once in the quadrennium. The new EX/4 reporting format and cycle were presented in order to respond to several requests from the governing bodies to improve the format and the periodicity of the reports on programme implementation, to make them more analytical, evidence-based, and better synchronised with the quadrennial programming. | |
| The First Programme Implementation Report (PIR) was a consolidated report presenting an account of progress towards the attainment of the targets defined for the performance indicators of the 38 C/5 expected results under each of the Major Programmes. In addition, it presents strategic summary reports for the two Global Priorities, Africa and Gender Equality, and the UNESCO Institute for Statistics. The second PIR provided an analytical assessment of programme implementation and progress in the delivery of outputs by the five Major Programmes, the UIS and the two Global Priorities, Africa and Gender Equality, covering the period January 2014 to December 2016. Progress is assessed by expected result against related performance indicators and targets as revised in the context of the Expenditure Plans. The current PIR and Strategic Results Report correspond to the current Medium-Term Strategy which runs from 2014 – 2021. UNESCO's strategies for each Major Programme are governed by Conventions or Strategies such as those on Youth, Gender or by Policy Theme (Culture and Sustainable Development, Education For All, Capacity Development for Education). The first and second PIRs demonstrate an assessment of progress. Due to the structure of the reports (by expected results by Major Programme) and what target information is included, progress over time is difficult to aggregate at the sectoral level. | 11, 23, 24, 32, 38, 40, 57, 59, 63, 72, 93, 95, 97, 98, 99 |
| An Outline Tools Document for Inception introduces templates for tools for use during project inception, intended to aid monitoring of results and their evaluation. | |

| MI 7.2 Evidence confidence | High confidence |
|---|---|

| MI 7.3: Results targets set based on a sound evidence base and logic | Score |
|---|---|
| Overall MI Rating | Satisfactory |
| Overall MI score | 3 |
| Element 1: Targets and indicators are adequate to capture causal pathways between interventions and the outcomes that contribute to higher order objectives | 3 |
| Element 2: Indicators are relevant to the expected result to enable measurement of the degree of goal achievement | 3 |
| Element 3: Development of baselines are mandatory for new interventions | 3 |
| Element 4: Results targets are regularly reviewed and adjusted when needed | 3 |

| MI 7.3 Analysis | Source document |
|---|---|
| The breadth and depth of UNESCO's work is captured in the Medium-Term Strategy, the PIRs, the new SRR and in each Convention it monitors and reports against. There is fragmented evidence that explains the logic or causal pathways intersectorally (Major Programmes) or how Major Programmes build a coherent whole. There is less evidence available of intersectoral logic. The dominant flow of logic is from/to the Expected Result level down/up through distinct programmes of sectoral work (whether they be standard setting or interventions). | |
| UNESCO clearly sets expectations about capturing and understanding causal pathways. However, there are difficulties doing this for all areas of UNESCO's work. At the global level and in the case of the 2003 Convention for the Safeguarding of the intangible Cultural Heritage, its vision is already determined by the Convention text, so the Committee's work is to define the results map and RBM framework. However, specific challenges arise from developing an overall results framework for an international normative instrument such as the 2003 Convention, which is atypical of the kind of organisations and programmes on which monitoring and evaluation work typically focuses. It is important to bear in mind that Conventions primarily target Member States: the purpose of Conventions is to influence Member States to implement what is required by the Convention. | |
| Nevertheless, in UNESCO there is evidence of causal pathways between Conventions and Major Programmes as well as Expected Results. For example, with regard to the 2003 Convention on the Safeguarding of the Intangible Cultural Heritage, paragraph (iv) of Strategic Objective 8 of the 39 C/5 states: "promote universal ratification and the effective implementation of the 2003 and 2005 Conventions, and strengthen the legal, policy and institutional environments that support the diversity of cultural expressions, through the safeguarding of intangible cultural heritage…" (98). MLA 2 of Major Programme IV also makes direct mention of the safeguarding of intangible cultural heritage, so does the Expected Result 6 and its corresponding indicators. | 2, 3, 4, 12, 23, 24, 32, 33, 57, 95, 98, 140 |
| In the 39 C/5 Volume 2, the overall causal pathway is described in the narrative text for each Programme 39 C/5 expected result. For example, each culture Conventions corresponds to a C/5 expected result. However, developing overall results frameworks that include targets and indicators enabling to capture simple causal pathways for cultural conventions such as the 2003 Convention on Intangible Cultural Heritage is a challenge. Like much of the United Nations' normative work, the Convention "involves numerous actors, many potential causes and just as many possible effects". Please refer also to information provided under MI 7.2 (relating to Element 1). | |
| To address Element 2 it is necessary to look at UNESCO's normative setting role and its implementation role. | |
| i)  **Standard setting role:** A review of the Results Frameworks (as per MI7.2 element1) for related Conventions in Culture and Education suggests that the indicators will enable a measurement of the degree of goal achievement. | |
| ii) **Implementation role:** The Formative Evaluation found that expected results are formulated on the basis of a political and participatory process, which at times can be cumbersome and lead to an excessively high number of mandated results and performance indicators. Expected results in the C/5 (and EX/4 and C/3), as well as corresponding indicators are inconsistently formulated: they interchangeably refer to activities, outputs and outcomes. This is being progressively corrected and efforts are being made to ensure further consistency and coherence throughout UNESCO. To that effect, an exercise was undertaken with regards to the 38 C/5. Please refer to KPI4 MI 4.3. | |

The PIR sets out expected results, the performance indicators against these and the agreed targets. It is unclear how the measurement of each indicator contributes to the overall achievement of the expected result. It is therefore difficult to ascertain relevance. The narrative which describes the progress against the indicator also does not always tally. So, for example, the narrative may suggest that the target has not been met within the period, but the likelihood of attainment remains high.

The narrative for each PI and information on progress towards reaching the targets presented in the PIR are complemented in SISTER, detailing further both outputs and outcomes achievements.

For each of the 9 Strategic objectives set for 2014-2021 in the 37 C/4, a corresponding Main Line of Action is elaborated in the C/5 (37 and 38 C/5) to translate the Strategic objectives into operational work and quadrennial expected results. All Major Programmes have been conceived in line with the medium-term Strategic objectives.

Baselines have not been included in the PIR, only indicators and targets. Baselines are given in UNESCO's 39 C/5 Programme and Budget document. A Results Framework including baselines for each performance indicator is required for each project/workplan regardless of the funding source.

There is anecdotal evidence that the new Corporate Reporting Documents support the review and adjustment of targets because the PIRs create space for discussion and review of progress against each Major Programme Expected Result. Every six months SISTER also generates an online monitoring report for the Executive Board to use in decision making. As stated in the Report to the Executive Board on activities and on programme implementation (39 C/9 Part II), both the PIRs and SRR have served as a basis for their deliberations and decisions in particular regarding the priorities of the 39 C/5 and for defining UNESCO's role and contribution to the implementation of the 2030 Agenda.

Annex 1 of Invest for Efficiency investment initiatives sets out planned initiatives to improve RBM. The RBM e-learning module transcript has been finalised in close collaboration with HRM. Furthermore, in the field, regional workshops were organised around extrabudgetary projects jointly with other Headquarter entities covering RBM, Resource Mobilization, Human Resources Management, Programming & Financial Management, evaluation/auditing.

UNESCO will further streamline its programmatic focus as needed, to ensure greater impact, as well as cost-effectiveness and efficiency. In accordance with UNESCO's policy to extend the C/5 cycle from two to four years, allowing for adjustments every two years, the Education Sector reprogrammed its activities to reduce the number of expected results for Major Programme I and support better alignment with the Education 2030 agenda. Other examples of action to enhance its programmatic focus and streamline results are: in the 39 C/5, under Major Programme IV Culture, two cross-cutting C/5 expected results have been defined to support the development of a cross-cutting implementation of the conventions: one on emergencies, to stimulated more integrated and co-ordinated responses, and another on the 2030 Agenda, to measure the role of culture and support the culture-engaged achievement of the Sustainable Development Goals by Member States. Furthermore, the Culture and Natural Sciences Sectors will work together to raise awareness on the links between cultural and biological diversity and strengthen the sustainable management of multiple UNESCO designated sites.

2, 3, 4, 12, 23, 24, 32, 33, 57, 95, 98, 140

| **MI 7.3 Evidence confidence** | **High confidence** |

| MI 7.4: Monitoring systems generate high quality and useful performance data | Score |
|---|---|
| **Overall MI Rating** | **Satisfactory** |
| **Overall MI score** | **2.86** |
| Element 1: The corporate monitoring system is adequately resourced | 3 |
| Element 2: Monitoring systems generate data at output and outcome level of the results chain | 3 |
| Element 3: Reporting structures are clear | 4 |
| Element 4: Reporting processes ensure timely data for key corporate reporting, and planning | 3 |
| Element 5: A system for ensuring data quality exists | 3 |
| Element 6: Data adequately captures key corporate results | 2 |
| Element 7: Adequate resources are allocated to the monitoring system | 2 |
| **MI 7.4 Analysis** | **Source document** |

UNESCO has made substantive changes to its organisational level monitoring systems and introduced the PIR, SRR and the APIR. In addition, there has been an improvement in the overall alignment of Category 1 institutes to ensure they are also part of the planning and monitoring processes. In 2018 this process has achieved full harmonisation. These recent changes will take time to bed down and achieve consistency of monitoring data across the Major Programmes. At present, Culture stands out in its application of RBM e.g. Reshaping culture policies monitoring reports under the 2005 Convention on the Diversity of Culture Expressions. However, there remain concerns that the source of the data and methods for monitoring are not consistent at the sub Major Programme level. When this data is aggregated to Major Programme level its quality becomes of questionable value for decision making

UNESCO states that the SISTER System is updated and adjusted regularly; a new system is currently under development and should be launched in 2019. The agency recognises the importance of monitoring in an RBM system and sets out clear expectations and responsibilities for its delivery.

In a follow-up to its diagnostic study of 2013, the IOS Evaluation Office recently completed a Synthetic Review of Evaluations in the UNESCO System covering 261 evaluation reports published between 2009 and 2015. While reports continue to meet basic reporting requirements, the study identifies a number of challenges and proposes recommendations to improve the overall quality and use of these evaluations, which rely heavily on the corporate monitoring system (and therefore the findings are relevant here).

3, 12, 19, 23, 24, 31, 32, 38, 57, 64, 93, 100

The current Programme and Budget allocates budget lines to general programme monitoring and monitoring the gender and Africa strategic priorities. Beyond the budget line in the C/5 for IOS and as per the UNESCO Evaluation Policy ADGs of the five Major Programmes and IOC have been requested to earmark 3% of programme resources for evaluation.

The Formative Evaluation of UNESCO's Results Reporting noted in 2014 that there was a gap between where the Organisation currently stands with results-reporting and the identified expectations by Member States. This has now been rectified. The introduction of the PIRs address several of the concerns raised for generating monitoring level output data. The Strategic Results Report (SRR) sets out expected results/outcomes once in a quadrennium.

UNESCO's monitoring system is based on narrative reporting in SISTER. The reporting is against programmes or projects – an assigned budgetary line. There remains a gap in terms of assessing how all sectoral level work (at output level) comes together and is then monitored at that level. In SISTER there is a clear line of sight from the Expected Results level down.

For each Major Programme, the SRR includes the following components: an overall strategic assessment of outcomes for each Major Programme accompanied by the identification in the "way forward" of proposals for possible improvement, reorientation and adaptation of the programme; detailed assessments by expected result (or by groups of results/MLAs/thematic areas, when the results are thematically related); a matrix, based on the above analysis, rating each expected result according to the five criteria selected by the Executive Board, based on a "high/medium/low" rating scale.

Every six months, self-assessments entered in SISTER 38 C/5 present progress towards the achievement of outputs and outcomes as assessed against related quantitative and/or qualitative performance indicators and associated baselines and targets. Accordingly, in SISTER is an account of progress towards the attainment of each of the targets. It is complemented by a narrative.

Some of the Major Programmes have different and separate monitoring mechanisms. For example, the Global Education Monitoring Report (or GEM Report), formerly known as the Education for All Global Monitoring Report (GMR), is an editorially independent, authoritative, and evidence based annual report that monitors progress towards the global education goal and targets adopted by the international community in 2015, as part of the new sustainable development goals (SDGs). Throughout 2002-2015, the GMR was instrumental in monitoring the international community's progress towards achieving the EFA goals. The GMR analysis provided an important foundation of evidence-based research that paved the way for the development of the post-2015 agenda in education. The Report is widely recognised as an indispensable advocacy and technical tool for ensuring the provision of quality basic education for all and other policy priorities in education and learning. With its renewed mandate in 2015, and drawing on accumulated expertise, the GEM Report team launched a new series of internationally focused education monitoring reports in 2016.

The elaboration of overall results frameworks for Conventions such as those developed for the 2003 and 2005 Conventions as outlined above will facilitate the collection of data at output and outcome levels. The 2005 Convention, which devised a new results framework as part of its first Global Monitoring Report published in 2015 with four goals, 11 areas of monitoring and 33 indicators to help determine the deeper impact of the Convention and progress by Member States to achieve its goals, provides valuable experience. However, time and resources are required over the long term. Progress has been made to further test the framework at the country level and to review the indicators on the basis of lessons learned resulting from country level work. A revised framework has been produced and will serve as the new quadrennial periodic reporting framework to be adopted by the 12th session of the Intergovernmental committee of the 2005 Convention for the Protection and Promotion of the Diversity of Cultural Expression in 2018 and 7th Conference of the Parties meetings held in 2019. Achieving sustainable outcomes also requires mentoring and monitoring activities to accompany beneficiaries in the next stage of the policy-making and delivery process.

The existing systems of periodic reports needs to be strengthened to improve tracking and follow-up on progress made by States Parties with the implementation of conventions. The 2003 Convention is currently preparing adjustments to its periodic reporting system, so it is aligned with the overall results framework under finalisation

3, 12, 19, 23, 24, 31, 32, 38, 57, 64, 93, 100

Corporate Reporting Structures have recently been altered to include the PIR, SRR and APIR and are clear. UNESCO expects that the SRR includes a review of the main lines of action and their respective expected results for each major programme. This is intended to be used to present proposals in the SRR for the continuation, reorientation, including possible reinforcement, exit strategies or termination of the related programmes. The SRR notes that, "(w)hile the programme sectors have adhered to this new reporting format and its framework, there are some variations in approaches and measurements applied to their assessment". In the PIR, there is the option to flag with the colour 'grey' - which the key describes as 'no information yet' - the status of workplan implementation by region. The reviewer noted that in some cases despite a lack of information, an assessment has been made against targets. This raises questions about timeliness of data collection, monitoring and overall data quality.

In SISTER the status information is aggregated from the lower levels (workplans) to the C/5 expected result level (100). For each EX/4 document, a BSP Memo provides overall guidance, format as well as the timeframe for the data entry in SISTER. The guidance is thereafter detailed by each Programme Sector and sent to the concerned Programme Sector staff. Follow-up is ensured by each Programme Sector and three automatic reminders are sent by SISTER to the concerned responsible officers for each key milestone. Data entry has slightly increased at the project level from 85.2% for the PIR 2015 to 87.3% for the PIR 2016.

The method followed in preparing the SRR is a combined self-assessment with the use of external evidence provided by external evaluation, audits and other independent sources. The absence of recent evaluations related to major programmes III (Social and Human Sciences) and V (Communication and Information) is currently being addressed (all sectors, including SHS and CI will be committing up to 3% of their operational regular programme budget for evaluation 2018-2019). By comparison, the Education, Natural Sciences, and Culture Sectors are able to rely on a much broader array of evidence. At the same time, the programme sectors did seek to draw on a range of sources for assessing outcomes, including, for instance in the case of the Communication and Information Sector, the views of beneficiaries of UNESCO-led actions. UNESCO states that several validation steps of data entries in SISTER include the Expected result responsible level, Executive Office level, Bureau of Strategic planning level.

3, 12, 19, 23, 24, 31, 32, 38, 57, 64, 93, 100

The PIRs and SRR reports on the expected results by Major Programme. There is currently no single framework which aggregates performance across all Major Programmes and also against the two Priority Areas. However, for the first time the 39 C/5 includes subjects of multidisciplinary. Self-assessments are undertaken in SISTER for both Global Priorities expected results. Building on these self-assessments, overall strategic assessment of key achievements and challenges encountered in implementation and remedial actions for the five major programmes, the IOC, the UIS and the two Global Priorities, Africa and Gender Equality are presented in the PIR. As already stated, there are challenges capturing data for UNESCO's standard setting mandate.

The current Programme and Budget does allocate budget lines to general programme monitoring and monitoring the gender and Africa strategic priorities. The SRR is an important addition to the standard reporting modalities. The present report is based on a review conducted within each Sector in consultation with Field Offices and Institutes. This review process has allowed each Programme Sector to assess and review their programmes in a systematic manner, receiving feedback from central services (in particular the Bureau of Strategic Planning and Internal Oversight, as well as the Africa Department and the Office of the Director-General). The Strategic Results Report is designed to inform the Executive Board's early discussions on the Draft Programme and Budget of the Organization for 2018-2021 (39 C/5), which will lead to the Director-General's Preliminary proposals for the 39 C/5. Please refer to MI 7.3 Element 4.

| MI 7.4 Evidence confidence | High confidence |

| MI 7.5: Performance data transparently applied in planning and decision-making | Score |
|---|---|
| **Overall MI Rating** | **Satisfactory** |
| **Overall MI score** | **2.75** |
| Element 1: Planning documents are clearly based on performance data | 3 |
| Element 2: Proposed adjustments to interventions are clearly informed by performance data | 2 |
| Element 3: At corporate level, management regularly reviews corporate performance data and makes adjustments as appropriate | 3 |
| Element 4: Performance data support dialogue in partnerships at global, regional and country level | 3 |
| **MI 7.5 Analysis** | **Source document** |
| There have been major changes in approach to planning, monitoring and reviewing strategic information in UNESCO. Currently, there is limited evidence of adjustments to plans being made based on performance data presented in the most recent Strategic Results Reports. A difficulty for UNESCO is that performance data may inform/support global, regional and/or national level key decision makers (through its normative role) but due to the nature of these partnerships, this may not be necessarily reflected in its internal monitoring procedures. At the global level UNESCO's work through its Category 1 institutes (UNESCO Institute for Statistics, IOC and IIEP) is another area where large swathes of partnership working, and influence may not be reported. It would be incorrect to assume that a lack of reporting of performance data on certain aspects of UNESCO's partnership work means that UNESCO has not supported dialogue at various levels and fed back performance into its system to adjust planning and inform decisions for the next cycle. The partner survey supports this perception: more than half of respondents were very satisfied that UNESCO uses robust performance data when designing and implementing interventions (7% thought it was excellent at this, 49% felt it was very good). | |
| The Strategic Results Report is designed to inform the Executive Board's early discussions on the Draft Programme and Budget of the Organization for 2018-2021 (39 C/5), which will lead to the Director-General's Preliminary proposals for the 39 C/5 (Fall 2016). As requested by the General Conference, the Programme and Budget is built on the principles of RBM and progressively Result-Based Budgeting (RBB). Guidance on building on previous achievements and lessons learnt is embedded within the RBM Guiding Principles 2017. Furthermore, within the extrabudgetary Project document template overall purpose and relevance is specifically required to specify how the proposed project builds on previous achievements and lessons learnt. | 23, 57, 91, 93, 94, 101 |
| On the other hand, review of programme performance is regularly undertaken at the senior management level of each Sector, and also collectively under the chairpersonship of the DDG, at the Programme Management Committee (PMC) level, where related issues and challenges are identified, and follow-up actions are decided upon. | |
| UNESCO's policy is for all proposed adjustments to interventions to be clearly informed by performance data. Internal Oversight Expected Result 8 of the 39 C/5 is for "Enhanced evidence-based decision-making, organizational learning, accountability for results and programme effectiveness through the use of evaluation findings and the implementation of recommendations". According to indicator 3 of this expected result, 3% of the operational budget expenditure for all regular programme and extrabudgetary projects will be dedicated to evaluation by 2019. However, at present, there is little evidence to suggest that adjustments are clearly informed by performance data. Evidence for Element 3 is mixed. It suggests that at the corporate level performance data is regularly reviewed. However, there is less evidence of adjustments being made as a result of performance review. | |

UNESCO (and specifically the Communication and Information sector) has implemented the majority of the 15 recommendations laid out in the 2016 Audit Report on the Communication and Information Sector. Following audit Recommendation No. 10, which requested drawing up a more ambitious resource mobilisation action plan, based on a thorough analysis of the Sector's "products", a list of products and services was compiled and distributed at a global staff meeting of the sector. This list has informed the creation of workplans for the 39 C/5 Programme and Budget in CI, particularly for colleagues in the Field, and will contribute to the Sector's fundraising efforts in the future. Further, as a follow up to recommendation No. 12, Programme Sectors will be involved more closely in the performance evaluations of Field staff whose posts are covered under their budget, which will have an impact on future programme planning.

Given UNESCO's standard setting role, the use of performance monitoring data from implemented projects is not necessarily what is required to support dialogue and partnership working. Each Secretariat monitors the implementation of a Convention, this data then informs country and regional level discussions. Indeed, intergovernmental bodies like MAB use the 6 monthly online SISTER reports to inform dialogue and update key stakeholders. In the case of Culture, the Strategic Results Report was used as the basis for developing the 39 C/5 preliminary proposals and the final programme and budget approved by the 39th session of the General Conference. The Strategic Results Report itself was based on the findings of the evaluations which IOS conducted to assess performance of the culture conventions. There was, as such, a direct correlation between performance assessment, programme planning and decision-making in the programme and budget.

23, 57, 91, 93, 94, 101

| MI 7.5 Evidence confidence | Medium confidence |
|---|---|

| KPI 8:  Evidence-based planning and programming applied | KPI score |
|---|---|
| Satisfactory | 2.73 |

UNESCO has many of the features needed to ensure that it applies evidence-based planning and programming, though the system has weaknesses. UNESCO has a functionally independent corporate evaluation system. The Evaluation Office has operational independence although the Head reports to the Director-General and, not surprisingly, not exclusively to the Executive Board.  UNESCO requires the sectors to reflect lessons from evaluations when planning new strategies. At the level of individual interventions, guidance requires staff to show in the project document how an intervention will build on 'lessons learnt'. Country strategies must also reflect on lessons learned, and some do this in detail. However, according to a synthesis of UNESCO evaluations, there is insufficient evaluative evidence in terms of coverage and quality to enable robust lessons to be learned. A strong system is in place to ensure the quality of corporate evaluations, but quality assurance is weaker for decentralised evaluations. Corporate evaluations have strong quality assurance mechanisms built into their implementation. Programme monitoring reports are submitted every six months on UNESCO's system. UNESCO tracks the budget performance of interventions - and poor performance should trigger a management response and action. However, little evidence was available on how UNESCO addresses poor performance (unrelated to timeliness of disbursements). UNESCO's policy states that there is a general principle to provide a management response against each evaluation. The Evaluation Office tracks the status of corporate and system-wide evaluation recommendations, and reports on these to the Executive Board. UNESCO makes all its corporate evaluations publicly available and, in the last two years has taken steps to disseminates lessons to its staff and the broader practitioner community in a more user-friendly and systematic way**.**

| MI 8.1: A corporate independent evaluation function exists | Score |
|---|---|
| **Overall MI Rating** | **Highly satisfactory** |
| **Overall MI score** | **3.29** |
| Element 1: The evaluation function is independent from other management functions such as planning and managing development assistance *(operational independence)* | 4 |
| Element 2: The Head of evaluation reports directly to the Governing Body of the organisation *(Structural independence)* | 4 |
| Element 3: The evaluation office has full discretion in deciding the evaluation programme | 4 |
| Element 4: A separate budget line (approved by the Governing Body) ensures *budgetary independence* | 2 |
| Element 5: The central evaluation programme is fully funded by core funds | 2 |
| Element 6: Evaluations are submitted directly for consideration at the appropriate level of decision-making pertaining to the subject of evaluation | 3 |
| Element 7: Evaluators are able to conduct their work throughout the evaluation without undue interference by those involved in implementing the unit of analysis being evaluated *(Behavioural independence)* | 4 |
| **MI 8.1 Analysis** | **Source document** |
| UNESCO has a functionally independent corporate evaluation service. The Evaluation Office has operational independence, and a discreet budget allocation, and UNESCO's procedures safeguard the ability of evaluators to access any information or persons they need. The Head of the Internal Oversight Service, which houses UNESCO's Evaluation Office (as well its Internal Audit and Investigations Offices), reports to both the Director-General and the Executive Board. The role is accountable directly to the Director-General rather than the Executive Board. The Head of Evaluation can submit reports directly to the Executive Board as well as the Director-General. UNESCO's evaluation function has independence from the operational management and decision-making functions in the organisation. UNESCO's Evaluation Policy and Administrative Manual spell out the conditions that guarantee its independence. UNESCO's evaluation function sits within another unit – UNESCO's Internal Oversight Service. Whilst UNESCO's Administrative Manual notes that the Head of the Internal Oversight Service, which houses UNESCO's Evaluation Office (as well its Internal Audit and Investigations Offices), "reports to and is accountable directly to" the Director-General rather than the Executive Board, the head of evaluation can submit reports directly to the Executive Board as well as the Director-General. The Internal Oversight Service director is appointed for a one-term six-year appointment to underpin the position's independence.  UNESCO's Evaluation Office has full discretion in deciding the evaluation programme: its policy states that the Evaluation Office "has the authority to select topics for evaluation and their timing", and it has sole responsibility for establishing a quadrennial corporate evaluation plan. | 3, 66, 69, 79 |

UNESCO Programme and Budget (C/5) provides a separate budget line (under the heading 'Direction') for the overall Internal Oversight Service. The single budget allocation is not disaggregated and is intended to fund the evaluation, internal audit and investigation functions of UNESCO. The General Conference approves UNESCO's Programme and Budget containing the quadrennial corporate evaluation plan. Once the overall Internal Oversight Service budget envelope is approved by the General Conference, Internal Oversight Service alone has the full authority to allocate resources to the respective oversight functions (evaluation, internal audit, investigation). Whilst evaluations led by the Evaluation Office are financed by core funds, extrabudgetary funds (from project funders) are expected to finance decentralised evaluations. Decentralised evaluations are also not managed by the Evaluation office.

UNESCO's Administrative Manual mandates the Internal Oversight Service with the powers that, in principle, enable it to work without undue interference. The Manual states that the Internal Oversight Office "shall have complete and unrestricted access to" all personnel and "has the right to communicate directly with all levels of staff". UNESCO's Evaluation Policy also explicitly subscribes to the United Nations Evaluation Group 'Norms and Standards for Evaluation', in particular Norm 4, which provides standards for behavioural independence.

3, 66, 69, 79

UNESCO has established an additional body; a standing committee called the Oversight Advisory Committee. The Committee operates in a purely advisory capacity to the Director-General of the Organisation to assist him/her in fulfilling his/her oversight responsibilities, including with regard to the effectiveness of risk management, internal control, and other internal oversight-related matters with respect to the Organisation's operations.

| MI 8.1 Evidence confidence | High confidence |
|---|---|

| MI 8.2: Consistent, independent evaluation of results (coverage) | Score |
|---|---|
| Overall MI Rating | Highly satisfactory |
| Overall MI score | 3.4 |
| Element 1: An evaluation policy describes the principles to ensure coverage, quality and use of findings, including in decentralised evaluations | 4 |
| Element 2: The policy/an evaluation manual guides the implementation of the different categories of evaluations, such as strategic, thematic, corporate level evaluations, as well as decentralised evaluations | 4 |
| Element 3: A prioritised and funded evaluation plan covering the organisation's planning and budgeting cycle is available | 3 |
| Element 4: The annual evaluation plan presents a systematic and periodic coverage of the organisation's Interventions, reflecting key priorities | 3 |
| Element 5: Evidence from sample countries demonstrate that the policy is being implemented | 3 |

| MI 8.2 Analysis | Source document |
|---|---|
| UNESCO's Evaluation Policy sets out clearly the principles determining the coverage, quality and use of evaluations. These principles are explicit on how they apply to decentralised evaluations also. UNESCO's Evaluation Office produces a quadrennial corporate evaluation plan, which is considered a 'living document' and the Evaluation Office has responsibility for ensuring the compilation of a quadrennial decentralised evaluation plan. All extrabudgetary projects are subject to a form of evaluation, be it self-evaluation for projects with budgets under USD 500,000, a self-evaluation with external validation for projects with budgets ranging from USD 500,000 to USD 1.5 million, and a compulsory external evaluation for all projects with budgets of USD 1.5 million and higher. The policy applies a comprehensive set of eight parameters for selecting evaluations. The policy also notes that the Evaluation Office may determine that a decentralised evaluation is designated a corporate-level evaluation and conduct it on behalf of the managing entity of the project be it a programme sector or a field office. | |
| UNESCO's Evaluation Policy 2014-2021 is currently in force.  The IOS Evaluation Office is currently revising its guidelines and tools for evaluation. UNESCO's Administrative Manual, which contains all mandatory practice, also documents the guidelines for the implementation of evaluations. | |
| Prioritised and funded evaluation plans that cover UNESCO's planning and budgeting cycle are available. Internal Oversight Service's Annual Reports provide a backward and forward analysis of progress against these plans. For example, the Indicative Work Programme for 2016/2017 shows what was undertaken in 2016 and sets out activities to be undertaken by quarter in 2017. | |
| Whilst the Internal Oversight Office sets out the work it will lead, including in support of decentralised bodies, it does not currently provide an overview evaluation plan covering decentralised evaluations. Planned decentralised evaluations are posted onto the workspace for Evaluation Focal Points, which is accessible to all UNESCO staff. The workspace is housed on the intranet and not UNESCO's external website. The new online workspace for Evaluation Focal Points invites staff from sectors and field offices to upload evaluation decentralised evaluation plans, so that they can be visible to everyone (especially Internal Oversight Service), and so that the Evaluation Office can backstop upcoming evaluations. Internal Oversight Office's future strategic-level Evaluation Plan is outlined in UNESCO's draft 2018-2021 Programme and Budget (39 C/5). | 5, 39, 43, 63, 64, 66, 69, 79, 95 |
| UNESCO's solid commitment to being clear about which interventions must be evaluated is verified by the partner survey. More than half (56%) of respondents found them to be excellent (14%) or very good (42%) at this. | |
| The UNESCO evaluation policy sets an overall target of 3% programme expenditure (regular and extrabudgetary resources) as the recommended minimum level of investment in evaluation. The Evaluation Office monitors and reports on progress in achieving this target in its Annual Reports. In 2016 1.2% of regular programme resources and 0.6% of extrabudgetary resources were invested in evaluation. It is anticipated that progress toward 3% will be made in the current biennium of the 39 C/5 Programme and Budget as all Sectors have allocated 3% of Regular Programme resources to evaluation. The Oversight Advisory Committee expressed concern regarding decentralised evaluations, noting in its April 2017 report that "implementation has been quite weak; many programmes have not yet complied". Until now, no Sector has allocated 3% towards evaluation. For 2018-2019 the Programme Sectors' investment of Regular Programme resources in evaluation was as follows: 1.42% for Education, 2.75% for Culture, 2.55% for Natural Sciences, 2.65% for Social and Human Sciences, 2.61% for Communication and Information. (Source: 204ex/22 IOS Annual Report for 2017). Data on actual investment of extrabudgetary resources towards evaluation is not available. | |

| | |
|---|---|
| Internal Oversight Office's annual Evaluation Plans appear to present a systematic and periodic coverage of the organisation's centrally managed interventions and priorities. For example, its 2016-2017 plan sets out the timetable for programme evaluations in each of UNESCO's sectors, and how it will support decentralised evaluations systems. However, there is less confidence that UNESCO's decentralised entities and extrabudgetary activities have sufficient coverage. The workspace on UNESCO's intranet for Evaluation Focal Points allows for programme sectors to indicate which decentralised evaluations are planned each year. These are made available to all UNESCO staff, but not externally. Internal Oversight Service concluded, after collecting decentralised evaluations produced in 2016 that "decentralized evaluation activity remained limited". | |
| Internal Oversight Office's Evaluation Plan, as presented in the draft 2017-21 Programme and Budget, states that it will provide full evaluation coverage of each expected result area of the C/5 over the course of the four-year programme cycle and that the "evidence-based findings and recommendations from evaluation will thereby serve as an essential input to the Strategic Results Report". | 5, 39, 43, 63, 64, 66, 69, 79, 95 |
| There is evidence that UNESCO's evaluation policy is increasingly being implemented but that significant challenges remain. Internal Oversight Office's own 'Synthetic review of Evaluations in the UNESCO System' of 2015 found that "the current evaluation coverage is fragmented and uneven, and that there are significant challenges to improving the quality of decentralized evaluations". The Internal Oversight Office recommends that UNESCO "should develop a clear definition of a programmatic area of work, which should be tied to a standardised information cycle, it should strengthen its decentralized evaluation system, and it should improve its data collection and tracking system of decentralized evaluation reports". | |
| Progress has been made insofar as the Oversight Advisory Committee reported on a review of implementation of the evaluation work plan and "was pleased to note the availability of extrabudgetary funds for certain evaluations" noting that it "has enabled the evaluation function to cover more programmatic areas and to bring greater value to UNESCO". It also noted that "good progress" has been made in implementing the Evaluation Strategy and Guidelines. | |

| MI 8.2 Evidence confidence | High confidence |
|---|---|

| MI 8.3: Systems are applied to ensure the quality of evaluations | Score |
|---|---|
| Overall MI Rating | Satisfactory |
| Overall MI score | 2.6 |
| Element 1: Evaluations are based on design, planning and implementation processes that are inherently quality oriented | 3 |
| Element 2: Evaluations use appropriate methodologies for data-collection, analysis and interpretation | 3 |
| Element 3: Evaluation reports present in a complete and balanced way the evidence, findings, conclusions, and where relevant, recommendations | 2 |
| Element 4: The methodology presented incudes the methodological limitations and concerns | 2 |
| Element 5: A process exists to ensure the quality of all evaluations, including decentralised evaluations | 3 |

| MI 8.3 Analysis | Source document |
|---|---|
| A robust system is in place to ensure the quality of corporate evaluations, but this system is weaker for decentralised evaluations. Corporate evaluations have strong quality assurance mechanisms built into their implementation. As a form of quality assurance, UNESCO's Evaluation Office commissions meta-analyses of decentralised evaluations and is establishing new measures to improve their quality and address shortcomings. The meta-analyses also include corporate evaluations in addition to decentralised evaluations. The Evaluation Office is subject to periodic peer review and regular oversight by the Oversight Advisory Committee. | |
| Evaluations either managed or commissioned by the Evaluation Office appear to be based on stronger design, planning and implementation processes than decentralised evaluations. Those managed by the sectors or field offices have been identified as generally weaker in the latest three synthetic reviews of evaluation reports. The performance of the Education Sector's decentralised evaluation practice, the sector with the largest budget, can be seen as a proxy for UNESCO's other sectors: in its report on 2016 education evaluations, the IOS found that "none of the eight decentralized reports fully met widely accepted UNEG and OECD standards". The Evaluation Office has established an Evaluation Focal Point network to strengthen decentralized evaluations. Monitoring is not covered by this network and is not under the responsibility of IOS. The network covers all fields of interventions. | |
| Corporate evaluations managed or commissioned by the Evaluation Office appear to use stronger methodologies for data-collection, analysis and interpretation. Decentralised education evaluations carried out in 2016 "were found to rely less on triangulation (use of multiple sources of data and methods to validate findings)". | 38, 43, 64, 65, 68, 69, 79 |
| Whilst evaluations managed or commissioned by the Evaluation Office generally appear to present in a complete and balanced way the evidence, findings, conclusions, and recommendations, decentralised evaluations have been weaker in this respect and did not "set out the methodology used and its limitations". | |
| UNESCO sets out a clear process to ensure the quality of all evaluations, including decentralised ones, in its Evaluation Policy. The quality assurance mechanisms for corporate and decentralised evaluations have been set to meet the UN Evaluation Group's norms and standards. The Evaluation Office quality assures the process for corporate evaluations - using reference groups and expert groups. In addition, each Corporate Evaluation report is reviewed by an independent evaluator based on the UNEG Quality Checklist for Evaluation Reports. It conducts periodic meta-evaluations to assess the quality of reports across UNESCO and conducts synthetic reviews of completed evaluations. These meta-evaluations and synthetic reviews of evaluations have identified weaknesses in decentralised evaluations and has led the Evaluation Office to introduce additional measures to improve quality including the training of evaluation focal points on evaluation methodology. | |
| UNESCO's Evaluation Policy notes that the evaluation policy and function will be periodically externally peer reviewed. The Oversight Advisory Committee noted in its April 2017 report that the Internal Oversight Service is interested in conducting a baseline analysis of UNESCO's oversight system - constituting a self-assessment with external validation. The Oversight Advisory Committee formally recommended to the Director-General that the evaluation function is subjected to a peer review by 2019. | |
| **MI 8.3 Evidence confidence** | **High confidence** |

| MI 8.4: Mandatory demonstration of the evidence base to design new interventions | Score |
|---|---|
| **Overall MI Rating** | **Satisfactory** |
| **Overall MI score** | **2.33** |
| Element 1: A formal requirement exists to demonstrate how lessons from past interventions have been taken into account in the design of new interventions | 3 |
| Element 2: Clear feedback loops exist to feed lessons into new interventions design | 2 |
| Element 3: There is evidence that lessons from past interventions have informed new interventions | 2 |
| Element 4: Incentives exist to apply lessons learnt to new interventions | N/E |
| Element 5: The number/share of new operations designs that draw on lessons from evaluative approaches is made public | N/E |
| **MI 8.4 Analysis** | **Source document** |
| UNESCO requires the sectors to reflect lessons from evaluations when planning new strategies. At the level of individual intervention, guidance requires staff to show in the project document how an intervention will build on 'lessons learnt'. However, as noted in relation to Micro-Indicator 8.3, in two of UNESCO's major programme areas there are insufficient evaluations to draw lessons from, and a synthetic analysis of recent evaluations showed that quality shortcomings limit the quality of evidence that can be derived from them. The establishment of an Evaluation Focal Point network in combination with the 3% investment in evaluation should improve the quality of project evaluations at the country level; in turn this should provide UNESCO with more evaluative evidence / lessons learned that can feed into project and programme design.<br><br>UNESCO's Evaluation Policy states that evaluation findings are supposed to be used to inform whether programmes should be continued, reoriented or ended. There is evidence that where evaluations exist this is carried out to inform sector strategies. There is also some evidence that evaluations inform the design of individual new interventions.<br><br>As set out in KPI 7, the agency adopted a new approach to planning in its Strategic Results Report covering the 2014-15 biennium. The Strategic Results Report (SRR) "provides a strategic assessment of programme performance of the five Major Programmes covering the period 2014-2015, with the use of external evidence provided by external evaluations, audits and other independent sources undertaken in the recent past". The report aims to inform strategic decision-making for the subsequent Programme and Budget. Each of the Major Programmes refer to lessons from previous evaluation findings, lessons and recommendations as they relate to their overall strategic programmes or specific expected results – IOS evaluation reports were cited at least 25 times, according to IOS's count.<br><br>UNESCO took from this first SRR exercise that in two of its five major programme areas there was an "absence of recent evaluations" and that this "constituted a particular challenge" but will be addressed. A synthetic analysis of 261 evaluations conducted between 2009 and 2015 concluded that only a fifth of UNESCO's expected results could draw on evaluations that met minimum requirements for assessing the relevance and effectiveness of programmatic work.<br><br>UNESCO's Administrative Manual states there is a need to demonstrate how lessons have been considered. It states that new programme proposals should draw on "the findings of evaluations and regular monitoring" and that "each Major Programme should incorporate as appropriate…monitoring and evaluation". UNESCO's Evaluation Policy "meets annually with UNESCO entities to identify how evaluations have led to improvements in strategic direction, programme/project design and implementation" and monitors and reports to the Executive Board on "improvements in programmes". | 3, 7, 23, 43, 64, 66, 69, 88 |

| | |
|---|---|
| Although the draft new UNESCO Country Strategy guidance requires an explanation of how the new programme will be monitored and evaluated, it does not require drafters to demonstrate how past lessons have been considered.  UNESCO's Project Document Template, introduced in 2016, requires responsible officers to "build on previous achievements and lessons learnt" explaining in a footnote that these can be drawn from "a previous phase of the project, or an evaluation or audit". The template also requires officers to set out an evaluation plan from the outset and to budget for it.<br><br>UNESCO's Evaluation Policy states that the IOS Evaluation Office holds annual consultations with entities to discuss evaluation follow-up. These consultations are to be used by the IOS Evaluation Office to learn how evaluations are being used to improve policy, programme design and implementation.  At present the feedback loop is implicit in some programme designs.<br><br>There is evidence that evaluation lessons from past interventions inform new interventions. For example, the status report on the implementation of the CapED evaluation lists lessons for the design of the follow-on phase of the programme; the current MAB Strategy and Action Plan was informed by recommendations from the final evaluation of the last programme; and the CapED programme organised study visits between countries explicitly to enable lesson learning that would inform new interventions.<br><br>More broadly, there is a requirement for officers to indicate challenges, corrective actions and lessons learned within UNESCO's SISTER programming tool. The intention is that these lessons inform the planning of new interventions. However, at present, the evidence is of implicit lesson learning based on experience, thematic knowledge and key stakeholder discussions informing new intervention design. | 3, 7, 23, 43, 64, 66, 69, 88 |

| MI 8.4 Evidence confidence | Medium confidence |
|---|---|

| MI 8.5: Poorly performing interventions proactively identified, tracked and addressed | Score |
|---|---|
| **Overall MI Rating** | **Unsatisfactory** |
| **Overall MI score** | **2** |
| Element 1: A system exists to identify poorly performing interventions | 2 |
| Element 2: Regular reporting tracks the status and evolution of poorly performing interventions | 3 |
| Element 3: A process for addressing the poor performance exists, with evidence of its use | N/E |
| Element 4: The process clearly delineates the responsibility to take action | 1 |

| MI 8.5 Analysis | Source document |
|---|---|
| Programme monitoring reports are submitted every six months on UNESCO's system. UNESCO's SISTER system tracks the budget performance of interventions and the substantive performance of interventions.  Poor performance of either should trigger a management response and action.<br><br>As indicated, UNESCO has a system to identify and act against poor spending performance by a project, or, programme and at the C/5 level. At the project and programme level, UNESCO's SISTER system also tracks qualitatively poor performing interventions.  Responsible officers enter qualitative monitoring data on SISTER as well as financial performance data. They grade the performance of the intervention according to a traffic light system (indicating 'on track', 'partly on track', 'not on track'). This system identifies poorly performing programmes but it can equally miss a poorly performing intervention if someone sets low expectations for the cycle (i.e. it will come out green for that cycle but not necessarily on track for the overall implementation). | 22, 66 |

As set out in Micro-Indicator 6.1 all projects have a mandatory requirement for the responsible officers to submit monitoring information on a six-monthly basis and to prepare a minimum of one annual narrative progress report. The six-monthly report requires responsible officers to update progress on challenges and lesson learnt in implementation. The project document template also requires officers to set out how they will monitor a project. Projects are closely followed by Financial Officers. No process for addressing poor performance is available. The UNESCO partner survey indicates that partners are not clear on how UNESCO addresses poor performance with a quarter of the total sample responding 'don't know' to the question.

In general, responsible officers (at Assistant Director or Director of Sector/Bureau/Office level) are responsible for reviewing progress against workplans and identifying obstacles - and feeding any persistent obstacles upwards. UNESCO's Bureau of Strategic Planning provides responsible officers with guidance on the format and timing for data entry on SISTER. SISTER automatically sends reminders to responsible officers if milestone data has not been provided.

| | 22, 66 |

| **MI 8.5 Evidence confidence** | **Medium confidence** |
|---|---|

| **MI 8.6: Clear accountability system ensures responses and follow-up to and use of evaluation recommendations** | **Score** |
|---|---|
| **Overall MI Rating** | **Satisfactory** |
| **Overall MI score** | **3** |
| Element 1: Evaluation reports include a management response (or has one attached or associated with it) | 3 |
| Element 2: Management responses include an action plan and/or agreement clearly stating responsibilities and accountabilities | 3 |
| Element 3: A timeline for implementation of key recommendations is proposed | 3 |
| Element 4: A system exists to regularly track status of implementation | 3 |
| Element 5: An annual report on the status of use and implementation of evaluation recommendations is made public | 3 |
| **MI 8.6 Analysis** | **Source document** |
| UNESCO's policy states that there is a general principle to provide a management response to each evaluation. The Evaluation Office tracks the status of follow up of corporate and system-wide evaluation recommendations, and reports on these to the Executive Board and also the Oversight Advisory Committee.<br><br>UNESCO's Evaluation Policy states that evaluation reports contain a management response "as a general principle". This is repeated in UNESCO's Administrative Manual. The policy states that the response should be submitted no later than a month after the completion of the evaluation. According to UNESCO's Evaluation Policy the management response should include actions to be taken in response to significant recommendations. These form an annex to the final evaluation report. The policy states that "in most circumstances" an action plan "containing details on how management intends to address individual recommendations" is drafted on the back of the evaluation. | 43, 66, 69, 79 |

| | |
|---|---|
| Action plans are made using a template that requires the accepted recommendation, the planned actions to implement the recommendations, who has responsibility for action and, relevant for this element, the expected date of completion. UNESCO has a system to track the status of key recommendations. Entities that 'own' an evaluation 'in most circumstances' produce 'action plans' that set out how management intends to address accepted recommendations. These are updated by the responsible programme unit twice a year. The IOS Evaluation Office uses these to monitor progress by "reporting to the Executive Board annually on the status of implementation of corporate and joint/system-wide evaluation report recommendations". The Senior Management Team has as a quarterly standing agenda item on the status of evaluation recommendation follow-up. The status is also reported periodically to the Oversight Advisory Committee. The partner survey verifies that the systematic follow up of evaluation recommendations is becoming stronger: 14% of respondents said it was excellent, 32% very good and 42% fairly good. | 43, 66, 69, 79 |
| The IOS Annual Report, which is a public document, sets out the status of implementation and reports on highlights showing how evaluations have contributed to strengthening UNESCO's interventions. The IOS report to the end of 2016 states that there were 54 open recommendations for 11 evaluations undertaken since 2013 (a decrease from 69 the previous year). It reports how evaluations contributed to the Strategic Results Report, to improving guidelines for the Associated Schools Project Network, and how it contributed to developing a stronger co-ordination strategy for the SDG4-Education 2030 Agenda. | |

| MI 8.6 Evidence confidence | High confidence |
|---|---|

| MI 8.7: Uptake of lessons learned and best practices from evaluations. | Score |
|---|---|
| Overall MI Rating | Satisfactory |
| Overall MI score | 2.5 |
| Element 1: A complete and current repository of evaluations and their recommendations is available for use | 2 |
| Element 2: A mechanism for distilling and disseminating lessons learned internally exists | 3 |
| Element 3: A dissemination mechanism to partners, peers and other stakeholders is available and employed | 2 |
| Element 4: A system is available and used to track the uptake of lessons learned | 2 |
| Element 5: Evidence is available that lessons learned and good practices are being applied | 3 |
| Element 6: A corporate policy for Disclosure of information exists and is also applied to evaluations | 3 |
| MI 8.7 Analysis | Source document |
| UNESCO makes all its Corporate evaluations publicly available and, in the last two years has taken steps to push out lessons to its staff and the broader practitioner community in a more user-friendly and systematic way. It is unclear whether there is a formal obligation to ensure future interventions consider lessons drawn specifically from evaluations. Decentralised evaluations processes and systems for uptake of lessons learned and best practices are less formalised. The partner survey verifies a system that is largely satisfactory. Respondents felt that UNESCO were in the main good at identifying and addressing under performance. 36% very good at identifying and 39% said they were very good at addressing under performance. 32% said they were fairly good at identifying under performance and 35% remarked they were also fairly good at addressing any underperformance. | 43, 44, 64, 68, 69, 70, 84 |

A complete repository of corporate evaluations, including their recommendations, is publicly available on the Internal Oversight Office's website: www.UNESCO.org/ios. Decentralised evaluation reports are now being uploaded on the intranet for internal staff.

UNESCO has various mechanisms for distilling and disseminating lessons learned. In its Evaluation Policy IOS requires those conducting decentralised evaluations to have a dissemination plan. The partner survey verified growing strength in this area, 17% of respondents said UNESCO was excellent at learning from experience (31% said they were very good).

Internal Oversight Office's Evaluation Office also uses key insights and lessons learned from its annual 'synthetic evaluations' to distil insights, of which the report on 2016 education evaluations is an example. The Evaluation Office has also established an internal 'community of practice' (Evaluation Focal Points) who are used to sharing experience and knowledge, and communicate findings, recommendations and lessons learned, particularly on decentralised evaluations. The IOS's Evaluation Office also produces an online newsletter containing an overview of key evaluations, short summaries of key findings and lessons learned as well as other topics in evaluation or evaluation issues (Evaluation Insights). IOS reports that the 10 evaluation reports and case studies it released in 2016 were downloaded over 4,200 times.

UNESCO has a robust method of dissemination for both evaluations and lessons learned. UNESCO's Evaluation Policy states that all evaluation reports must be disseminated to implementation partners, Member States (the Executive Board and General Council), UNESCO entities, the general public, and donors. Evaluations are also posted on the UNEG evaluation report portal for UN colleagues, and the general public can access the reports via the Evaluation Office website.

43, 44, 64, 68, 69, 70, 84

The Evaluation Office's requirement for corporate evaluations to result in an Action Plan, and twice-yearly reporting enables it to track follow-up to recommendations and actions taken in relation to key lessons.

All UNESCO Country Programme Documents are asked to set out lessons learned from their previous programmes and partnerships. From the sample reviewed, some show clear learning and adaptation from previous experience, whilst others treat this requirement more cursorily. UNESCO's Administrative Manual requires final reports of extrabudgetary projects to set out lessons learned, and a synthetic review of evaluations found that of 187 evaluations surveyed, 87% set out lessons learned. None of the sources mandated that these lessons must include lessons from evaluations.

UNESCO has a clear and detailed corporate statement on the transparency of its information on its public website (https://en.UNESCO.org/this-site/access-to-information-policy). The policy states that corporate evaluations are publicly accessible.

| MI 8.7 Evidence confidence | High confidence |
| --- | --- |

## RESULTS

*Achievement of relevant, inclusive and sustainable contributions to humanitarian and development results in an efficient way*

| KPI 9: Achievement of development and humanitarian objectives and results e.g. at the institutional/corporate wide level, at the regional/corporate wide level and, at the regional/country level, with results contributing to normative and cross-cutting goals | KPI score |
|---|---|
| Satisfactory | 2.64 |

The evaluative evidence combined with self-assessment reports (Programme Implementation Reports and APIR) broadly indicate UNESCO interventions achieved their objectives. According to the Programme Implementation Report all Major Programmes are on track and/or have achieved their expected results. Furthermore, UNESCO's interventions are designed to improve gender equality and are pushing for gender transformative work.

However, the evaluative basis for assessing results across the complete spectrum of UNESCO's work is very limited. There is a results gap in internal corporate monitoring systems, noted by the Synthetic Review of UNESCO Evaluations. This makes it very difficult to report on results and impact at the level of the Major Programme and above.

UNESCO achieves a strong fit with national programmes. As a specialised agency of the UN, UNESCO works directly with partner governments on many potential avenues that could contribute to attaining development results at the national and/or global level. UNESCO and its Category 1 Institutes partner with governments throughout the policy process to deliver sustainable results. Interventions oftentimes feed into normative, standard setting work being carried out under a sectoral umbrella. Indeed, the partner survey data demonstrates this fit with national programmes and results of partner countries. There was broad consensus amongst respondents, 50%, that UNESCO's interventions are a very good fit. Tailoring interventions to the needs of the local context was also rated as very good (41% of respondents) and excellent (14% of respondents). Evaluative evidence is more mixed in relation to realising positive benefits for target group members.

Cross-cutting work is strong but lacks formal evaluative evidence. As noted in KPI2, UNESCO leads global debate and implementation in human rights and several specialised areas of environmental sustainability and climate change. It also dedicates a large proportion of its programming to good governance. However, there has been no formal assessment of UNESCO's corporate contribution to these and other significant areas above the level of expected result.

The Partner survey verified UNESCO's position on promoting human rights and gender equality. Both scored relatively highly, achieving excellent (26% and 21% respectively) and very good ratings (39% and 42%). Scores for good governance and environmental sustainability were slightly lower for excellent responses (11% and 16%) and slightly higher for very good responses (both 46%).

| MI 9.1: Interventions assessed as having achieved their stated development and/or humanitarian objectives and attain expected results | Score |
|---|---|
| MI Rating | Satisfactory |
| MI score | 2.5 |

| MI 9.1 Analysis | Source document |
|---|---|
| Broadly, the evaluative evidence combined with self-assessments (Programme Implementation Reports) report that interventions achieved their objectives. The Programme Implementation Report state that all Major Programmes are on track and/or have achieved their expected results. There is no aggregation of results at the sectoral level (what all the Expected Results deliver) and there are gaps in evaluation coverage which are currently being addressed. UNESCO intends that 3% of the operational regular budget allocated for evaluation will fill in these gaps. Further evidence (which would require verification) of significant results at the objective or goal level is found in sector specific or Convention reports.<br><br>For example, from the Cultural Sector, the 2017 Heritage Emergency Fund Annual Progress Report (Results Framework in place for first time in 2017) states that it "successfully fulfilled a catalyst and multiplier role both at the activity and global level (in 2017)". It goes on to cite as evidence that in March 2017 the G7 convened for the first time a dedicated meeting on culture. On this occasion, the G7 also formally adopted the Florence Declaration and it was "the first time the G7 group expressed itself on the issue of culture heritage protection". In addition, in July 2017 UNESCO "...at the invitation of the Office of the Prosecutor of the International Criminal Court (ICC), contributed a special policy paper on the protection of cultural property". The policy paper was judged to have encouraged the Office of the Prosecutor to systematically investigate and prosecute crimes related to cultural property. A Letter of Intent between the ICC and UNESCO was signed on 6 November 2017. This followed on from the first conviction the ICC has brought for war crime charges against a defendant for the destruction of cultural sites relating to the 2012 attacks against religious and historic buildings in Timbuktu, Mali. Further, UNESCO has supported Members States in the implementation of the UN Security Council Resolutions 2199, 2150, 2253 (2015) and 2347 (2017). It has also co-ordinated the elaboration of the UN Secretary-General's report on the implementation of UN Security Council resolution 2347 (2017).<br><br>Evaluative examples that UNESCO has achieved stated development goals include:<br><br>• The Evaluation of Capacity Development for All, which found that, "the programme has been successful in reaching its objectives of developing the capacities of national stakeholders in the field of SWPP, literacy, teacher training and TVET. In Sector Wide Policy and Planning, the CapEFA programme contributed to enhancing capacities to diagnose and assess education systems and to elaborate, revise and monitor education development strategies and plans".<br><br>• The Evaluation of the Policy Theme Local and Indigenous Knowledge Systems (LINKS), which reported that, "(T)he programme makes an important contribution to UNESCO's engagement on culture and sustainable development, including by bringing additional perspectives and approaches to UNESCO's work in support of indigenous peoples and the acknowledgement and integration of their knowledge systems and practices in various dimensions of sustainable development". | 13, 15, 23, 24, 32, 56, 57, 63, 64, 99, 105, 148 |
| **MI 9.1 Evidence confidence** | **High confidence** |

| MI 9.2: Interventions assessed as having realised the expected positive benefits for target group members | Score |
|---|---|
| **MI Rating** | **Unsatisfactory** |
| **MI score** | **1.5** |
| **MI 9.2 Analysis** | **Source document** |
| The available evaluative evidence presents, on balance, a more negative picture of performance in relation to realising positive benefits for target group members. In some cases, this is because a baseline or appropriate monitoring tools are not in place. In others, it is an explicit criticism of the design of the programme.<br><br>The Evaluation of Capacity Development for Education For All programme collected evidence that, "…the Capacity Development for Education For All programme is considered to be relevant and addressing…priority needs". Indeed, "(b)eneficiaries of the programme improved their understanding on different topics and considered themselves as empowered. At the same time, the evaluation shows the difficulties in measuring "empowerment" of institutions and individuals (by lacking a proper baseline as well as a tool for measuring empowerment). Nevertheless, there is evidence that the programme has fostered the conditions enabling an increased level of national ownership by further rolling-out policies and strategic plans, or scale-up pilot projects, by making use of other national or external funding".<br><br>However, if one looks from the perspective of UNESCO's standard setting role, the target group is national governments working on Conventions. In these circumstances, it is not always appropriate to assess benefits. Under the 2005 Convention on the Diversity of Cultural Expressions, the 2017 external evaluation of the International Fund for Cultural Diversity (IFCD) - the funding mechanism of the Convention - provides evidence on how the 2005 Convention addresses both governmental and non-governmental target groups. The 2016 Report on the fund, "Towards 2030: creativity matters for sustainable development" sets out the positive benefits to targets groups in three countries: Paraguay, Senegal and the Caribbean over different time periods. This is complemented by a holistic aggregation of results in the opening pages of the results against the SDGs from IFCD projects in Serbia, Morocco, Uruguay, Chad, Mexico, at the International Music Council and also, in Cambodia.<br><br>UNESCO's contribution is aligned through UNDAF to support member countries to achieve their development priorities. Nevertheless, there is a gap in quality evidence from decentralised evaluations and full coverage of results. | 13, 14, 15, 17, 23, 40, 46, 102, 103, 104 |
| **MI 9.2 Evidence confidence** | **Medium confidence** |

| MI 9.3: Interventions assessed as having contributed to significant changes in national development policies and programmes (policy and capacity impacts), or needed system reforms | Score |
|---|---|
| **MI Rating** | **Highly satisfactory** |
| **MI score** | **3.5** |

| MI 9.3 Analysis | Source document |
|---|---|
| On the whole, the evaluative evidence confirms that UNESCO has contributed to changes in national development policies and programmes. There is no systematic assessment of this indicator in UNESCO's corporate monitoring systems. Yet across the organisation there are examples (largely unverified) of significant changes in national development policies and programmes because of UNESCO's standard setting mandate. Indeed, the partner survey demonstrated UNESCO's strong policy dialogue role at both country and regional levels. UNESCO's views are consistently well respected at national and regional levels; 17% of respondents said they were excellent, 49.5% said they were very good and 25% said fairly good.<br><br>For example:<br><br>• UNESCO has the mandate from the international community to monitor education within the SDGs. This is the result of the success of the Education work carried out by UNESCO (and evaluated) which demonstrates results at national and regional levels. The recent 2016 Evaluation of the Education For All Global and Regional Coordination Mechanisms found that the relevance of UNESCO's Education For All co-ordination has been particularly strong in the area of political mobilisation. The Evaluation found the integration of programmatic areas (such as TVET, adult literacy and education quality) into most countries' national education strategies. In addition, related targets have been included in the Education Agenda 2030. The Evaluation states that this, "… confirms the relevant role played by UNESCO in influencing its Member States' policies and processes in these specific domains over the last 15 years".<br><br>• In Culture, UNESCO has the convening power on a regional level. They work through the conventions to change national policies but this all happens on an ad hoc basis rather than a structured approach. The monitoring frameworks of the conventions show that there is impact and that policies change. The first and second editions of the Global Report Re\|Shaping Cultural Policies (2015, 2018) which monitors the implementation and impact of the 2005 Convention includes many examples.<br><br>A large part of the mandates of UNESCO's Category 1 institutes is to implement/strengthen national policies within the Conventions or other relevant normative agendas. Two strong, but representative, examples are:<br><br>• IIEP's mission is to strengthen member states in their education policies and capacities. Its work is demand driven. IIEP wrote the normative guidance on institutional capacity building. For example, in Cambodia it helped build up the national institute for education. In Afghanistan, a national institute for education was also established after IIEP supported a sector plan. IIEP is now working with the government on national education policies (supported by a 4-year Nordic Programme).<br><br>• IOC is responsible for the UN Decade of Ocean Science for Sustainable Development beginning 2021. This was the culmination of 2 years of preparatory work by the IOC of UNESCO with Member States and other parties with the UN General Assembly. It has developed a Roadmap which clearly links the decade to changes in national, regional and global policies and systems, "towards the ocean we need for the future we want." | 6, 13, 14, 15, 17, 23, 63, 64, 54, 106, 107, 148 |
| **MI 9.3 Evidence confidence** | **High confidence** |

| MI 9.4: Interventions assessed as having helped improve gender equality and the empowerment of women | Score |
|---|---|
| **MI Rating** | **Satisfactory** |
| **MI score** | **2.5** |
| **MI 9.4 Analysis** | **Source document** |
| Gender equality is a global priority for UNESCO. It is a key strength of the organisation's interventions particularly under the 2005 Convention for the Protection and Promotion of the Diversity of Cultural Expression, where Culture and Communication and Information sectors have come together to consistently present a gender sensitive and empowering discourse. | |
| The growing general strength in gender sensitive intervention design is verified by the Internal Oversight Annual Report from 2016 which states that, "...for the first time …its evaluations met the requirements of the UN-SWAP, thereby fulfilling the UNEG gender-related norms and standards". The Internal Oversight Annual Report 2016 further noted that, "(t)he Internal Audit reported "meets requirements" for this performance indicator". From a review of the Programme Implementation Reports and other corporate communications, interventions are designed to improve gender equality and the empowerment of women. UNESCO has prioritised gender equality across all interventions. Strategies and policy as well as resources (Division of Gender Equality) are dedicated to this theme. Internal Audit includes gender equality as part of its annual audit cycle. The available evaluative evidence sets out the growing strength of UNESCO's gender work during the design and planning stages of interventions. The partner survey verified the strength of gender equality promotion; 21% of participants found it to be excellent, 42% very good and 35% fairly good. | |
| There remains room for improvement. The audits found that, "… gender dimensions are not consistently considered when defining the targets or key deliverables under the activities. Consequently, a significant proportion of activities do not contribute to priority gender equality. Further, SISTER gender markers are not systematically updated, resulting in the underreporting of actions under this global priority". The Executive Board Report stated that, "(a) very large number of Member States complied with the gender equality criterion. Furthermore, the Intersectoral Committee on the Participation Programme applied the criterion scrupulously and requested those who had not complied with it to submit a new gender equality project…. Consequently, the number of gender-equality projects has risen considerably, accounting for more than 21% of approved requests, compared with 7-8% in the previous biennium". | 13, 14, 15, 17, 19, 23, 24, 40, 43, 55, 56, 58, 63, 99 |
| The two sectors in which the impact of the Gender Equality Division is clearest are Education and Communication and Information (gender sensitive media indicators, training of women journalists, communications etc). Education has a dedicated section to gender equality. | |
| Member states are encouraging UNESCO towards implementing more gender transformative programmes. However, all Gender Equality work is carried out using constrained internal resources. In the UN system, UNESCO's Gender Equality division is one of the smallest and one of the few that doesn't have any field presence. The system of gender focal points is designed to enable greater integration in programming. | |
| **MI 9.4 Evidence confidence** | **High confidence** |

| MI 9.5: Interventions assessed as having helped improve environmental sustainability/ helped tackle the effects of climate change | Score |
|---|---|
| MI Rating | Satisfactory |
| MI score | 2.5 |
| MI 9.5 Analysis | Source document |
| UNESCO leads global debate and implementation in several specialised environmental sustainability and climate change areas and participates in key SDG areas. Its strong track record is reflected in the mandates it has in relation to the SDGs, spelled out elsewhere in this report (see MI 2).  The partner survey further evidenced the solid promotion of environmental sustainability/ addressing climate change; 16% of respondents thought it was excellent, 46% very good (joint highest percentage from cross-cutting themes with good governance) and 32% fairly good.<br><br>UNESCO's key policy frameworks on environmental sustainability and climate change include several frameworks that pertain to culture and its role in addressing these global challenges as well as the aforementioned work of IOC (MI 9.3). The relevant Culture work includes the Policy Document on Impacts of Climate Change and World Heritage, the Strategy for Risk Reduction at World Heritage Properties as well as the Addendum concerning emergencies associated with disasters caused by natural and human-induced hazards, which is an integral part of the Strategy on the Reinforcement of UNESCO's Action for the Protection of Culture and the Promotion of Cultural Pluralism in the Event of Armed Conflict. Those policy frameworks are operationalised in an integrated manner through a cross-cutting Expected Result in the 39 C/5 Major Programme IV - Culture dedicated to preparedness and response to emergencies. | 107, 108, 109, 110, 130 |
| MI 9.5 Evidence confidence | High confidence |

| MI 9.6: Interventions assessed as having helped improve good governance (as defined in 2.1.c) | Score |
|---|---|
| MI Rating | Highly satisfactory |
| MI score | 3.5 |
| MI 9.6 Analysis | Source document |
| UNESCO's core mandate is to promote peaceful and inclusive societies for sustainable development. A large proportion of its programming is designed to support good governance. The partner survey verified the solid promotion of good governance; 11% of respondents thought it was excellent, 46% very good (joint highest percentage of cross cutting issues with environmental sustainability) and 37% fairly good. As such there is strong evidence that UNESCO has helped improve good governance (please see MI 2.1).<br><br>In Culture, one of the main goals of the 2005 Convention on the Diversity of Cultural Expressions is to support sustainable systems of governance for culture. Indicators have been developed to monitor this goal. Information and data are collected through periodic reports and the results published in the 2005 Convention global report (second edition published in 2018). The Convention's Expert Facility on the Governance of Culture in Developing Countries is supported with extrabudgetary resources, providing technical assistance to governments and civil society organisations to work together to design policies to promote the diversity of cultural expressions based on informed, transparent and participatory processes, thereby supporting sustainable systems of governance for culture. | 103, 104,105, 106 107, 108, 109, 111, 112, 113, 114, 115, 116, 117, 118 |

| | |
|---|---|
| UNESCO helps improve good governance through promoting press freedom, universal access to information and the security of journalists. Information strategy and results achieved through these activities is laid out in the UN Plan of Action on the Safety of Journalists and the Issue of Impunity as well as UNESCO Director-General's Report on the Safety of Journalists and the Danger of Impunity. UNESCO activities designed in accordance with these two documents assist in strengthening rule of law and contribute to the good governance globally. | 103, 104,105, 106 107, 108, 109, 111, 112, 113, 114, 115, 116, 117, 118 |
| At country level, UNESCO contributed to UNDAF plans which included the aim of creating an enabling environment for access to information, which in turns improves good governance in the respective member states. | |
| UNESCO interventions in the field of assistance to media self-regulatory bodies and promotion of human rights and rule of law through training of law enforcement and judiciary in the field of freedom of expression and the safety of journalists improves good governance in a number of member states. The project Fostering freedom of expression, public access to information and safety of journalists in Africa is an example of this. Also, the school of judges project has resulted in: | |
| • A final specific declaration of the Ibero-American Judicial Summit, which took place in May 2018 in Quito, Ecuador, where all the chief justices of the region underlined their commitment to the 2030 agenda, particularly SDG16, offering concrete options of working with Judicial Powers in order to achieve the 10 targets; | |
| • An Acta's general minutes also approved by all chief justices which states in paragraph 74 that they acknowledge UNESCO's toolkit of training of trainers on Freedom of Expression as of general interest for the Judicial Summit, which means, that judicial schools of the region should prioritise the incorporation of this tool in their curriculum. | |

| MI 9.6 Evidence confidence | High confidence |
|---|---|

| MI 9.7: Interventions assessed as having helped improve human rights | Score |
|---|---|
| MI Rating | Satisfactory |
| MI score | 2.5 |
| MI 9.7 Analysis | Source document |
| UNESCO has a constitutional mandate to contribute to the promotion of all human rights. A large proportion of its programming is designed to support human rights in various sectors. There is strong evidence that UNESCO mainstreams this cross-cutting agenda across its work. It is currently updating the strategy on Human Rights. The holistic vision of the agency is aligned with human rights and the Agenda 2030. The work on inclusive cities (SDG 11) is also a direct contribution to this agenda. | 104, 105, 119, 120, 121, 122, 123, 124, 125, 126, 127, 128 |

Moreover, through its normative and standard setting mandate, UNESCO defines international standards and legal frameworks for human rights which are then translated at national level. Its contribution to help improve human rights could therefore be assessed through the lens of national human-rights legal frameworks and measures which have been developed with/through UNESCO's support. The examples below relate to the Right to Education and provide both the overall UNESCO framework for action in supporting member states, and the results at country level (e.g. Global Observatory database on Rights to Education):

- UNESCO's Education Sector is guided by upholding education as a fundamental human right as the right to education is at the very heart of its constitutional mission. UNESCO leads a right-based approach which promotes education not only for its utilitarian value, but as an undeniable human right.

- UNESCO Convention against Discrimination in Education is the first legally binding international instrument spelling out core components of the right to education. It is recognised as a cornerstone of the Education 2030 Agenda and represents a tool to advance SDG4. A Report on Consultation leading to the convention, entitled 'Ensuring the Right to Equitable and Inclusive quality education', as well as the Compendium of practical measures taken by Member states as a follow-up to the previous 8th consultation further demonstrate this.

- UNESCO has also developed a wealth of international normative instruments (conventions and recommendations) to promote various dimensions of the right to a good quality education for all.

Activities to improve member states' regulatory framework for the freedom of expression have significantly improved the human rights situation in a number of countries. UNESCO's Media Development Indicator assessment reports and its reporting on implementation of recommendations serve to influence implementation.

One of the main goals of the 2005 Convention on the Diversity of Cultural Expressions is to promote human rights and fundamental freedoms. To this end, the Secretariat has developed indicators and collected information through its Global Report on artistic freedom, including on the economic and social rights of artists, rights to the freedom of movement or association, freedom to create etc. The Secretariat is partnering with major NGOs to develop a capacity development programme on artistic freedom, targeting national cultural policy making bodies.

The partner survey verified the solid cross cutting promotion of human rights; 26% of respondent found it to be excellent (the highest percentage of excellent(s) across the cross-cutting issues), 39% very good and 30% fairly good.

| | 104, 105, 119, 120, 121, 122, 123, 124, 125, 126, 127, 128 |

| **MI 9.7 Evidence confidence** | **High confidence** |

| KPI 10: Relevance of interventions to the needs and priorities of partner countries and beneficiaries, and extent to which the organisation works towards results in areas within its mandate | KPI score |
|---|---|
| Satisfactory | 2.83 |

Overall, evaluative evidence states that UNESCO strongly delivers its results as part of a coherent response. The Synthetic Review of UNESCO Evaluations revealed that a large majority of interventions and standard setting work is aligned with national, regional and global initiatives and priorities. More recent self-assessments, in the Strategic Results Report, demonstrate strong alignment with national, regional and global priorities.

Evaluative evidence for assessing interventions' responses to needs and priority targets groups is scant and mixed. These mixed results need to be set in the context of UNESCO's wider normative role where there are many self-assessed examples of responding to the needs and priorities of government.

Corporate monitoring data and publicly available reports testify to the strong relevance of interventions across the field office network and to the relevance of UNESCO's mandate more generally. There is an increasing demand for the organisation to demonstrate the intersectoral relevance of its work in Communication and Information and Culture, which it is doing. UNESCO's Education sector is also responding to demand at the regional level for support mechanisms/guidance on monitoring SDG 4 on Education. Meanwhile, the Science sector is gearing up to support the delivery of the Decade of Ocean Science for Sustainable Development. Each of these mandates is based on the priorities and needs of the countries and is housed within the relevant UNDAF.

UNESCO Major Programmes and Category 1 institutes are tightly aligned with Agenda 2030. The 2030 Agenda gives new impetus to UNESCO's actions at the global, regional and national levels. UNESCO's work is present in 8 goals (4, 5, 6, 9, 11, 12, 14, 16 and 17). The most well-known across UNESCO is SDG 4 where it is leading the co-ordination and review/monitoring of SDG 4-Education 2030 at global and regional levels and supporting the implementation of SDG 4 –Education 2030 at country level.

Other specific responsibilities include being the custodian of monitoring against 7 SDG indicators and contributing to at least 6 other targets across the goals. These are listed below to show the breadth, relevance and proximity of UNESCO's connection to the SDGs.

Within SDG 6 – ensure availability and sustainable management of water and sanitation for all – UNESCO contributes to target 6.5

| 6.5 | By 2030, implement integrated water resources management at all levels, including through transboundary cooperation as appropriate |
|---|---|

Within SDG 9 – build resilient infrastructure, promote inclusive and sustainable industrialisation and foster innovation – UNESCO contributes to target 9.5.

| 9.5 | Enhance scientific research, upgrade the technological capabilities of industrial sectors in all countries, in particular developing countries, including, by 2030, encouraging innovation and substantially increasing the number of research and development workers per 1 million people and public and private research and development spending |
|---|---|

SDG 11 – make cities and human settlements inclusive, safe, resilient and sustainable – UNESCO is custodian of indicator 11.4.1 Total expenditure (public and private) per capita spent on the preservation, protection and conservation of all cultural and natural heritage, by type of heritage (cultural, natural, mixed and World Heritage Centre designation), level of government (national, regional and local/municipal), type of expenditure (operating expenditure/investment) and type of private funding (donations in kind, private non-profit sector and sponsorship) of the target below,

| 11.4 | Strengthen efforts to protect and safeguard the world's cultural and natural heritage |
|---|---|

On SDG 12 – ensure sustainable consumption and production patterns – of which UNESCO is the custodian of indicator 12.8.1 Extent to which (i) global citizenship education and (ii) education for sustainable development (including climate change education) are mainstreamed in (a) national education policies; (b) curricula; (c) teacher education; and (d) student assessment, the target of,

| 12.8 | By 2030, ensure that people everywhere have the relevant information and awareness for sustainable development and lifestyles in harmony with nature |
|---|---|

The stand-alone Ocean SDG 14 – conserve and sustainably use the oceans, seas and marine resources for sustainable development – recognises the role of ocean science and UNESCO's Intergovernmental Oceanographic Commission's (IOC) standard-setting role as essential to addressing all of the challenges or dimensions of ocean sustainability. It is the custodian of targets 14.3 and 14a and contributes to 14.1 and 14.2:

| 14.1 | By 2025, prevent and significantly reduce marine pollution of all kinds, in particular from land-based activities, including marine debris and nutrient pollution |
|---|---|
| 14.2 | By 2020, sustainably manage and protect marine and coastal ecosystems to avoid significant adverse impacts, including by strengthening their resilience, and take action for their restoration in order to achieve healthy and productive oceans |
| 14.3 | Minimize and address the impacts of ocean acidification, including through enhanced scientific cooperation at all levels |
| 14.a | Increase scientific knowledge, develop research capacity and transfer marine technology, taking into account the Intergovernmental Oceanographic Commission Criteria and Guidelines on the Transfer of Marine Technology, in order to improve ocean health and to enhance the contribution of marine biodiversity to the development of developing countries, in particular small island developing States and least developed countries |

SDG 16 – promote peaceful and inclusive societies for sustainable development, provide access to justice for all and build effective, accountable and inclusive institutions at all levels - UNESCO is responsible for monitoring against indicators 16.10.1 – Number of verified cases of killing, kidnapping, enforced disappearance, arbitrary detention and torture of journalists, associated media personnel, trade unionists and human rights advocates in the previous 12 months and 16.10.2 on access to information. The target is,

| 16.10 | Ensure public access to information and protect fundamental freedoms, in accordance with national legislation and international agreements |
|---|---|

UNESCO is also contributing to targets 16.a, 16.6 and 16.7.

| 16.a | Strengthen the recover and return of stolen assets and combat all forms of organized crime |
|---|---|
| 16.6 | Develop effective, accountable and transparent institutions at all levels |
| 16.7 | Ensure responsive, inclusive, participatory and representative decision-making at all levels |

SDG 17 – custodian of indicator 17.6.1 Number of science and/or technology co-operation agreements and programmes between countries, by type of co-operation, the target of

| 17.6 | Enhance North-South, South-South and triangular regional and international cooperation on and access to science, technology and innovation and enhance knowledge-sharing on mutually agreed terms, including through improved coordination among existing mechanisms, in particular at the United Nations level, and through a global technology facilitation mechanism |
|---|---|

| MI 10.1: Interventions assessed as having responded to the needs/priorities of target groups | Score |
|---|---|
| MI Rating | Satisfactory |
| MI score | 2.5 |

| MI 10.1 Analysis | Source document |
|---|---|
| The evaluative evidence for assessing this indicator is scant. Evidence presented suggests mixed performance.  The Synthetic Review of UNESCO Evaluations suggests that, "Given (that) there is currently no evaluation strategy at the expected result level, assessment of effectiveness and relevance at the programmatic area level has to be extrapolated from a rather patchy evidence base". This is verified by the partner survey; 36% stated UNESCO were fairly good are tailoring interventions to needs and 41% said they were very good.<br><br>Nevertheless, the Synthetic Review assesses this indicator across four themes and presents mixed results. The four themes are: i) Education policy and planning; ii) Capacity for water management; iii) Youth; and, iv) Diversity of Cultural Expression. For each of these 4 themes, if there is clear evidence that an intervention responds to a well targeted national or local need the evaluation is noted positively. This is then described as a ratio of yes to no. So, for example four evaluations suggest responding to need out of a total of five. The reviewer has aggregated these results by theme below.<br><br>1. Education five out of nine<br>2. Water four out of eight<br>3. Youth five out of five<br>4. Culture two out of eight<br><br>These mixed results need to be set in the context of UNESCO's wider normative role where there are many self-assessed examples of responding to the needs and priorities of government. For example, the 2005 Convention Expert-Facility provides on-demand technical assistance to governments in developing countries to develop policies and measures to support the emergence of dynamic cultural and creative industry sectors. UNESCO's capacity development programme is introducing a methodology to conduct local diagnostics of the country context and needs assessment prior to the delivery of technical assistance, thereby ensuring alignment with needs and priorities of target groups. This programme of activity is supported through extra-budgetary resources provided by the European Union for the period 2018-2020. UNESCO's custodial role for SDG 4 on Education demonstrates responding to need, as do UNESCO's custodial role for monitoring against six SDG targets and contributing to several other (please see details under KPI 8). | 6, 40, 64 |
| MI 10.1 Evidence confidence | **Medium confidence** |

| MI 10.2: Interventions assessed as having helped contribute to the realisation of national development goals and objectives | Score |
|---|---|
| MI Rating | **Satisfactory** |
| MI score | **2.5** |

| MI 10.2 Analysis | Source document |
|---|---|
| The Synthetic Review of UNESCO Evaluations revealed that most interventions are aligned with national/regional initiatives. The Synthetic Review (written prior to the 2030 Agenda and therefore UNESCO's internal realignment) presented UNESCO's contribution to key global agreements (e.g., MDGs, Education For All) and UNESCO's alignment with national/regional initiatives. The aggregated results of each assessment are presented separately below by 4 themes: i) Education policy and planning; ii) Capacity for water management; iii) Youth; and, iv) Diversity of Cultural Expression. For each of these four themes, if there is clear evidence that an intervention responds to a criterion (such as contribution to key global agreements) the evaluation is noted positively. This is then described as a ratio of <u>yes</u> to no. So, for example, four evaluations suggest contributing to the realisation of national development goals out of a total of five.<br><br>For contribution to key global agreements, the Synthetic evaluation looked for clear evidence that an intervention is well-aligned with a global agreement. It presented,<br><br>1.  Education three out of nine<br>2.  Water six out of eight<br>3.  Youth three out of five<br>4.  Culture seven out of eight<br><br>For alignment with national/regional initiatives, the Synthetic evaluation looked for clear evidence that an intervention has developed synergies with related initiatives at the country/regional level. It presented,<br><br>1.  Education seven out of nine<br>2.  Water four out of eight<br>3.  Youth five out of five<br>4.  Culture seven out of eight<br><br>In another example, UNESCO reports on relevance in the Strategic Results Report. One of the criteria is its contribution to the achievement of SDGs and/or national priorities. The self-assessment across all major programmes is mixed.<br><br>From the partner survey, 50% of respondents stated UNESCO's interventions are a very good fit with national programmes and results. 10% of respondents found them to be an excellent fit and 35% stated they were fairly good.<br><br>Culture reports strong results; Education results are also strong although five expected results are assessed as medium. Natural Sciences, Social and Human Sciences and Communication and Information report mixed results.<br><br>For contribution to key global agreements, the Synthetic evaluation looked for clear evidence that an intervention is well-aligned with a global agreement. Water, Youth and Culture came out strongly. For alignment with national/regional initiatives, the Synthetic evaluation looked for clear evidence that an intervention has developed synergies with related initiatives at the country/regional level. It found that for Education 7 out of 9 initiatives were well aligned, 50% in the water sector, 100% in Youth and over 87% of Culture initiatives.<br><br>More recently, on relevance the Strategic Results Report assessed contribution to the achievement of SDGs and /or national priorities. The self-assessment across all major programmes was mixed. Culture reports strong results; Education results are also strong although five expected results are assessed as medium. Natural Sciences, Social and Human Sciences and Communication and Information report mixed results. | 9, 13, 14, 15, 16, 17, 23, 40, 58, 64 |
| **MI 10.2 Evidence confidence** | **Medium confidence** |

| MI 10.3: Results assessed as having been delivered as part of a coherent response to an identified problem | Score |
|---|---|
| **Overall MI Rating** | **Highly satisfactory** |
| **Overall MI score** | **3.5** |
| **MI 10.3 Analysis** | **Source document** |
| Overall, evaluative evidence states that UNESCO delivers strongly as part of a coherent response to an identified problem.

The Evaluation of the Culture and Sustainable Development Policy Theme stated that, "…the discourse about culture and sustainable development has evolved significantly over the past 25 years. Not only, but also, this is thanks to UNESCO". It goes on to say that, "UNESCO has contributed considerably to this (the discourse)".

The recent 2016 Evaluation of the Education For All Global and Regional Coordination Mechanisms found that the relevance of UNESCO's Education For All co-ordination has been particularly strong in the area of political mobilisation. The Evaluation found the integration of programmatic areas (such as TVET, adult literacy and education quality) into most countries' national education strategies. In addition, related targets have been included in the Education Agenda 2030. The Evaluation states that this, "… confirms the relevant role played by UNESCO in influencing its Member States' policies and processes in these specific domains over the last 15 years".

A further Evaluation from the Education Sector, the Evaluation of UNESCO's Capacity Development for Education For All (CapEFA) Programme reports that, "implementation was facilitated due to the clarity of the objectives and the strategy of CapEFA for the national stakeholders as well as the coherence of activities within the CapEFA programme. Other enabling factors identified are the co-operation with diverse groups of national stakeholders and the focus on national ownership as a crucial component of successful implementation. The expertise of the UNESCO family is considered to be major asset compared to other development partners".

An example from the Water Sector is the Evaluation of the World Water Assessment Programme, which found that "…most readers use (the) World Water Development Report to improve knowledge on water issues. This suggests that the WWDR serves an important educational role".

The Case Study of Lessons Learned from Mali found that, "UNESCO was instrumental in integrating culture in the mandate of MINUSMA, which translated into effective co-ordination for a variety of actions … (and) … demonstrates strong recognition of the relevance of UNESCO's mandate in culture as well as a key role for the Organization in cultural preservation. It marks the first time that the protection of culture is an integral part of the mandate of a peacebuilding force. The inclusion of the protection of cultural heritage in the MINUSMA mandate was by many stakeholders considered as a result of UNESCO's advocacy efforts". | 6, 9, 13, 14, 15, 17, 46, 64 |
| **MI 10.3 Evidence confidence** | **High confidence** |

| KPI 11: Results delivered efficiently | KPI score |
|---|---|
| **Unsatisfactory** | **2** |
| There is limited evidence on efficiency. Several evaluations noted that the slow disbursement of funds was an impediment to effective implementation. This is being addressed through an initiative to streamline institutional procedures (Invest for Efficiency). | |

| MI 11.1: Interventions assessed as resource/cost efficient | Score |
|---|---|
| **MI Rating** | **Unsatisfactory** |
| **MI score** | **1.5** |

| MI 11.1 Analysis | Source document |
|---|---|
| While there is limited evaluative evidence of efficiency and no aggregated self-assessment of UNESCO's resource/cost efficiency, improvements are visible. The Integrated Budget Framework is in place and for the first time the 39 C/5 is applying the principles of results-based budgeting for expected results. This is evident in the most recent Programme Implementation Report which sets out total expenditure of the 5 major programmes by the source of funds - regular and extrabudgetary resources. Data is then broken down by Expected Result of allocation and expenditure by year, by regular and extrabudgetary. | |
| Internal audits focus on resource/ cost efficiency and there are plans to undertake a result-based budgeting process audit in 2018. It will look at the overall risk that UNESCO's resources are not deployed to priority areas and the extent to which extrabudgetary funding and regular budgets are aligned. | 2, 3, 4, 13, 24, 63 |
| The Evaluation of Capacity Development for Education For All Programme (CapEFA) deemed the programme value for money, "…the programme budget allocated is considered to be sufficient for implementing the activities, although sometimes judged as insufficient to comply with all needs and demands on country level. The bigger part of the budget is directly allocated to activities on country level and stakeholders generally express their satisfaction with the supported activities that are developed in cooperation and based on a shared needs analysis". | |
| Recently, UNESCO launched a joint service centre in Brazil where UNESCO carries 30% of UN country budget. UNESCO intends to pursue this type of long-term arrangement in other countries. | |
| **MI 11.1 Evidence confidence** | **Medium confidence** |

| MI 11.2: Implementation and results assessed as having been achieved on time (given the context, in the case of humanitarian programming) | Score |
|---|---|
| **MI Rating** | **Satisfactory** |
| **MI score** | **2.5** |
| **MI 11.2 Analysis** | **Source document** |
| A number of evaluations noted that the slow disbursement of funds was an impediment to effective implementation. The most recent Programme Implementation Report states that overall, programme implementation is on track with a high likelihood of achievement by the end of 2017. This evidence must be set in the context of the assessment of institutional procedures (including systems for engaging staff, procuring project inputs, disbursing payment, logistical arrangements etc.). There has been progress in the last year.  With regards to extrabudgetary funded projects, the overall expenditure rate shows an improvement by 4.3 percentage points between 2016 and 2017; whilst the amounts of expenditure rate have increased by 6.2% (Source 204EX4 part II). | 63, 64 |
| An analysis of UNESCO's institutional procedures (e.g. extrabudgetary grant management, recruitment) noted that they impede the speed of implementation. As its dependence on extrabudgetary funding has increased in importance, this impediment has become a higher priority and UNESCO recently launched an initiative to streamline its procedures. This workstream is underway. It is also noted that extrabudgetary programmes often have low implementation rates so that the programmes depend on reserves between funding. | |
| **MI 11.2 Evidence confidence** | **Medium confidence** |

| KPI 12: Sustainability of results | KPI score |
|---|---|
| **Satisfactory** | **2.83** |

There is a mixed likelihood of sustainability of results. There is an insufficiency of evaluative evidence for this KPI and triangulation between the available evaluative evidence and self-assessment sources is limited. There are also concerns over long-term staffing and funding of both normative work and interventions.

However, corporate reporting and reporting at the sectoral and/or programme level demonstrates UNESCO's work is strongly aligned with Agenda 2030 and that its national and regional offices work with/through National Commissions to support the delivery of respective UNDAFs. UNESCO's sectoral experts and Category 1 Institutes are often the long-standing partners of national governments and departments strengthening institutional capacity.

Equally, these reports demonstrate that UNESCO's normative, standard setting role builds consensus and understanding of what constitutes sustainable results in each sector. It strengthens the enabling environment for development by working with government to develop stronger policies and strategies as well as build implementation capacity. The Conventions are in and of themselves an example of a sustainable result when well managed and monitored.

There are many examples of where UNESCO's work is absorbed by government. For example, in the last 5 years, through the Regional Montevideo office, a small Judges School Programme in Mexico has now been rolled out in 21 countries to instruct Judges and support regional judicial systems on Freedom of Expression and access to public information.

| MI 12.1: Benefits assessed as continuing or likely to continue after project or program completion or there are effective measures to link the humanitarian relief operations to recovery, to resilience and eventually to longer-term development results | Score |
|---|---|
| **MI Rating** | **Satisfactory** |
| **MI score** | **2.5** |
| **MI 12.1 Analysis** | **Source document** |
| To a large extent benefits are assessed as likely to continue after programme or project funding ends. This judgement is informed by considering UNESCO's normative work alongside its field-based interventions.<br><br>A Synthetic Review of UNESCO Evaluations found that, "(t)he strategic dimensions…most often missing relate to sustainability strategy (articulating how UNESCO achievements will be sustained over the long term); exit strategy (no clear plan for a sunset clause); capacity development strategy (often a key element in "upstream" interventions); and institutional strategy (e.g., linking work of UNESCO HQ and Institutes, or linking work of UNESCO HQ with Field Offices)".<br><br>However, in the absence of further evaluative evidence, which covers the whole UNESCO portfolio, the Strategic Results Report aggregates reporting on sustainability into a final annex. This annex rates the sustainability of each expected result e.g. under Education the first expected result is in relation to sector wide policies and plans. This expected result is rated as high on sustainability. The details of this annex are presented in the next MI.<br><br>Corporate reporting and reporting at the sectoral and/or programme level demonstrate that UNESCO's work is strongly aligned with Agenda 2030 and that its national and regional offices work with/through National Commissions to support the delivery of respective UNDAFs. Moreover, UNESCO's sectoral experts and Category 1 Institutes are often the long-standing partners of national governments and departments, strengthening institutional capacity. Furthermore, it is these experts and institutes who are involved in the implementation of Conventions at the national, regional and global level. | 9, 13, 15, 23, 24, 32, 40, 64, 68 |

| | |
|---|---|
| The Conventions are in and of themselves an example of a sustainable result when well managed and monitored. It is the combination of Convention work with targeted interventions that promotes sustainability. For example, the 2005 Convention for the Protection and Promotion of the Diversity of Cultural Expressions supports a capacity development programme to build human and institutional capacities, of both governments and civil society stakeholders, required to support sustainable systems of governance for culture.<br><br>UNESCO's role is as a partner of government over the medium to long term. There is a drive on to make this more explicit and sophisticated through the UNESCO Country Strategies (with clearer consistent alignment to UNDAFs) and to put forward a greater intersectorality of UNESCO's work. All of this will enhance the sustainability of UNESCO's work. | 9, 13, 15, 23, 24, 32, 40, 64, 68 |
| **MI 12.1 Evidence confidence** | **Medium confidence** |

| | |
|---|---|
| **MI 12.2: Interventions assessed as having built sufficient institutional and/or community capacity for sustainability, or have been absorbed by government** | **Score** |
| **MI Rating** | **Satisfactory** |
| **MI score** | **2.5** |
| **MI 12.2 Analysis** | **Source document** |
| Mixed positive evidence from a Synthetic Review of UNESCO's Evaluations is balanced by internal corporate reporting and by how UNESCO undertakes its standard setting role. UNESCO monitors and implements eight international conventions. Its role in the international aid architecture is to strengthen government and institutional capacity across several sectors; designing policies, implementing policy and monitoring policy.<br><br>There is mixed evidence of interventions building institutional sustainability from the Synthetic Review of UNESCO's Evaluations. This is verified by the partner survey; 33% of respondents said interventions were very good at sustaining impact over time and 44% found them to be fairly good. However, this evidence does not cover all of UNESCO's portfolio. The Synthetic Review considers the sustainability of effects generally across four themes: i) Education policy and planning; ii) Capacity for water management; iii) Youth; and, iv) Diversity of Cultural Expression. For each of these four themes, if there is clear evidence that the intervention will lead to long term sustained change the evaluation is noted positively. This is then described as a ratio of yes to no. So, for example four evaluations suggest sustainability out of a total of five. In this way the Synthetic review found sustainability of effects in three of the nine cases within an education policy and planning theme, five out of nine in the theme 'capacity for water management', three out of five on youth, and zero out of eight for the theme of culture.<br><br>Under UNESCO's standard setting role, it is reasonable to assume (as put forward in KPI 9) that UNESCO has strengthened its institutional capacity and that in most cases the goal of all standard setting work is for it to be absorbed by governments. For example, as a result of UNESCO's work many national governments have integrated elements of Conventions into their national legislation. UNESCO's works has also led national governments to dedicate national budgets implement these conventions. This is particularly evident in relation to institutes for education planning and to initiatives at the global level to protect cultural heritage. | 13, 14, 15, 46, 55, 59, 64, 68, 128, 129 |

| | |
|---|---|
| It is also the combination of Convention work with targeted interventions that promotes sustainability. For example, the 2005 Convention for the Protection and Promotion of the Diversity of Cultural Expressions supports a capacity development programme to build human and institutional capacities, of both governments and civil society stakeholders, required to support sustainable systems of governance for culture. This is an important example of how UNESCO develops an intervention that targets a need - maintaining human and institutional capacities on culture in constantly changing policy environments in developing countries with high turnover of government officials – to ensure that the Convention is implemented. The Conventions global report (129 - second edition published in 2018) provides evidence and case studies of technical assistance interventions to reinforce human and institutional capacities through the Expert Facility as well as the International Fund for Cultural Diversity established under the Convention. | 13, 14, 15, 46, 55, 59, 64, 68, 128, 129 |
| **MI 12.2 Evidence confidence** | **Medium confidence** |

| | |
|---|---|
| **MI 12.3: Interventions assessed as having strengthened the enabling environment for development** | **Score** |
| **Overall MI Rating** | **Highly satisfactory** |
| **Overall MI score** | **3.5** |
| **MI 12.3 Analysis** | **Source document** |
| To a great extent, UNESCO's interventions and standard setting work strengthen the enabling environment for development. All of UNESCO's sectors are clear about how their Expected Results map onto the Sustainable Development Goals and the broader Agenda 2030.

The Synthetic Review of Evaluations notes, with regards to the 2005 Convention on the Protection and Promotion of the Diversity of Cultural Expressions, that, "UNESCO's role is seen as particularly positive in establishing an enabling environment for the convention, notably through the provision of a space for exchange of experiences, the provision of technical assistance, and the consolidation of a knowledge base for cultural policies". To this can be added the evidence put forward under KPI 9 on the protection of culture heritage, protection of freedom of expression and the intersectoral work which raises the bar on gender equality and underwater cultural heritage. The two latest Cultural Conventions are also aligned to the SDGs.

In 2015, the Incheon Declaration adopted during the World Education Forum, confirmed UNESCO's mandated role to lead and co-ordinate the 2030 education agenda and to develop an appropriate global co-ordination mechanism. In November of the same year, the Education 2030 Framework for Action was adopted by the global education community during UNESCO's General Conference.

Through their intersectoral work, Social and Human Sciences and Natural Sciences are bolstering the enabling environment around climate change, water, sport (Berlin Action Plan) and indigenous people. Please see KPI 9. Natural Science provided input for the Climate Change Ethics Convention.

The Communication and Information sector is working on SGDs 10 and 16. In particular, it promoted and is now monitoring two indicators: (i) protection of journalists (16.10.1) and (ii) access to information (16.10.2). | 6, 15, 23, 55, 59, 64, 68, 130 |

| | |
|---|---|
| The Category 1 Institutes also make an extremely strong contribution. For example, the role of the IOC as Secretariat of the UN Decade of Ocean Science for Sustainable Development playing a key role in the implementation of goal 14 as custodians of 14.3 and 14.a. The work of International Institute for Educational Planning (IIEP) globally with the Institute for Lifelong Learning and UNESCO Institute for Statistics will monitor the SDG 4 targets.<br><br>There is currently no single framework, which determines UNESCO's impact on the enabling environment at the global level. However, the C5 is aligned to the SDG targets and the depth and breadth of this alignment can be taken as a proxy for UNESCO's contribution. UNESCO makes a very strong contribution indeed. | 6, 15, 23, 55, 59, 64, 68, 130 |
| **MI 12.3 Evidence confidence** | **Medium confidence** |

# Annex 2. List of documents

All document listed below are UNESCO publications or official open access documents, unless indicated otherwise.

1. UNESCO (2014), *37 C/4 Medium-Term Strategic Plan 2014-2021*, United Nations Educational, Scientific and Cultural Organization.

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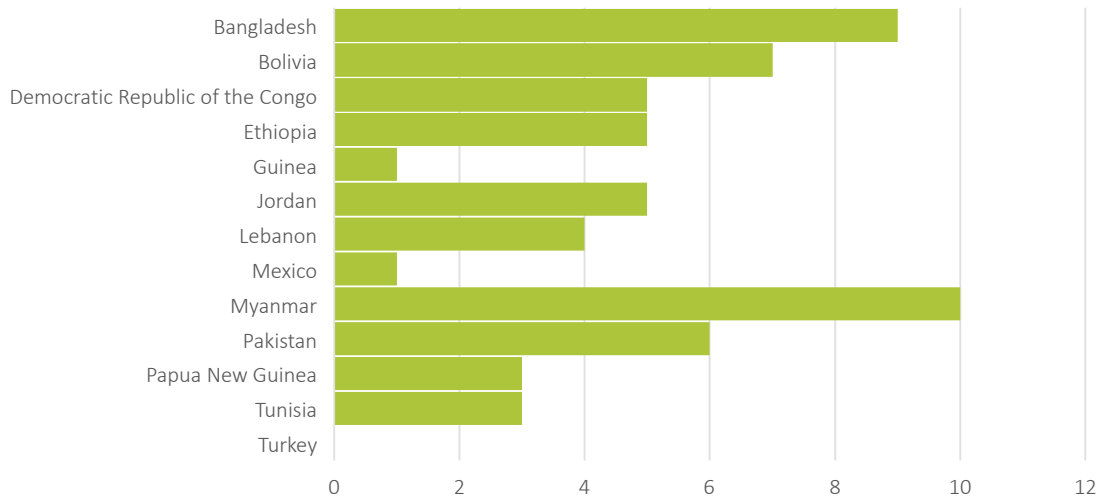
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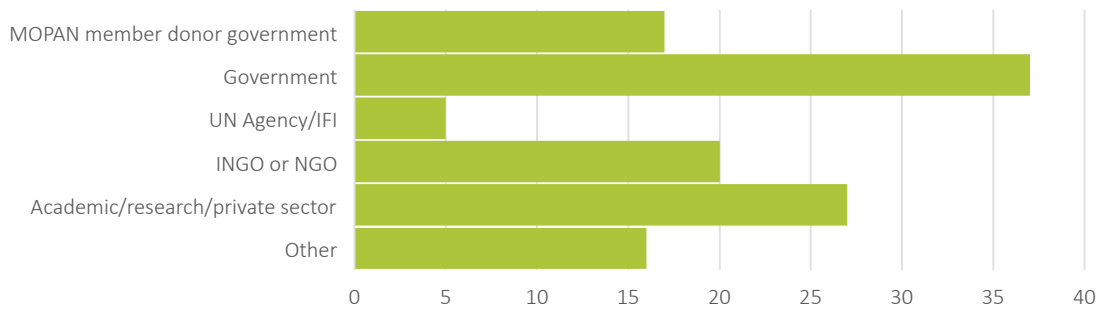
# Annex 3. Results of Mopan's Partner Survey

**Response profile**

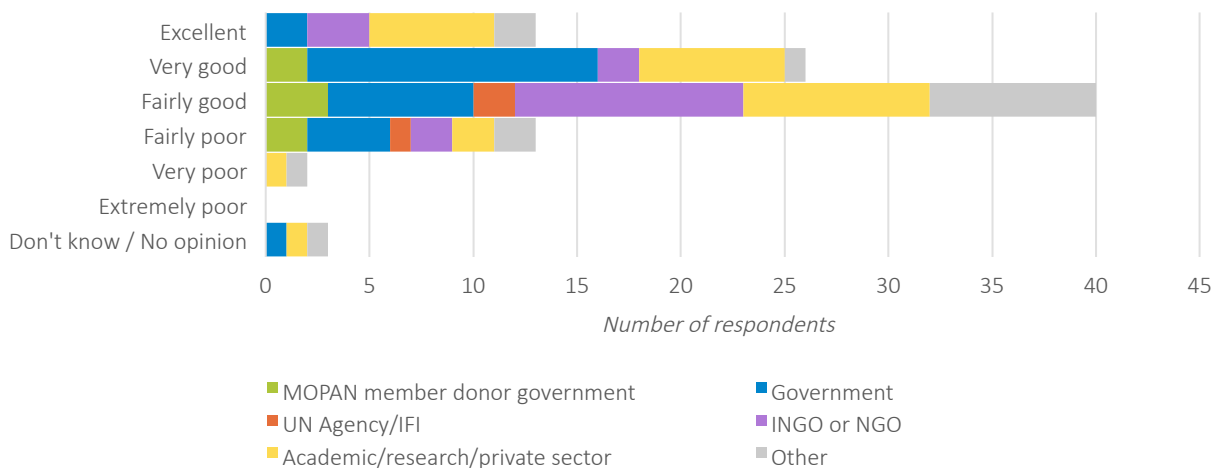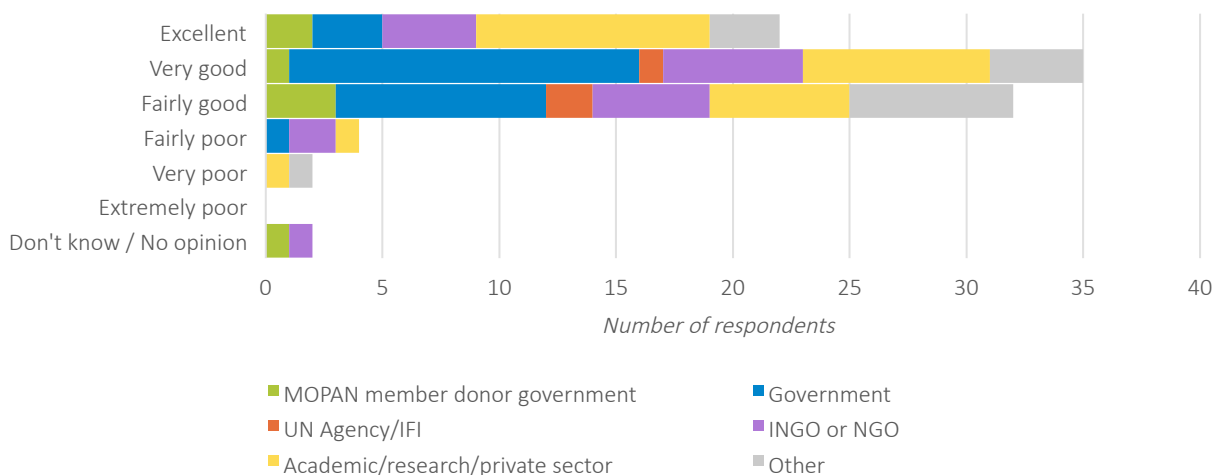**Number of survey responses:** 122

**Number of survey responses by country:**



**Respondent type:**

## Staffing

### UNESCO has sufficient staffing to deliver results



Number of respondents

- MOPAN member donor government
- UN Agency/IFI
- Academic/research/private sector
- Government
- INGO or NGO
- Other

### UNESCO has sufficiently skilled and experienced staff



Number of respondents

- MOPAN member donor government
- UN Agency/IFI
- Academic/research/private sector
- Government
- INGO or NGO
- Other

### UNESCO has sufficient continuity of staff to build relationships



Number of respondents

- MOPAN member donor government
- UN Agency/IFI
- Academic/research/private sector
- Government
- INGO or NGO
- Other
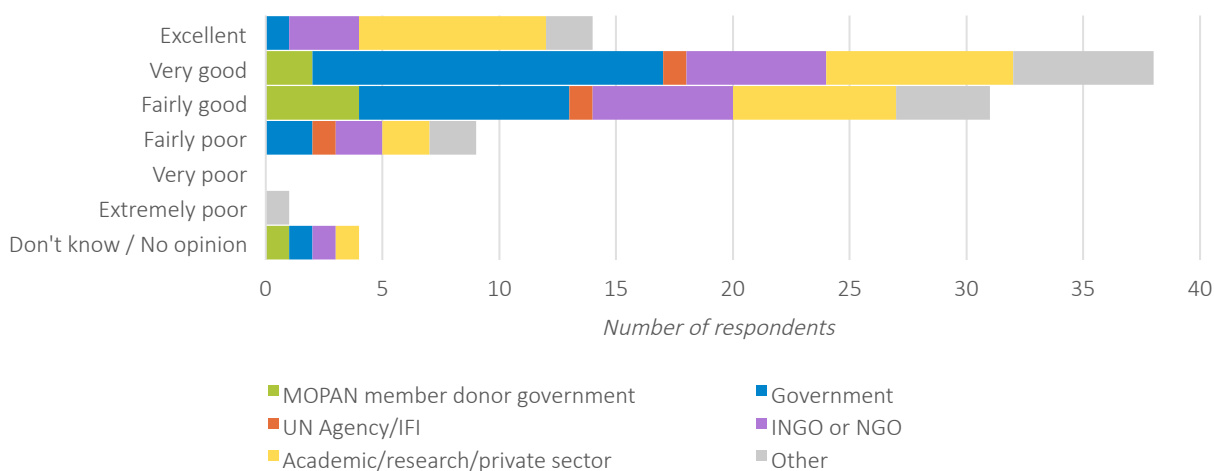
## UNESCO staff can make critical strategic and programming decisions locally



Number of respondents

- ■ MOPAN member donor government
- ■ Government
- ■ UN Agency/IFI
- ■ INGO or NGO
- ■ Academic/research/private sector
- ■ Other
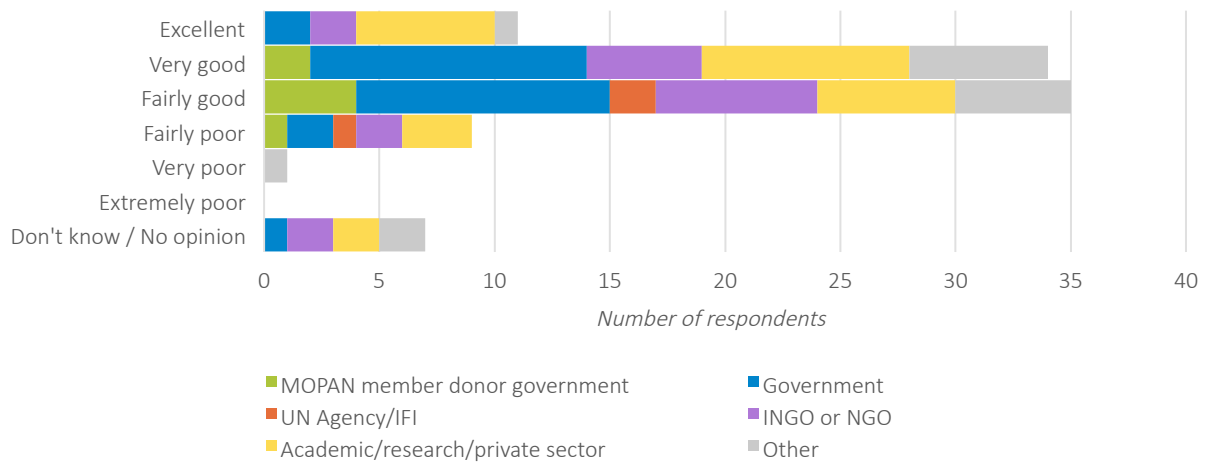
## Managing financial resources

## UNESCO provides transparent criteria for financial resource allocation



Number of respondents

- ■ MOPAN member donor government
- ■ Government
- ■ UN Agency/IFI
- ■ INGO or NGO
- ■ Academic/research/private sector
- ■ Other
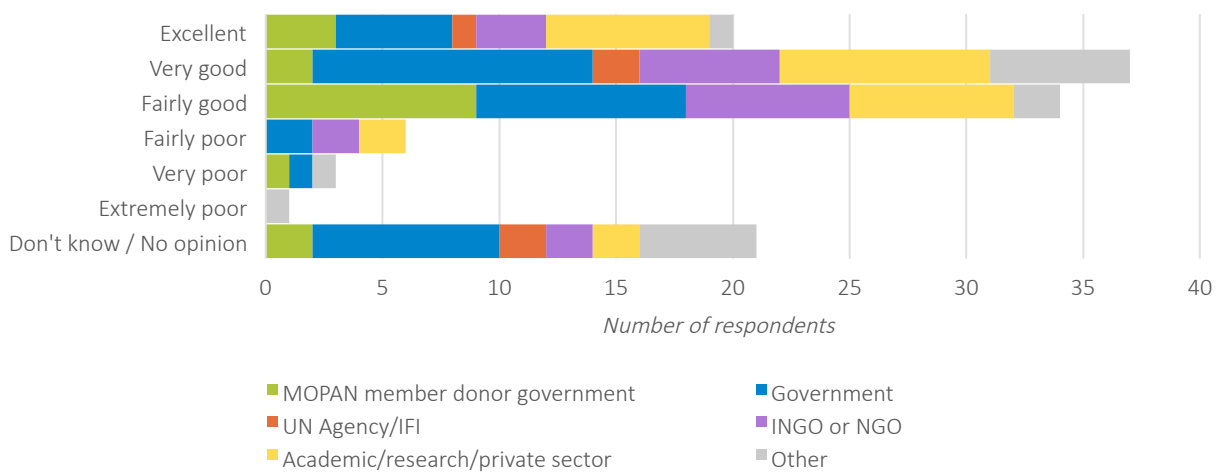
## UNESCO provides predictable financial allocations and disbursements



Number of respondents

- ■ MOPAN member donor government
- ■ Government
- ■ UN Agency/IFI
- ■ INGO or NGO
- ■ Academic/research/private sector
- ■ Other
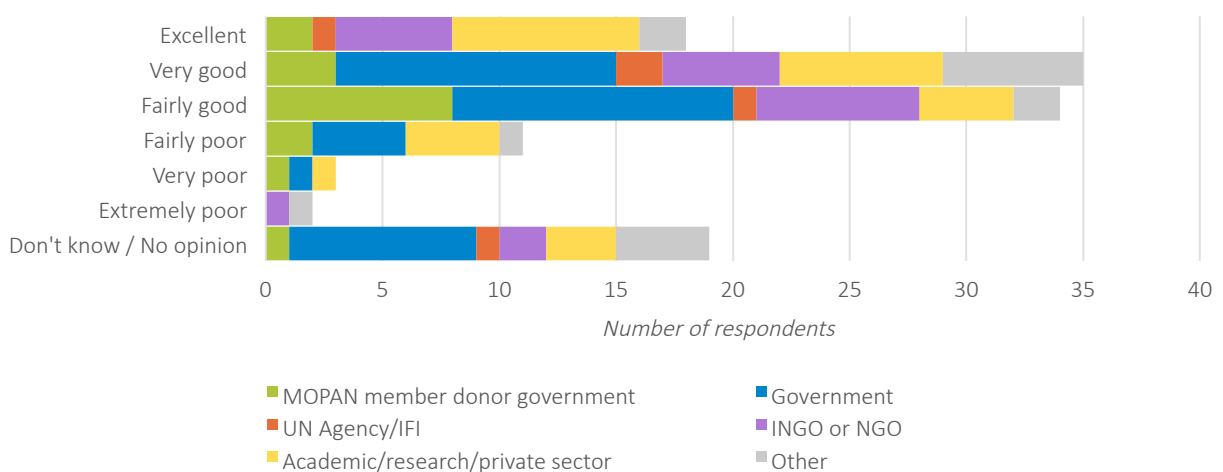
## UNESCO financial cooperation is coherent/not fragmented



*Number of respondents*

- ■ MOPAN member donor government
- ■ UN Agency/IFI
- ■ Academic/research/private sector
- ■ Government
- ■ INGO or NGO
- ■ Other
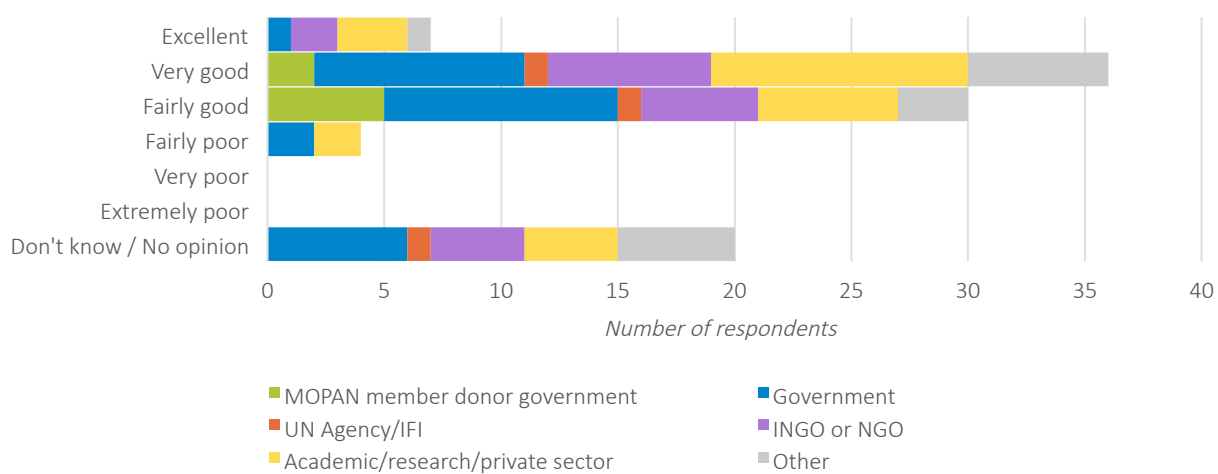
## UNESCO has flexible resources



*Number of respondents*

- ■ MOPAN member donor government
- ■ UN Agency/IFI
- ■ Academic/research/private sector
- ■ Government
- ■ INGO or NGO
- ■ Other
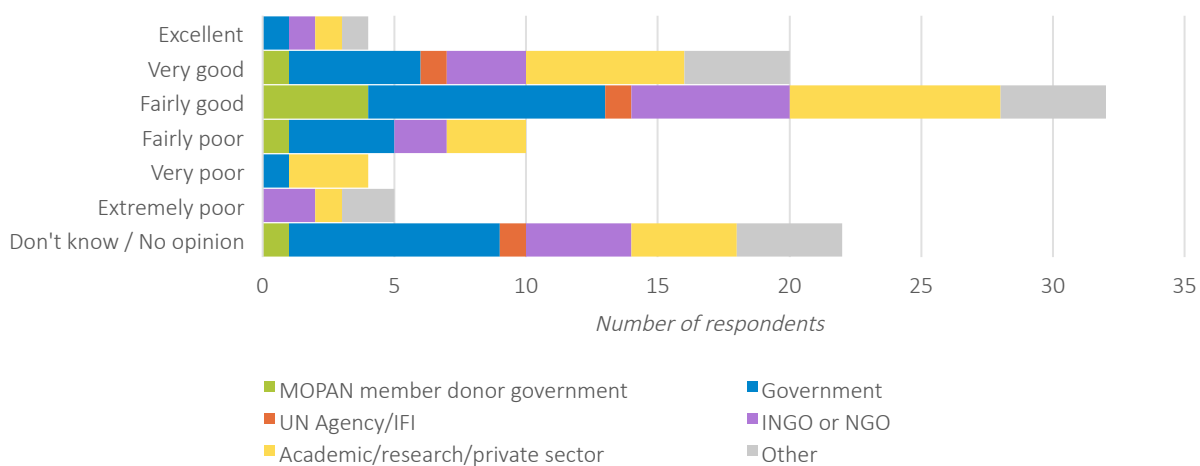
## Interventions (programmes, projects, normative work)

### UNESCO interventions are fit national programmes and results of partner countries



*Number of respondents*

- MOPAN member donor government
- Government
- UN Agency/IFI
- INGO or NGO
- Academic/research/private sector
- Other
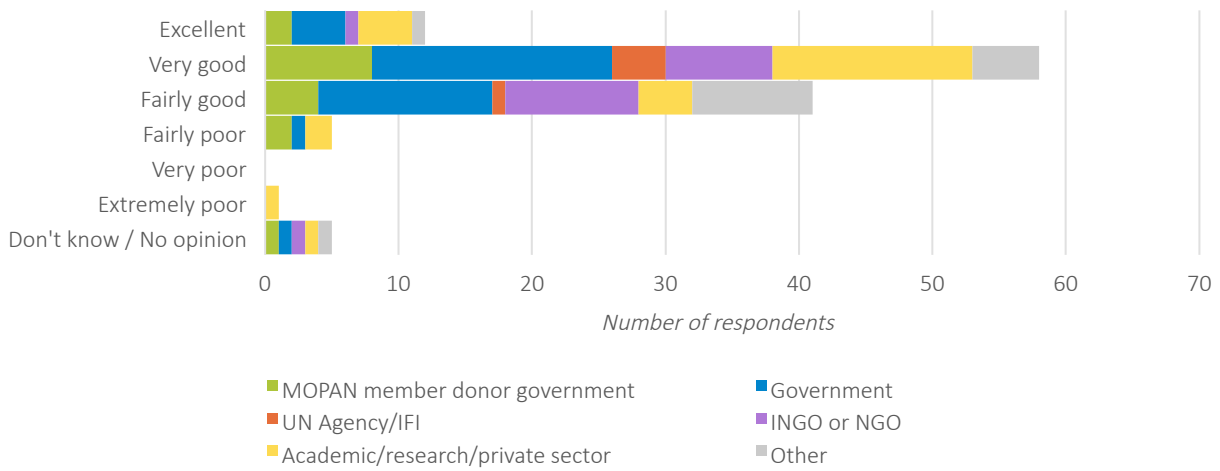
### UNESCO interventions are tailored to the needs of the local context



*Number of respondents*

- MOPAN member donor government
- Government
- UN Agency/IFI
- INGO or NGO
- Academic/research/private sector
- Other
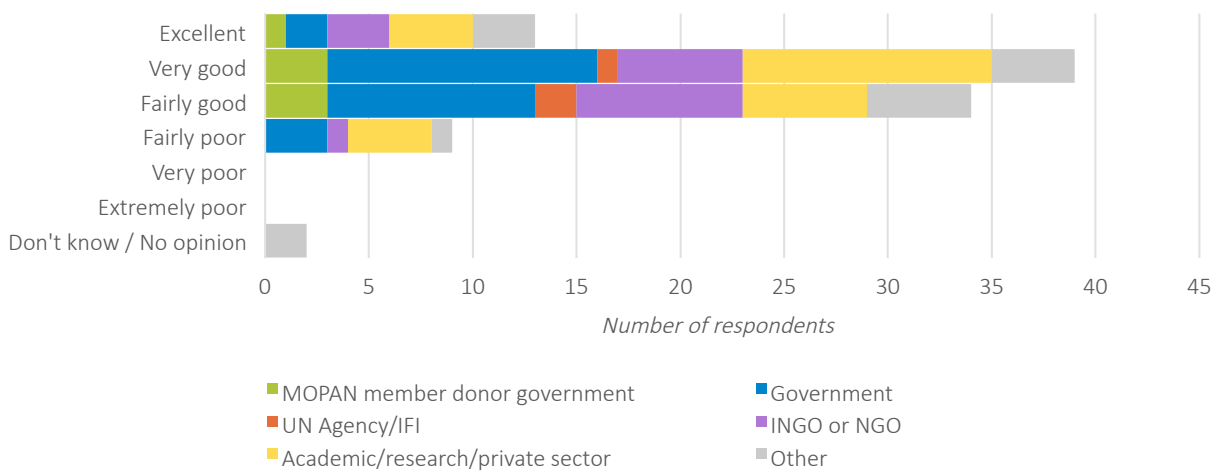
### UNESCO interventions are based on a clear understanding of comparative advantage



*Number of respondents*

- MOPAN member donor government
- Government
- UN Agency/IFI
- INGO or NGO
- Academic/research/private sector
- Other
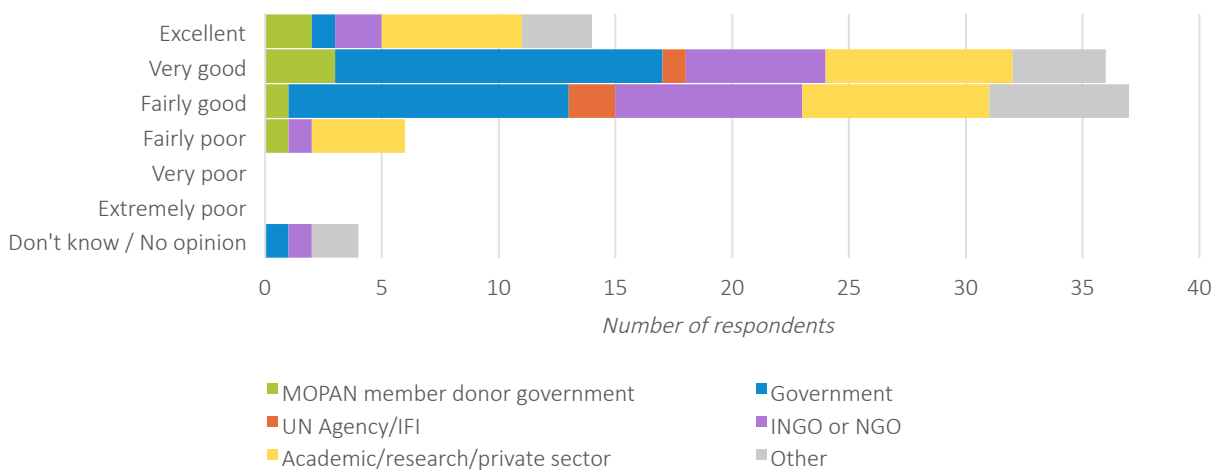
## UNESCO can adapt or amend interventions to changes in context



Legend:
- MOPAN member donor government
- UN Agency/IFI
- Academic/research/private sector
- Government
- INGO or NGO
- Other

*Number of respondents*
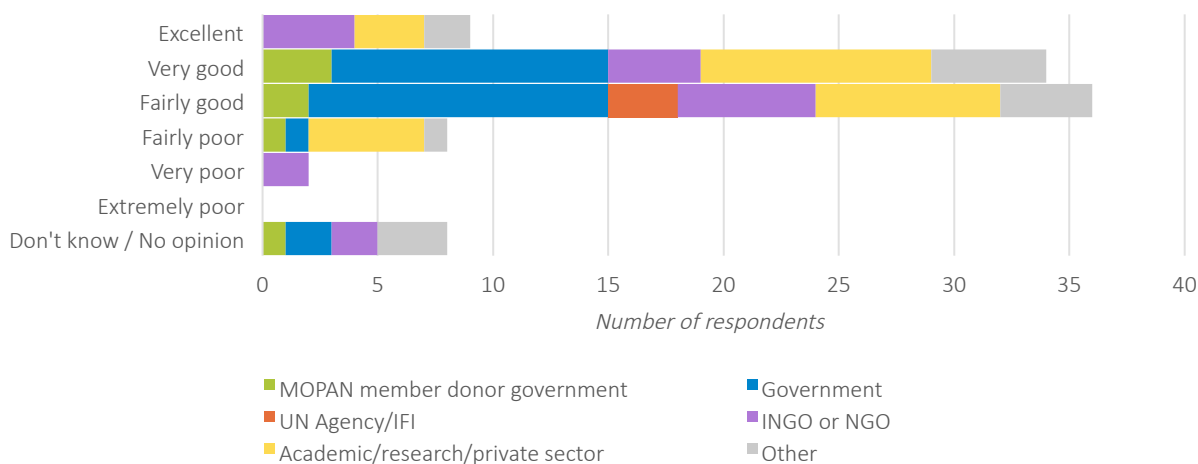
## UNESCO interventions take in to account realistic assessments of national/regional capacities



Legend:
- MOPAN member donor government
- UN Agency/IFI
- Academic/research/private sector
- Government
- INGO or NGO
- Other

*Number of respondents*
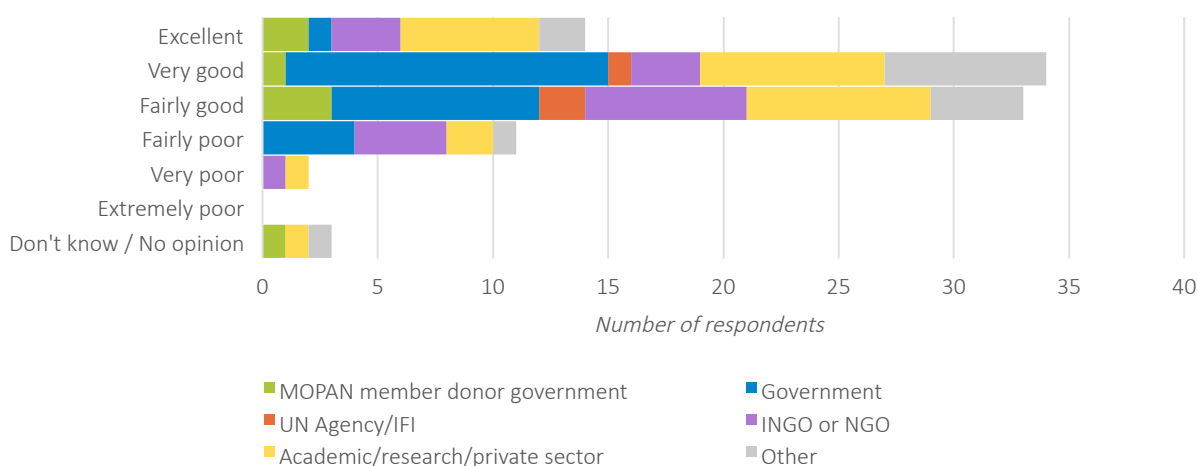
## UNESCO interventions appropriately manage risk in a given context



Legend:
- MOPAN member donor government
- UN Agency/IFI
- Academic/research/private sector
- Government
- INGO or NGO
- Other

*Number of respondents*
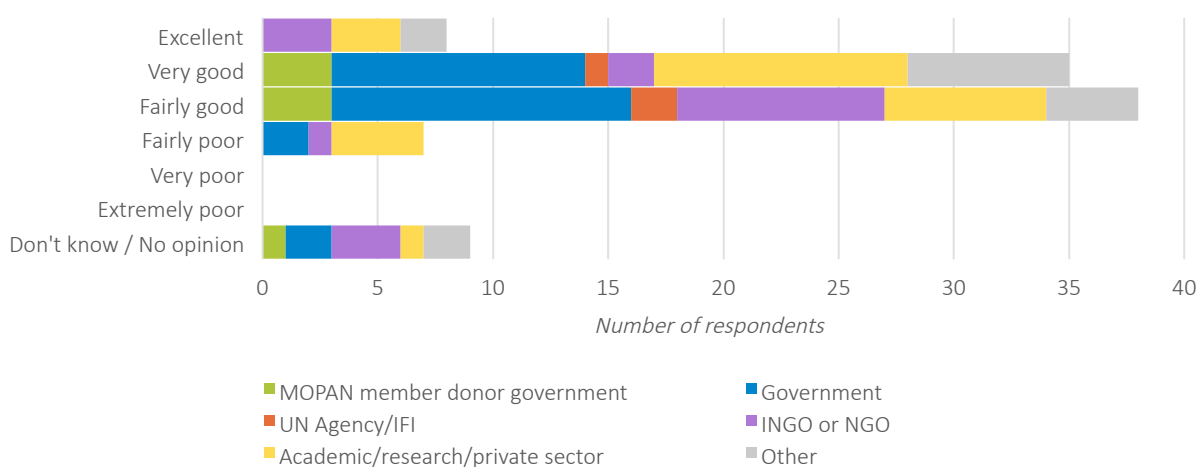
## UNESCO designs and implements its interventions to sustain effect and impact over time



*Number of respondents*

- ■ MOPAN member donor government
- ■ Government
- ■ UN Agency/IFI
- ■ INGO or NGO
- ■ Academic/research/private sector
- ■ Other
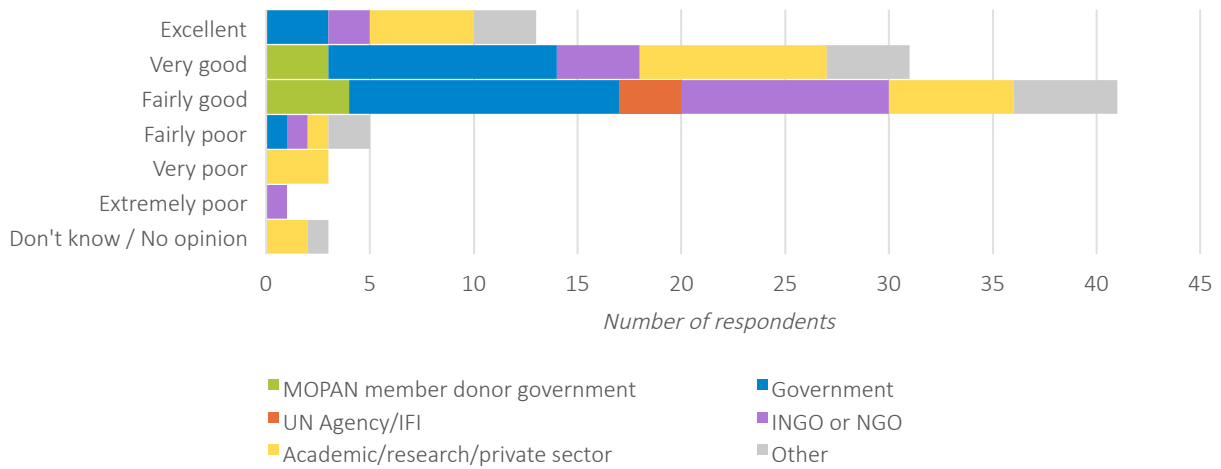
## UNESCO capacity building/training serves the needs of the country



*Number of respondents*

- ■ MOPAN member donor government
- ■ Government
- ■ UN Agency/IFI
- ■ INGO or NGO
- ■ Academic/research/private sector
- ■ Other
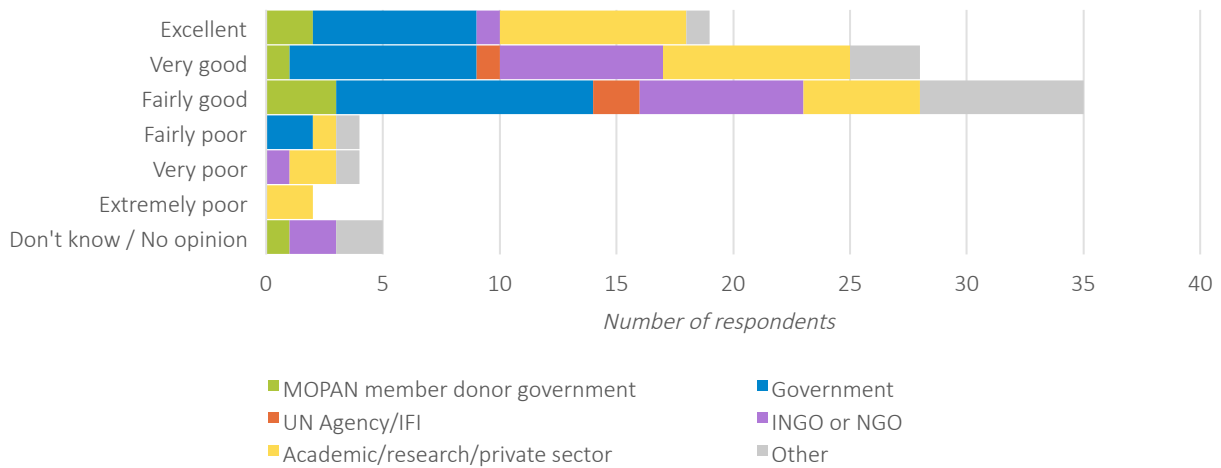
## Interventions (cross-cutting issues)

## Familiarity with the gender strategy of UNESCO



*Number of respondents*

- ■ MOPAN member donor government
- ■ Government
- ■ UN Agency/IFI
- ■ INGO or NGO
- ■ Academic/research/private sector
- ■ Other
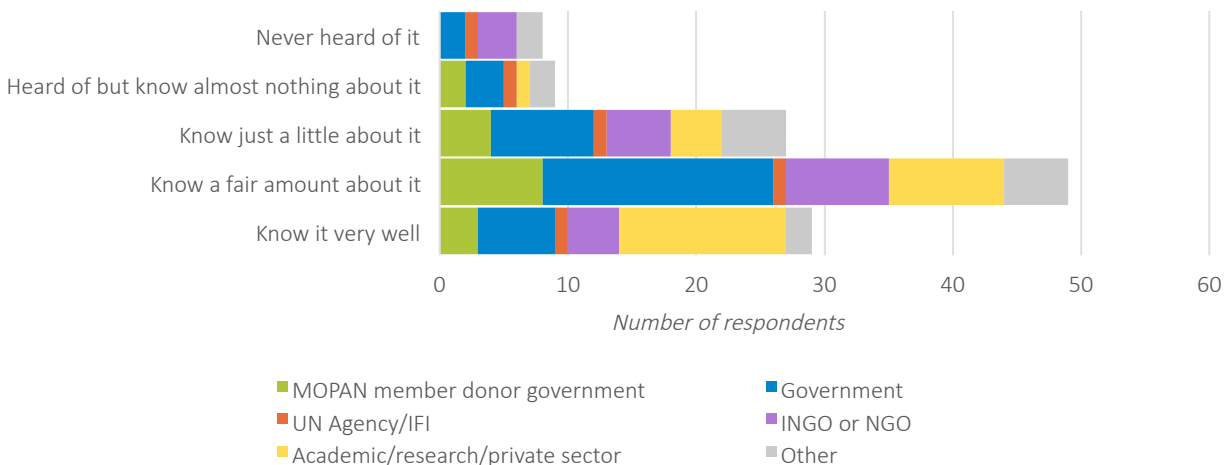
Familiarity with environmental sustainability strategy of UNESCO, including addressing climate change
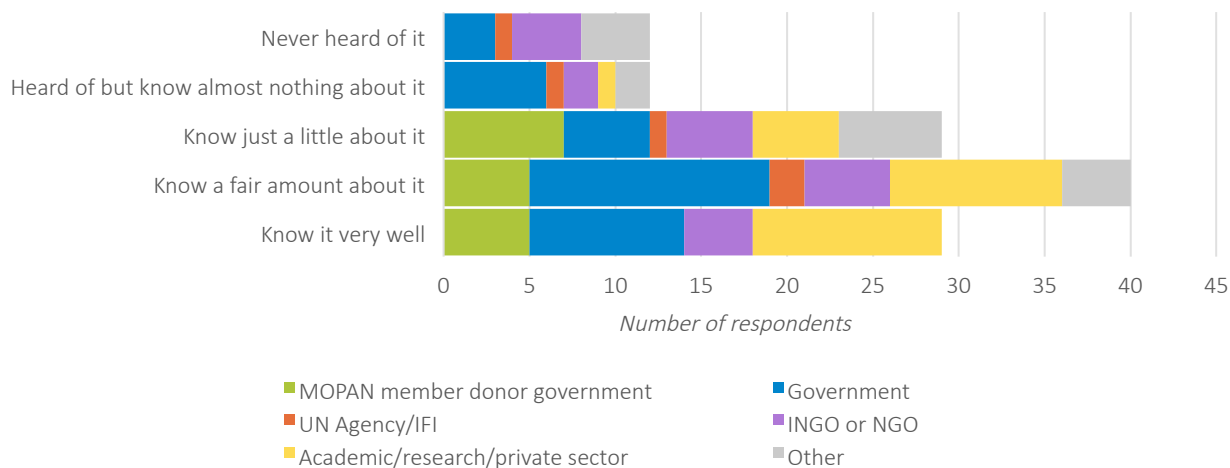


Familiarity with strategy for setting out how UNESCO intends to engage with good governance
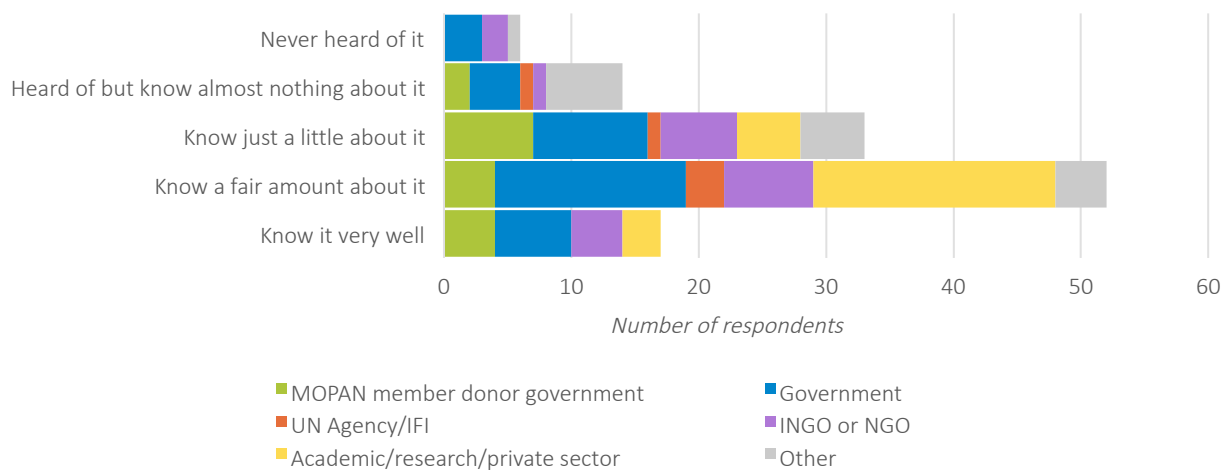


Familiarity with strategy for how UNESCO intends to take forward its policy commitment on human rights
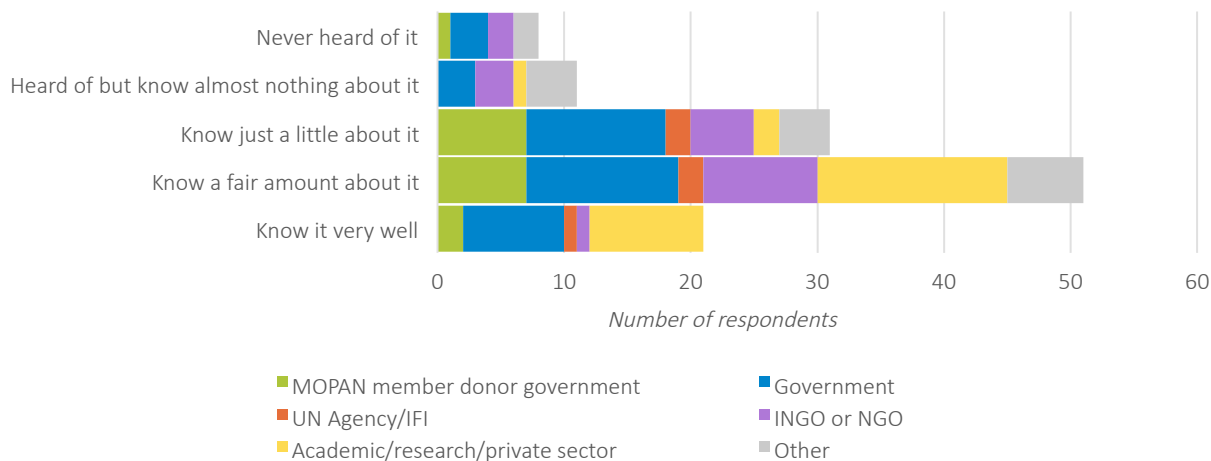
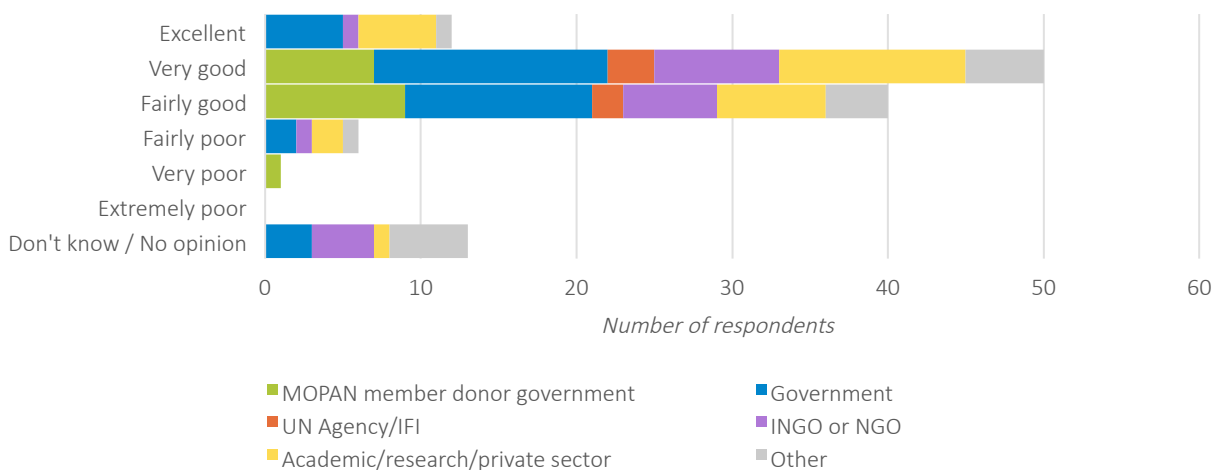## Interventions (cross-cutting issues, organisational performance)
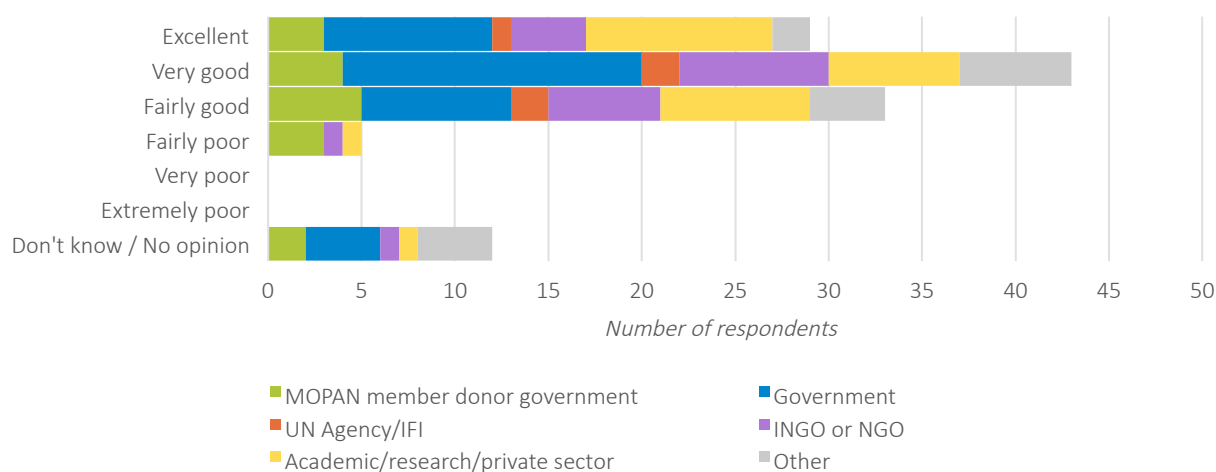
### UNESCO promotes gender equality



*Number of respondents*

- ■ MOPAN member donor government
- ■ Government
- ■ UN Agency/IFI
- ■ INGO or NGO
- ■ Academic/research/private sector
- ■ Other
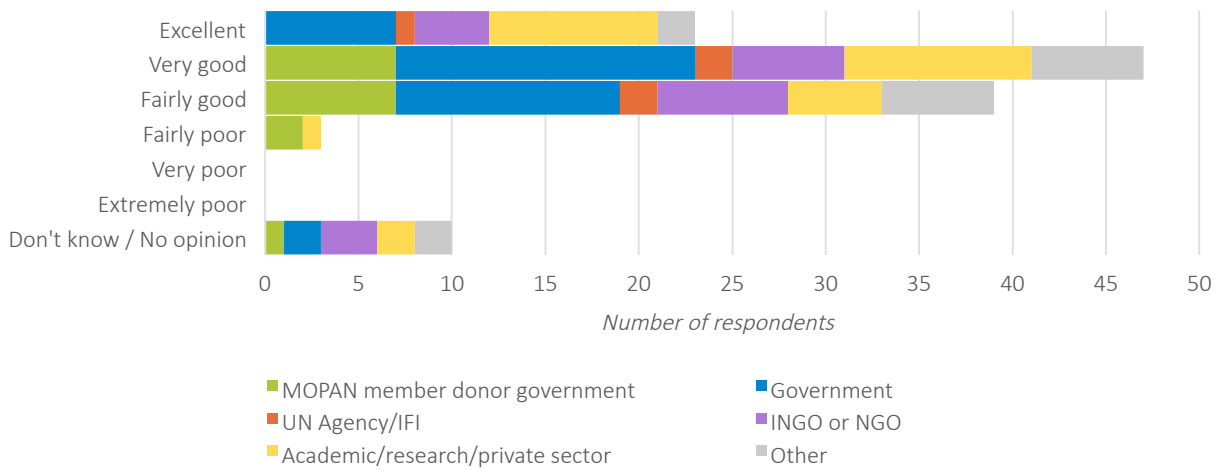
### UNESCO promotes environmental sustainability/addresses climate change



*Number of respondents*

- ■ MOPAN member donor government
- ■ Government
- ■ UN Agency/IFI
- ■ INGO or NGO
- ■ Academic/research/private sector
- ■ Other
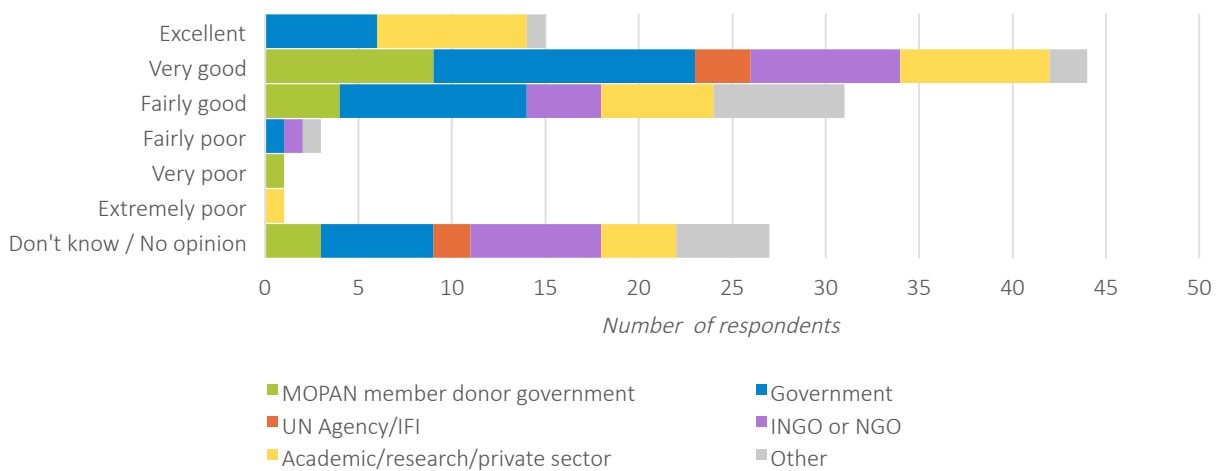
### UNESCO promotes principles of good governance



*Number of respondents*

- ■ MOPAN member donor government
- ■ Government
- ■ UN Agency/IFI
- ■ INGO or NGO
- ■ Academic/research/private sector
- ■ Other

## UNESCO promotes human rights



Legend:
- MOPAN member donor government
- Government
- UN Agency/IFI
- INGO or NGO
- Academic/research/private sector
- Other

## Managing relationships

## UNESCO prioritises working in synergy/partnerships



Legend:
- MOPAN member donor government
- Government
- UN Agency/IFI
- INGO or NGO
- Academic/research/private sector
- Other
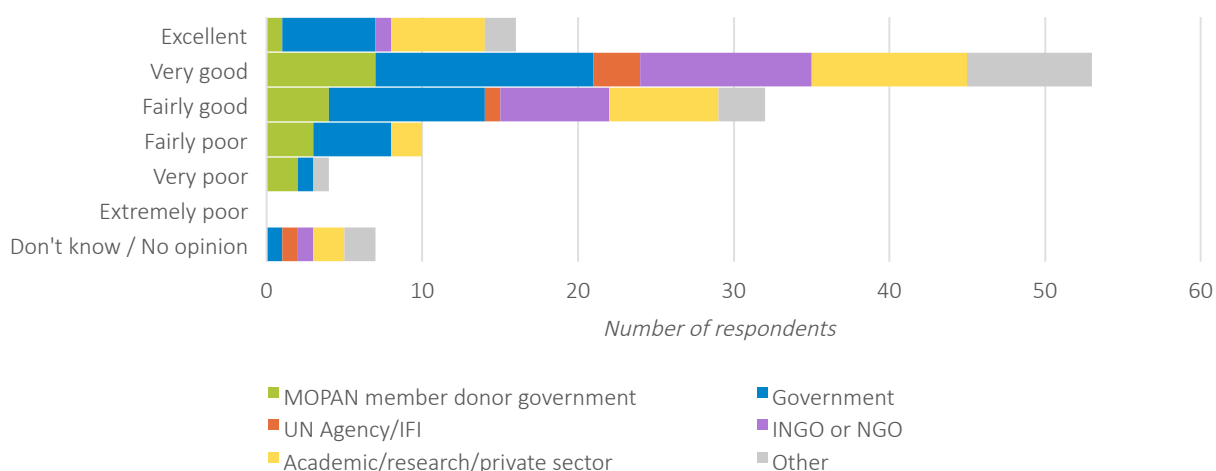
## UNESCO shares key information with partners on an ongoing basis



Legend:
- MOPAN member donor government
- Government
- UN Agency/IFI
- INGO or NGO
- Academic/research/private sector
- Other
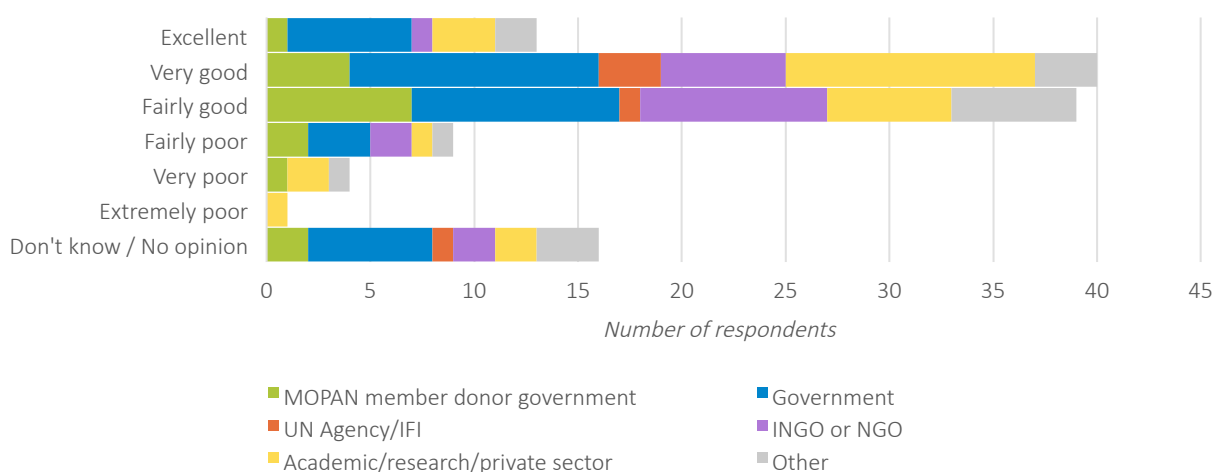
## UNESCO uses regular review points with partners to identify challenges



Number of respondents

- ■ MOPAN member donor government
- ■ UN Agency/IFI
- ■ Academic/research/private sector
- ■ Government
- ■ INGO or NGO
- ■ Other
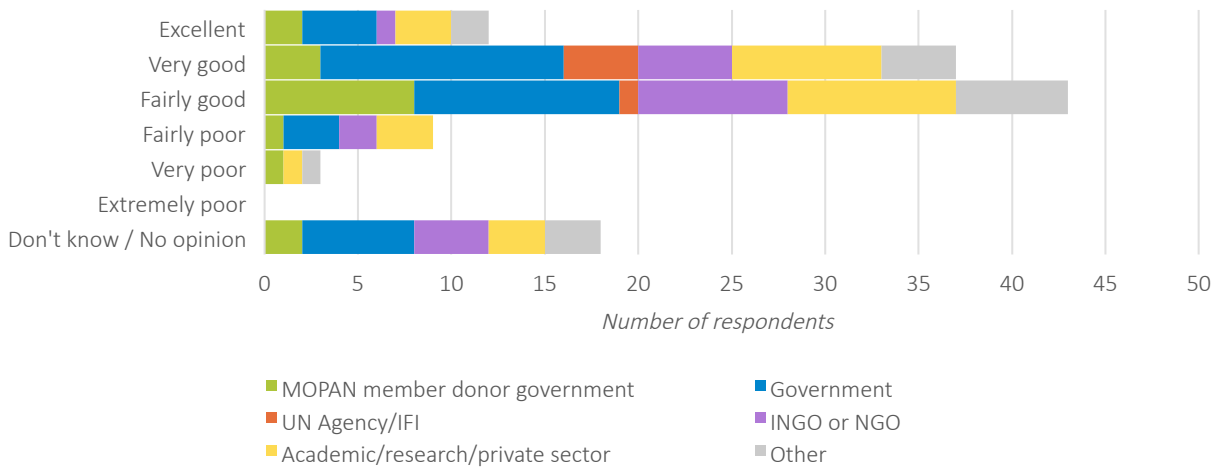
## UNESCO organisational procedures are synergised with partners



Number of respondents

- ■ MOPAN member donor government
- ■ UN Agency/IFI
- ■ Academic/research/private sector
- ■ Government
- ■ INGO or NGO
- ■ Other
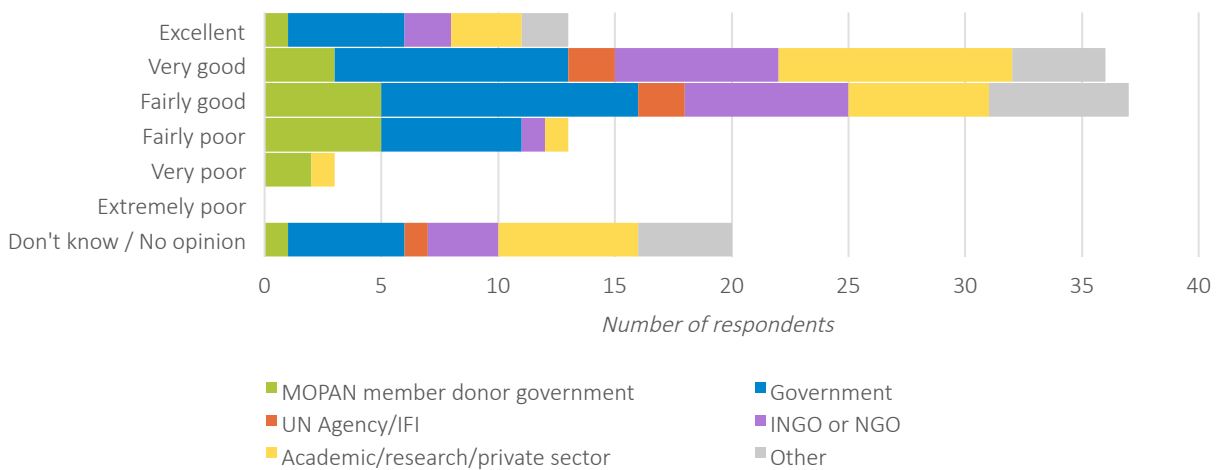
## UNESCO provides high quality inputs to country dialogue



Number of respondents

- ■ MOPAN member donor government
- ■ UN Agency/IFI
- ■ Academic/research/private sector
- ■ Government
- ■ INGO or NGO
- ■ Other
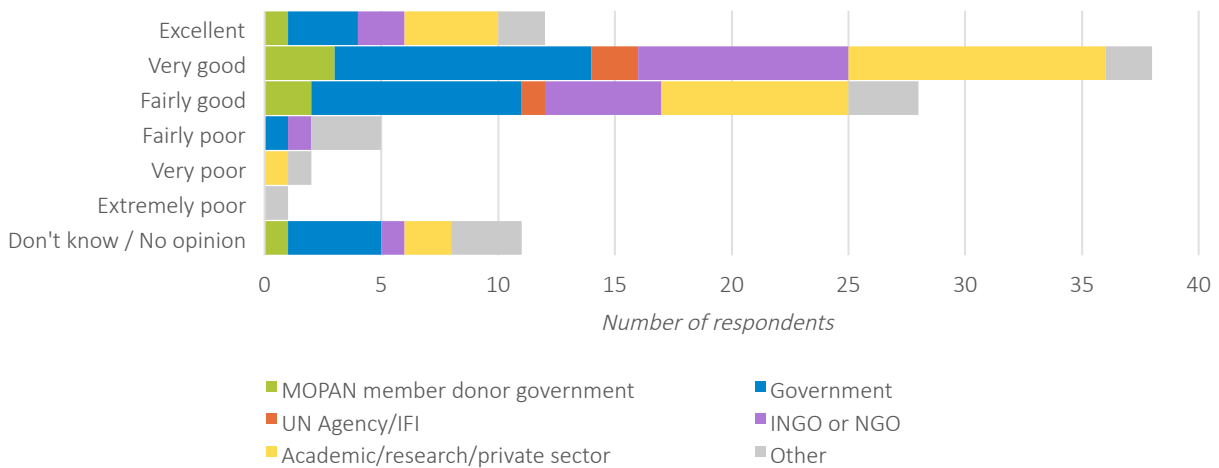
## UNESCO views are well respected in country policy dialogue



*Number of respondents*

- ■ MOPAN member donor government
- ■ Government
- ■ UN Agency/IFI
- ■ INGO or NGO
- ■ Academic/research/private sector
- ■ Other
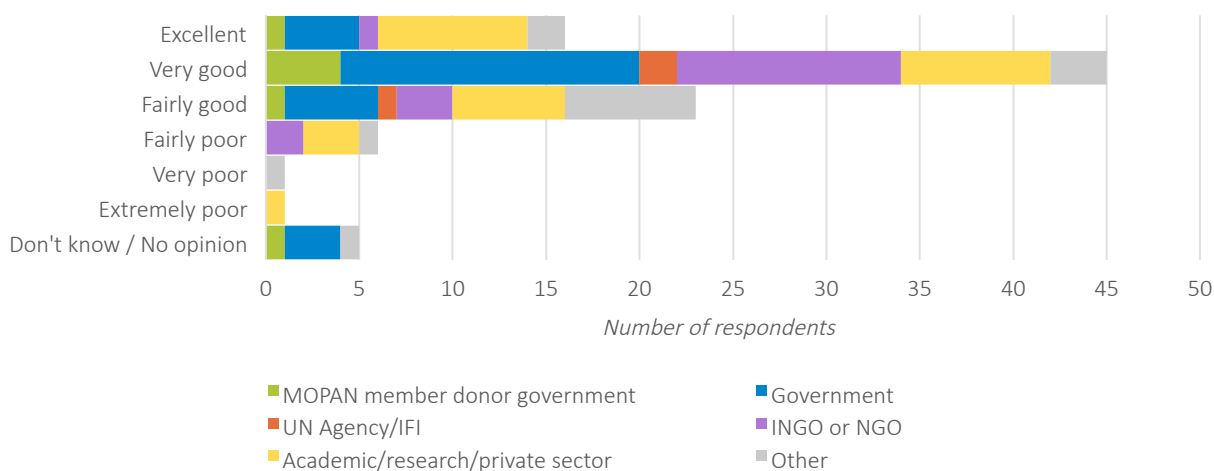
## UNESCO provides high quality input to regional dialogue



*Number of respondents*

- ■ MOPAN member donor government
- ■ Government
- ■ UN Agency/IFI
- ■ INGO or NGO
- ■ Academic/research/private sector
- ■ Other
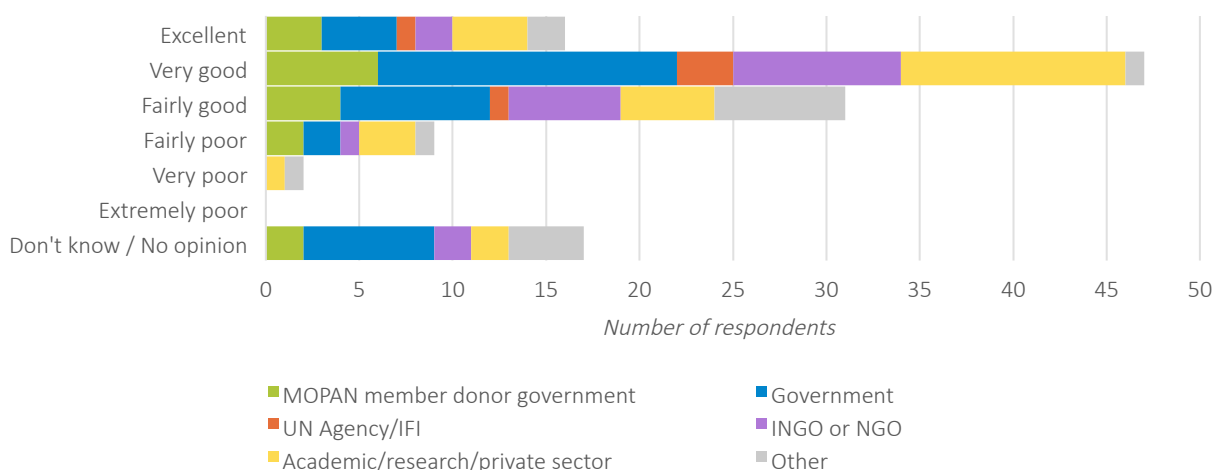
## UNESCO views are well respected in regional policy dialogue



*Number of respondents*

- ■ MOPAN member donor government
- ■ Government
- ■ UN Agency/IFI
- ■ INGO or NGO
- ■ Academic/research/private sector
- ■ Other
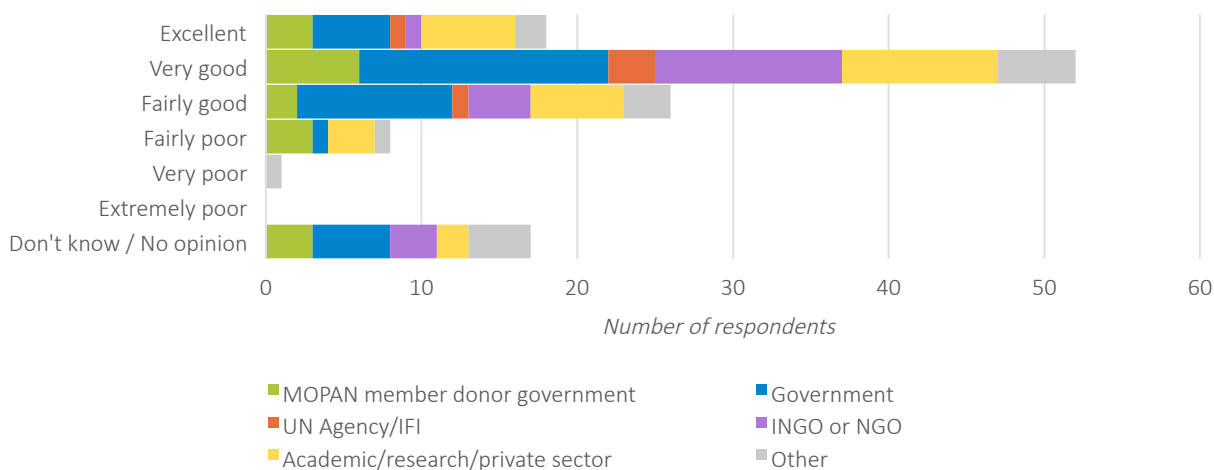
## UNESCO conducts mutual assessments of progress with national/regional partners



*Number of respondents*

- MOPAN member donor government
- UN Agency/IFI
- Academic/research/private sector
- Government
- INGO or NGO
- Other
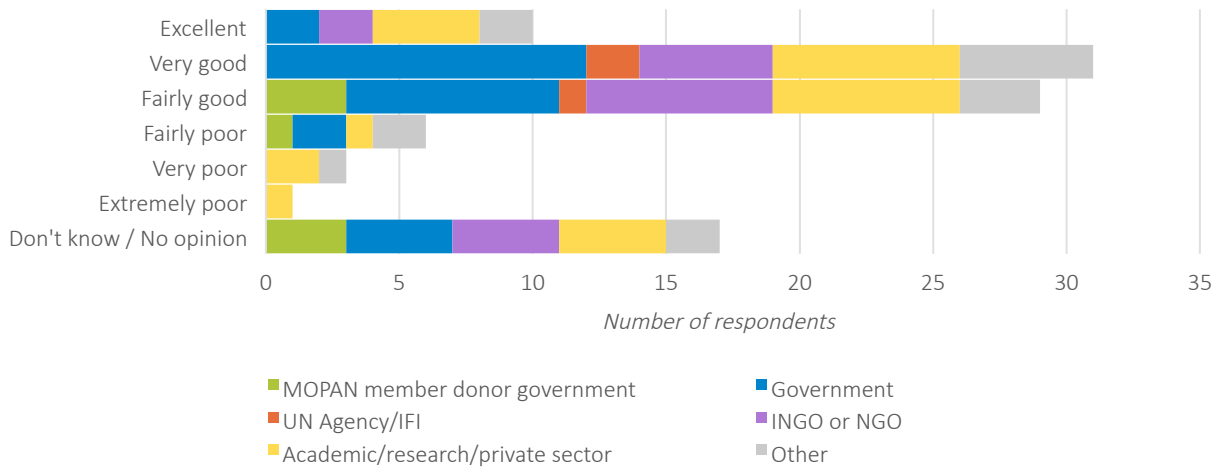
## UNESCO channels resources through country systems as the default option



*Number of respondents*

- MOPAN member donor government
- UN Agency/IFI
- Academic/research/private sector
- Government
- INGO or NGO
- Other
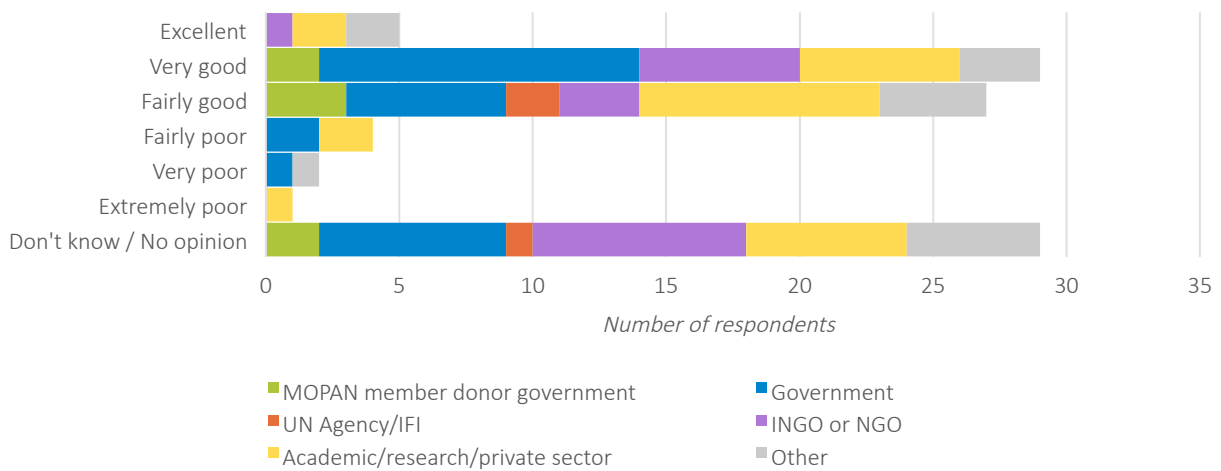
## UNESCO builds capacity in countries where systems are not up to the required standard



*Number of respondents*

- MOPAN member donor government
- UN Agency/IFI
- Academic/research/private sector
- Government
- INGO or NGO
- Other
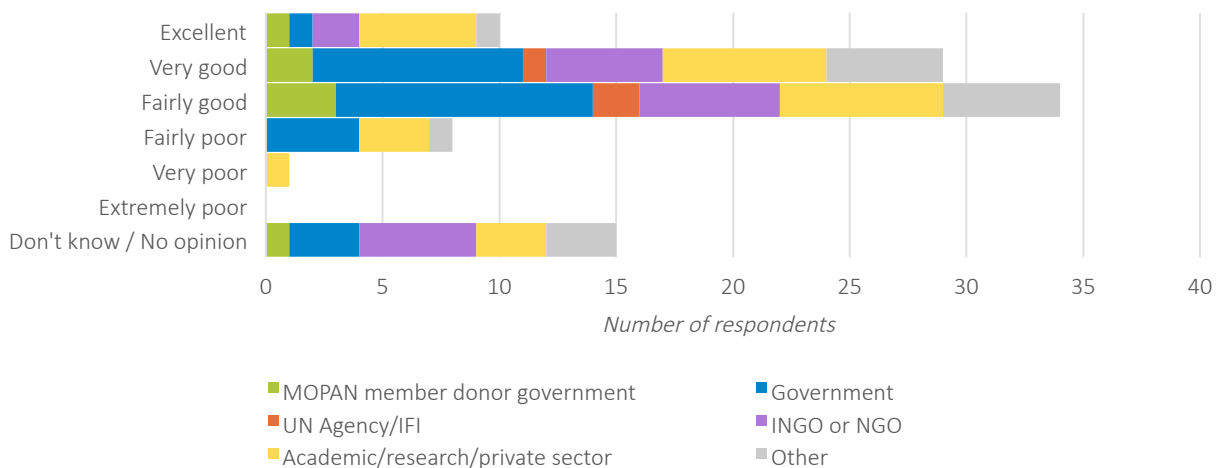
## UNESCO organisational procedures do not cause delays for implementing partners



*Number of respondents*

- MOPAN member donor government
- UN Agency/IFI
- Academic/research/private sector
- Government
- INGO or NGO
- Other
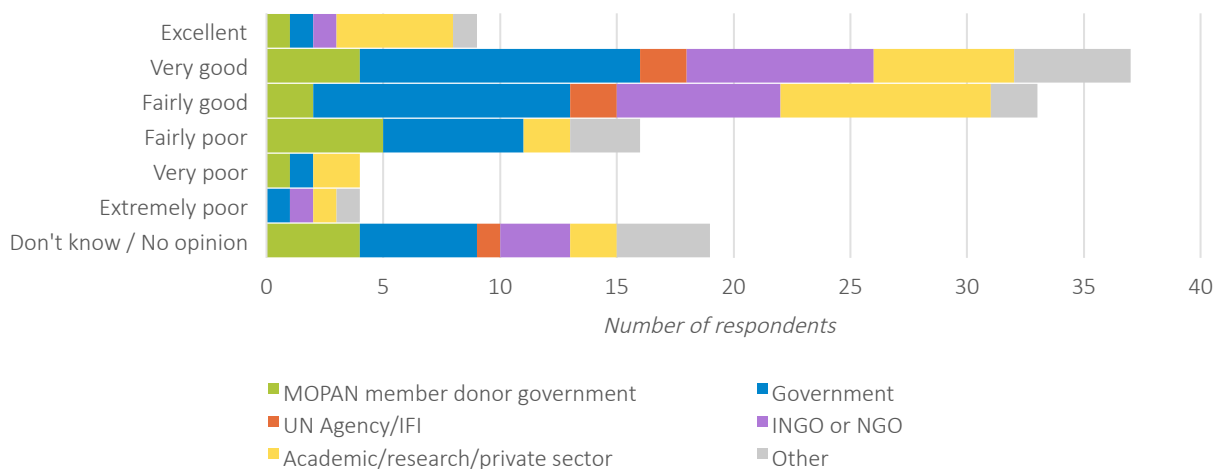
## UNESCO knowledge products are useful for my work



*Number of respondents*

- MOPAN member donor government
- UN Agency/IFI
- Academic/research/private sector
- Government
- INGO or NGO
- Other
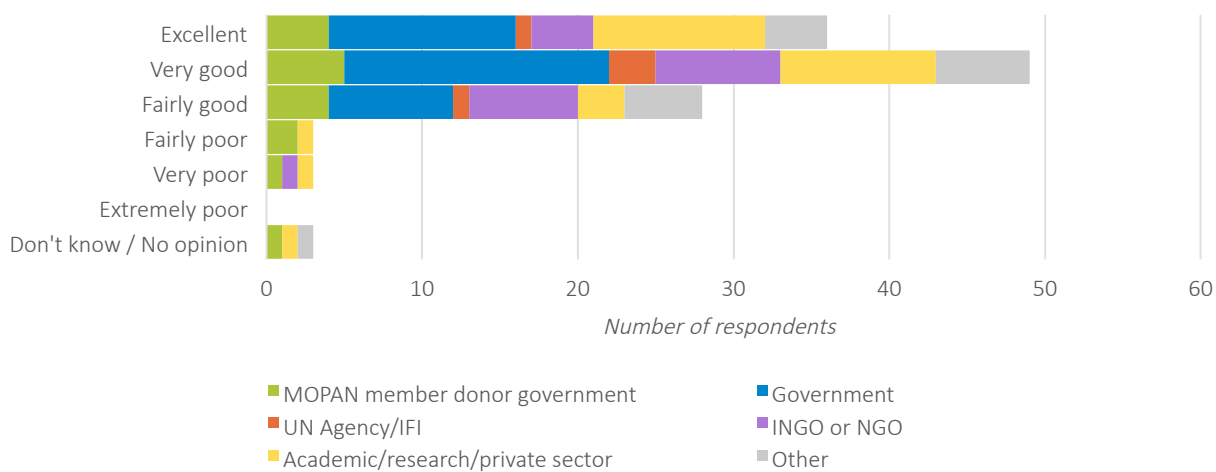
## Performance management

### UNESCO prioritises as results-based approach
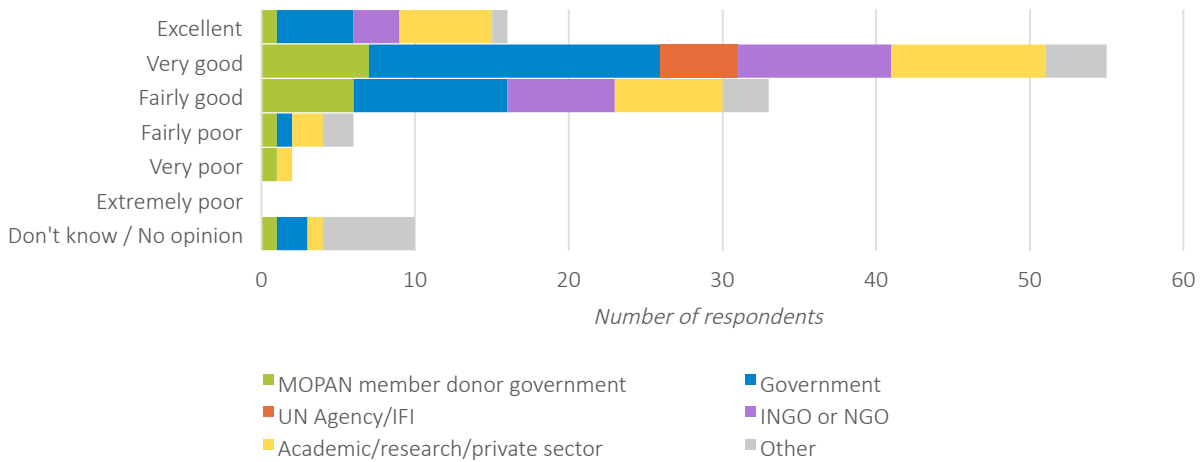


MOPAN member donor government
UN Agency/IFI
Academic/research/private sector
Government
INGO or NGO
Other

### UNESCO uses robust performance data when designing and implementing interventions



MOPAN member donor government
UN Agency/IFI
Academic/research/private sector
Government
INGO or NGO
Other
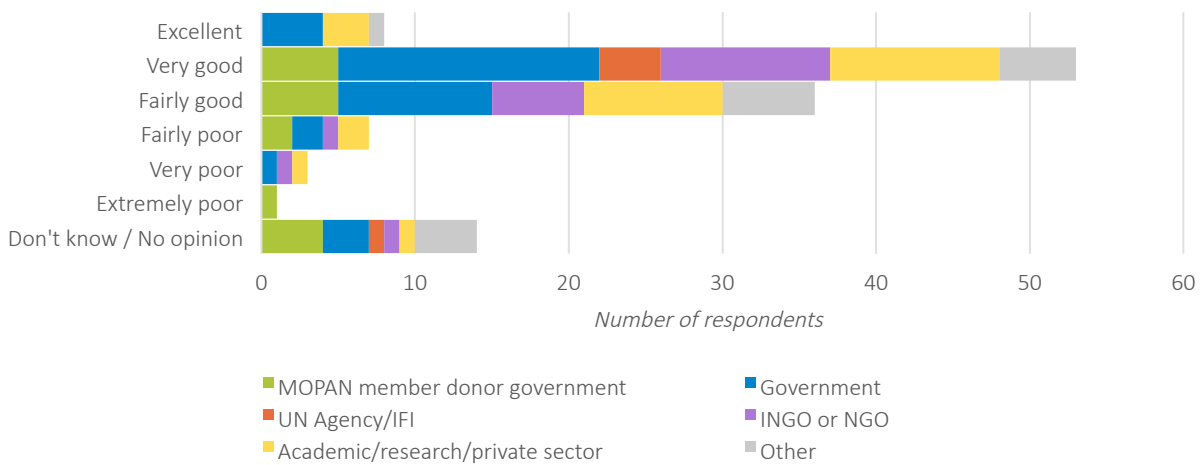
### UNESCO bases its policy and strategy decisions on robust performance data



MOPAN member donor government
UN Agency/IFI
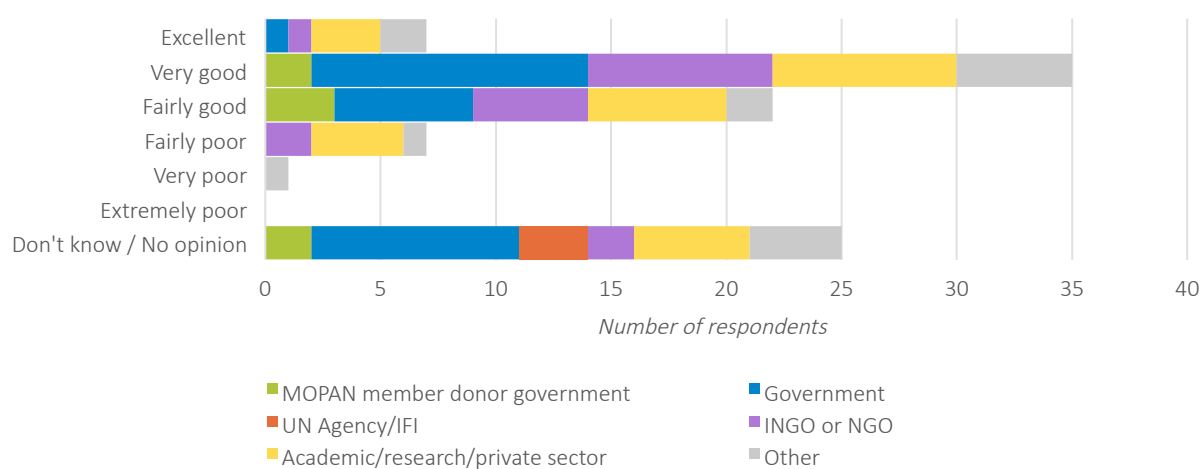Academic/research/private sector
Government
INGO or NGO
Other
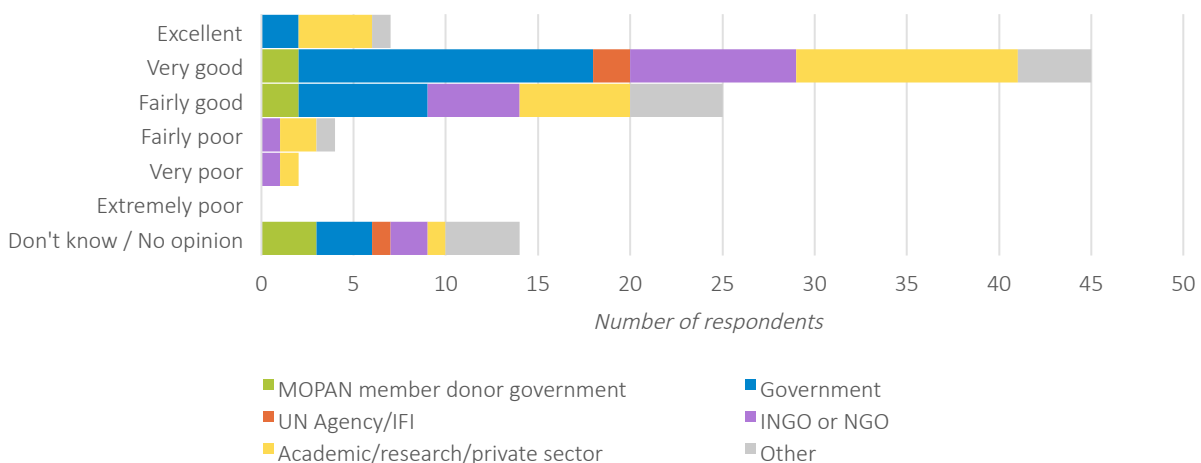
## Evidence base for planning and programming

### UNESCO has a clear statement on which of its interventions must be evaluated



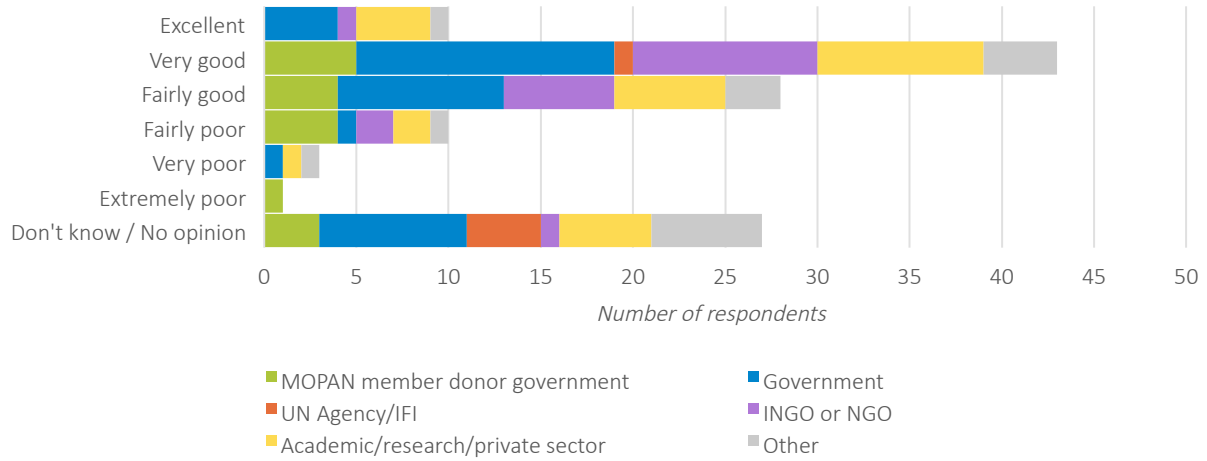Number of respondents

- MOPAN member donor government
- Government
- UN Agency/IFI
- INGO or NGO
- Academic/research/private sector
- Other
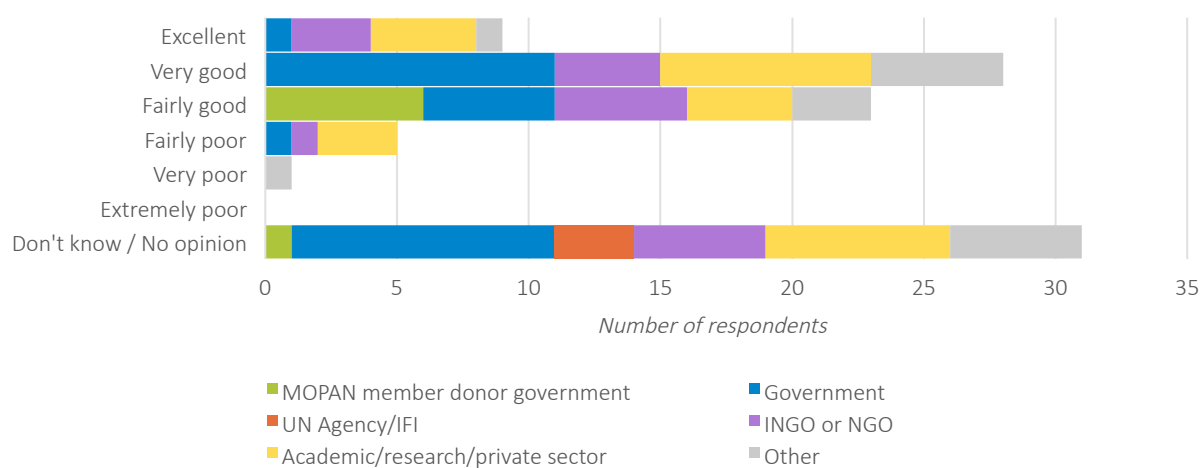
### Where required, UNESCO ensures that evaluations are carried out



Number of respondents

- MOPAN member donor government
- Government
- UN Agency/IFI
- INGO or NGO
- Academic/research/private sector
- Other

### UNESCO participates in joint evaluations at the country/regional level



Number of respondents

- MOPAN member donor government
- Government
- UN Agency/IFI
- INGO or NGO
- Academic/research/private sector
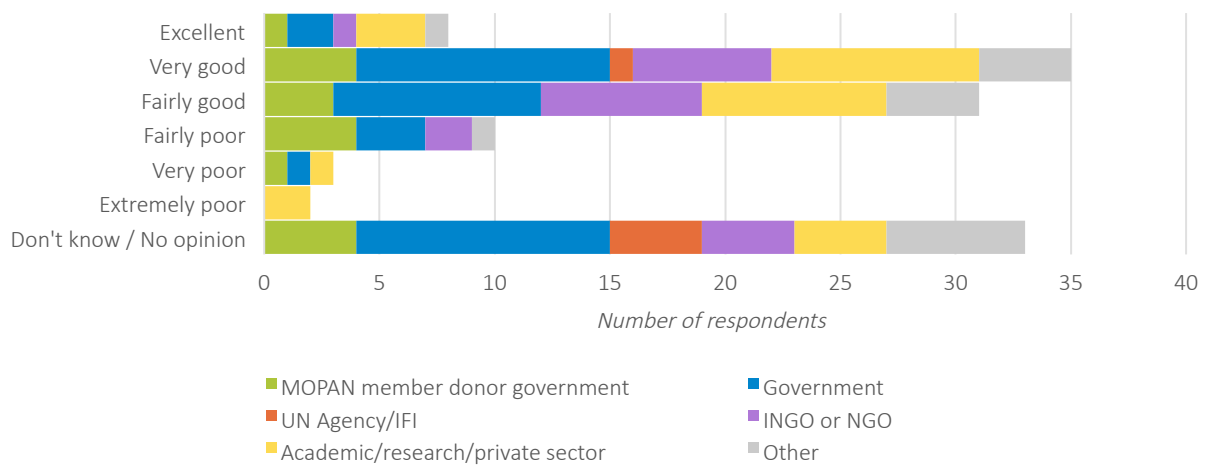- Other
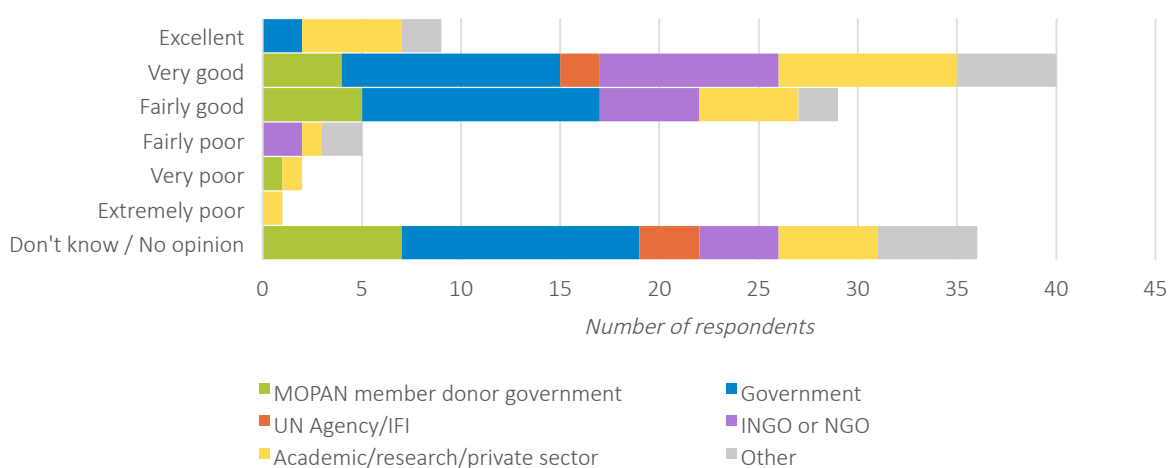
## UNESCO intervention designs contain a statement of the evidence base
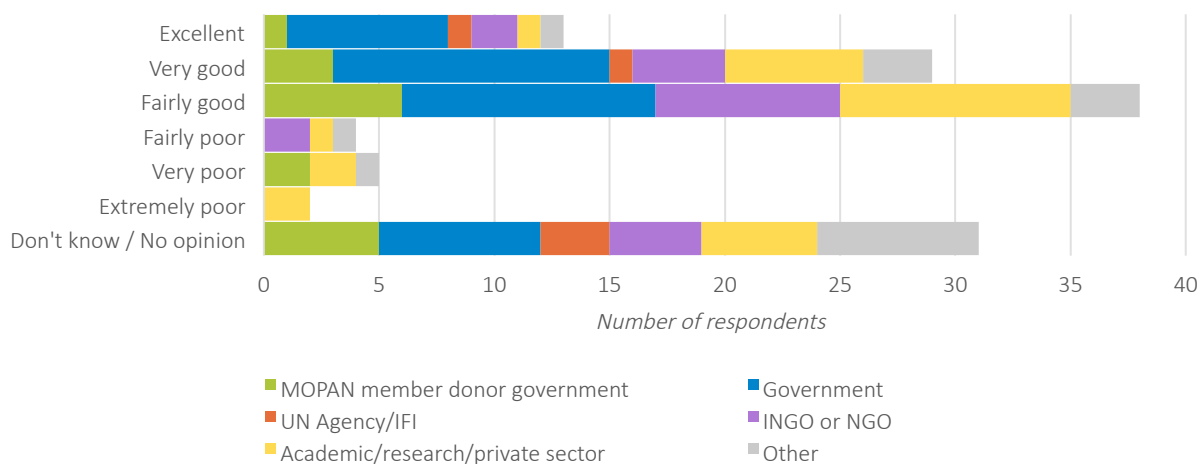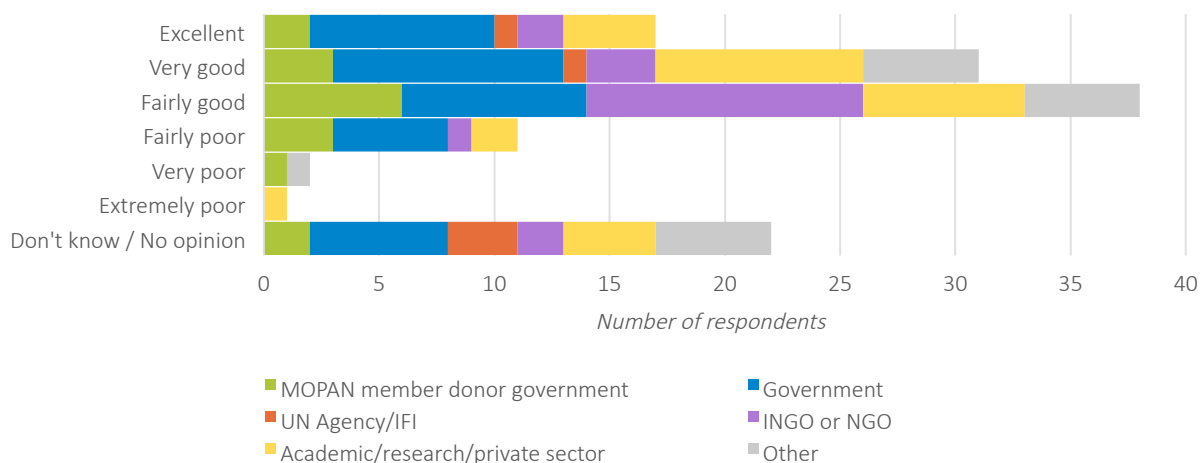


## UNESCO identifies under-performing interventions
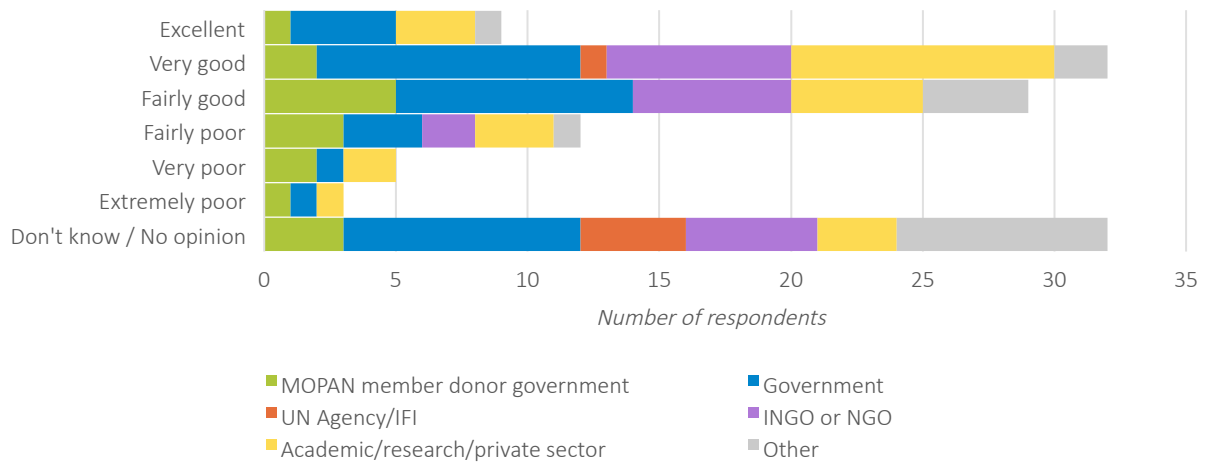


## UNESCO addresses any areas of intervention under-performance

## UNESCO follows up evaluation recommendations systematically



*Number of respondents*

- ■ MOPAN member donor government
- ■ UN Agency/IFI
- ■ Academic/research/private sector
- ■ Government
- ■ INGO or NGO
- ■ Other

## UNESCO learns lessons from experience rather than repeating the same mistakes



*Number of respondents*

- ■ MOPAN member donor government
- ■ UN Agency/IFI
- ■ Academic/research/private sector
- ■ Government
- ■ INGO or NGO
- ■ Other

For any questions or comments, please contact:
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