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Publications Capacity Evaluation

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EXECUTIVE SUMMARY

1. Through its 180EX/Decision 40, the Executive Board requested an Internal Oversight Service (IOS) study of staff capacity across the Organization to deliver quality publications and distribution as per the new policy framework. The results of this review were presented to the Director-General and senior management for consideration when determining staffing needs for the 35C/5.

2. IOS completed the requested study, and the principal conclusions of the report are as follows:
    *   The improved quality controls of the new Publications Policy create a set of new functions and tasks that are not currently undertaken in sectors and the Bureau of Public Information (BPI).
    *   In the short-term, implementation of the new policy will require the three additional posts proposed for BPI for a limited duration. To manage longer-term needs, a reorganization of functions in the BPI Publications Unit (BPI/PUB) and ADM/CLD/DOC will be necessary. The on-going need for the additional posts at BPI should be reviewed at the same time as the reorganization of these two organizational units. Efficiency gains can be obtained by further streamlining of roles within Sectors and BPI.
    *   The request for four new posts at CLT, CI, SHS, and SC was not supported with detailed analysis by BPI or the Sectors. We concluded that these functions can be carried out through reorganization, training and restructuring of existing publication capacities within these Sectors.
    *   Other related issues that need urgent attention include: the roll-out of publication guidelines and needed structures, finalization of IT tool for management of publication, and funding for training.

3. The review also raises other issues including the need for: (1) quality assurance procedures for other information materials released by UNESCO, (2) integration of the publications strategy with the communications strategy, and (3) exploration of different charging and cost recovery regimes for publications.

4. An assessment of the effectiveness and resourcing of the policy could be conducted after two years.

Adjacent Findings

In addition to the principal conclusions of this study in conformance to the terms of reference, the report also identifies two areas where further value can be achieved through streamlining of publication processes across the Organization and by extending the quality assurance framework to all information material. The recommendations regarding these other matters are set forth below.

No.	Description	Action Office	Deadline
1	BPI in coordination with CLD and representatives from the sectors should address the streamlining of processes throughout the Organization with a view to rationalising the production capacity, publications distribution capacity and stock management, including pulping/recycling. The team should deliver its recommendations to the Director-General by 30 June 2009.	BPI	June 2009
2	BPI through CCPI should coordinate the development of a quality assurance framework for all Information Material (see list in Annex) and should ensure that capacity is in place to manage this quality framework over the long term, in particular the human resources.	BPI	February 2010

In addition, the report itself explains and describes a number of issues that could be addressed. (e.g. paras 6.1 on training needs and 8.3.1 on the implementation of the publication policy).

1. Background and Context

In June 2008, the Director-General issued a Blue Note containing UNESCO's new Publication and Distribution Policy. The development of the new policy was built upon the recommendations made by the External Auditor's report on UNESCO's publication activities in 2007, as well as conclusions of an IOS 2005 report, the ongoing review by the Committee on Communication and Public Information (CCIP), and the work by the Working Group on Publications Policy and Guidelines.

The progress in developing the new framework was presented in Executive Board Paper 180 EX/40. Amongst other proposed actions, was the creation of seven new posts (four in Sectors and three in BPI) to support the new policy framework. In response to the Secretariat proposal, the Executive Board (180EX/Decision 40) asked IOS to review the staff capacity across the Organization to deliver quality publications and distribution as per the new policy framework. Based on the results of this review, the Sectors are to present their staffing needs for the 35 C/5.

In line with 180 EX/Decision 40, this review:

- linked the findings contained in the External Auditors report to the possible need for additional staff resources by looking at any functional gaps;

- examined whether duplication exists and whether efficiencies can be found (in particular by examining overlaps between Central Services and Sectors);

- covered all those Organization units directly involved in Publications.

The methodology undertaken for the review is listed in Annex I.

2. The Policy New Publication and Distribution

There are no functional gaps between the External Auditor's recommendations and the proposed new publications policy and draft UNESCO Publishing Guidelines.

2.1 Description

The new publications policy and framework comprises three parts:

3

1. A Blue Note which sets out the overall Publication and Distributions Policy and objectives. This note:
- defines publications;
- requires the development of Publication and Distribution Plans;
- sets out the need for quality control and guidelines;
- sets out responsibilities for monitoring and dissemination;
- addresses intellectual rights issues;
- requires the establishment of Communication, Information and Publication Unit (CIP) units in each Sector, Field Office or institute, or alternately, the use of Publications Officers (PO), focal points or shared services; and
- requires BPI to organise training for those involved in publications.

2. Changes to the Administrative Manual including policy rationale, definitions, criteria for publications, categories of publications, the need to follow the guidelines for publication, authorship and ethics, copyrights, co-publishing and partnerships, and promotion and distribution.

3. UNESCO Publishing Guidelines, currently in draft form, set out a process workflow for each step in the publication process. The revised guidelines require that appropriate planning and budgeting take place as part of the publication process, and that activities are validated to ensure the quality and appropriateness of procedures. The guidelines also define roles and responsibilities for each step of the procedure.

A summary of key steps in the workflow, and the roles and responsibilities in each of those steps, is shown in Annex II.

2.2 Assessment of whether the proposed UNESCO Publication Guidelines meet the External Auditor's (EA) recommendations

The External Auditor's requirements of the revised publications and distribution policy and publishing guidelines are:
To provide expertise required to implement publication projects under conditions that ensure quality, relevance, project efficiency and compliance with standards set.

The key recommendations from their report can be summarised as follows:

1. Prepare a Publications Plan in consultation with BPI.
2. Ensure compliance with a logical and coordinated procedure.
3. Commission manuscripts and synopses from authors.
4. Secure clearances from the AO and BPI before all contracts with outside authors are signed.
5. Provide advice at each stage of the publications process.
6. Conduct effective monitoring of the publication process.

A comparison was undertaken of the recommendations of the External Auditors and the proposed workflow in the draft revised publications guidelines. This comparison is summarised in Annex III and shows that the External Auditor's recommendations have been met through the proposed work processes in the draft guidelines.

3. Additional functions and responsibilities arising from the proposed UNESCO Publishing Guidelines

The proposed Publishing Guidelines create a number of new functions and tasks that are not currently undertaken in Sectors and Field Offices.

Additional functions and responsibilities

The degree to which the workflow creates additional functions and responsibilities is dependent on the existing processes in Sectors and Field Offices. As the requested new posts in the Sectors are for the Publications Officer role, our analysis focused primarily on the roles and activities allocated to the publications unit by the guidelines and the degree to which these are additional to the current tasks being undertaken within the Sector. The detail of additional tasks and roles are set out in Annex IV and summarised below.

Planning

As per the External Auditors report, the practice of preparing a Publications Plan varied between Sectors. BPI insisted on a Publications Plan for the for-sale publications. In response to efforts by BPI in 2006, collation, analysis and submission of planned for-sale publications was carried out by three Sectors.

A UNESCO-wide Publications and Distribution Plan was prepared in 2008. The plan tended to be a reactive process and for many, information entered into the publications plan database was undertaken by programme specialists without any validation. Analysis for the plan was limited in Sectors with the exception of ED. Some Sectors have signalled a desire to move to a more strategic approach to planning (e.g. top-down approach).

The new guidelines require the Programme Specialist to prepare their plan so that the publications reflect the Sectors' programme priorities. This includes both for-sale and not-for-sale publications. The Publications Officer is also required to perform a quality check and then validate the Sectors' plan.

Content Preparation

The major additional areas of work in content preparation arise in:
- Author contracts – in all Sectors there will be a need for additional training, validation and transmission of contracts to BPI.
- Review – review of content was only sporadic in the Sectors. The review requirements in the guidelines will add tasks for programme specialists and for the publications unit in validation. There are some Sectors and Institutes which have good review processes, but there are only a very few in which this is consistent and where validation also occurs.
- Advice – the guidelines envisage the Publications Officer providing advice to programme specialists in all areas of content preparation. It would appear that the capacity to provide this advice in the publications unit is limited in some Sectors, both in terms of skills and number of people available to give advice. However, in almost all Sectors there are a number of people involved in publications who are likely to have the appropriate expertise, and the question is therefore one of availability and accessibility of these people for advice-giving rather than absolute capacity.

Production

The production stage involves copy-editing, layout, proofing and printers-proof processes. In some cases the production stage will add further workload at the programme level, but this is highly variable across and within Sectors. For the publications unit role, the key tasks are in providing advice, assistance and in validating the final printer's proofs. The director of the unit in which the publication originates is also required to validate the final proofs.

Prior to the new guidelines, there was no consistent policy of validation at this stage for the Sectors.

Cataloguing and archiving

This stage of the process generally takes place within all Sectors and units, although the mechanism is highly variable. For all but a few Sectors, where the function is already centralised, centralising will increase the tasks for the publications officer, but decrease work requirements elsewhere.

Promotion

The promotion of publications, where it is done at all, tends to be in the form of electronic notification, notification in other publications, or newsletter circulation. There is generally no specific planning for the promotion of a publication.

Planning, preparation of the communications material, communications functions, and validation are all additional tasks set out in the guidelines.

Distribution and Stock Management

Distribution is highly variable across the Organisation, including:
- BPI through a Brussels-based company and through a network of sales agents worldwide.
- ADM/CLD for information materials (including some publications) that it produces or that are specifically sent for distribution (where DTP and printing have been handled by the sectors themselves). This includes distribution to statutory distribution lists and to any other lists sent by Sectors for distribution.
- ED and WHC have specific stock management and distribution arrangements with an external warehouse.
- Programme specialists throughout the Organisation manage their own distribution.

The new tasks for distribution and stock management involve the planning phase by programme specialists, validating the plan, and centralising the distribution and stock management. Distribution and stock management will only require a re-organization of resources from the programme to the publications unit in most cases, but validating the distribution plan is an additional task.

It is noted that BPI is proposing solutions to introduce common distribution and stock management functions to the Organisation at HQ level. This task will also be more efficiently managed with a new publications management tool that has been proposed by BPI.

Evaluating impact

Little is done at either Sector or Field Office level in terms of evaluating impact. In some cases there is analysis of requests and number of copies distributed, website hits and other available statistics, but this tends to be the exception rather than the rule. Some Sectors, for example ED, have prepared return forms for publications, but it is not clear the extent to which these are used. The Publication Unit in IIEP has begun the task of designing an evaluation system that links to the overall evaluation plan of the programme, but this has not yet been completed. For most Sectors, Field Offices and Institutes, the planning and implementation of an evaluation system will be a significant extra task for both programme specialists and the publications officer.

4. Analysis of Sectors, Field Offices, Institutes and Central Services

> **Resources required to address the new functions created by the publications policy should be met internally by the Sectors, Field Offices and Institutes.**
>
> **There is potential to reduce the requirements of the publications policy by removing multiple validations.**
>
> **There is potential for efficiency gains in the publications process through centralization of distribution and stock management, and through use of the communications units for the promotion aspects of the proposed workflows.**

4.1 Publications volumes and existing capacity in Sectors, Field Offices and Institutes

There was no analysis by the requesting Sectors and BPI on the need for additional posts and training requirements. The analysis undertaken was zero-based and involved identifying current capacity, determining volumes of publications, comparing volumes with a benchmark for good

practice, and making an assessment of the ability of the Sectors and Field Offices to restructure to meet the requirements of the publications policy (Please refer to paragraph 5 of Annex I).

In volume terms, the publications plan contains 1039 entries as shown in Annex VI, although a number of these will not reach publication stage and a number have already been published. There is no reliable comparator with which to determine whether the overall workload is likely to increase or decrease in volume terms. The expectation is that there will be fewer publications in future because as the quality control procedures come into force, the attractiveness of publishing as an easy project output will reduce and it will tend to be used only when justified. The reduction will occur at the programme specialist level through decisions to use other means of achieving project objectives, but also at the Sector level where the true cost of issuing quality publications will force priority decisions about resource allocation.

Analysis of the existing publications capacity within each of the Sectors was undertaken, and is shown in Annex V. All Sectors have some publications capacity, although the capacity is generally spread throughout the sector. As noted in the previous section, the proposed publications and distribution policy and guidelines add a set of centralized functions related to advice and validation, which were not required under the previous approach to publications. The review team considers that the publishing guidelines create the requirement for new centralized roles in all Sectors. The team notes that all Sectors, apart from CLT, have begun the process of restructuring to appoint a Publications Officer role in a centralized function, with most having appointed or identified the individual who will fulfill this function.

Both of the two Field Offices sampled and the Institute (IIEP) had centralized publications functions. The External Auditor report indicates that most Institutes have some publications capacity, but the extent of capacity in smaller Field Offices is not able to be determined. Blue Note 08/44 allows Institutes and Field Offices with sufficient capacity and appropriate procedures to operate autonomously of BPI and HQ, except in respect of for-sale publications, planning processes and rights management. The analysis assumes that all Institutes and the four largest offices in terms of publications (Bangkok, Brasilia, Montevideo and Santiago) will operate autonomously with the exception of the planning process.

The review team was unable to determine the ability of the smaller Field Offices to meet the requirements of the publications process. It is likely, however, that below a threshold of publications it will not be worthwhile maintaining specialized publications expertise in the office. The review, therefore, concludes that publications from smaller offices should go through the publications quality assurance in the Sectors, potentially with assistance from a focal point in the Field Office. The analysis has been undertaken on the assumption that this will occur.

There was no sampling of Central Services, and there are only a limited number of publications likely to be finalised from this part of the Organisation. It will not be worth establishing a full publications unit in all central services, and probably the most appropriate use of resources is for BPI to act as the house publications unit for all Central Services units undertaking proper publications.

4.2 Potential efficiency gains

In assessing the requirements of the Organisation for additional resources (as distinct from additional functions) to implement the Publishing Guidelines, the potential for the guidelines and functions to be made more efficient (appropriate given that the guidelines are still in draft form) was also addressed. A number of overlaps, particularly in the validation phase were identified:

Process Workflow
- Author's contracts are validated by the PO and BPI.
- Publications checklist, review processes, printer's proofs, promotion strategy and budget, distribution strategy and budget, and evaluation plan are all validated by both unit director and the PO. BPI explains that this was requested by the directors as they lack the expertise to be able to assess the correctness of validation.
- BPI reviews the process when it issues an ISBN number.

- The evaluation analysis is validated by the PO, director and BPI.

The need for validation by multiple parties results in some inefficiency, although it is accepted that some of this will be only a temporary measure while the procedures are being established and subsequently, it will be possible to grant greater autonomy to units within the Organisation.

Promotion and Distribution

There are also some opportunities for creating efficiencies through pooling resources or using other specialists. This is likely to arise particularly in respect of:

- Promotion – public information and communications teams exist in most Sectors. It would seem more efficient to have the communications team managing the promotion side of publications. This would offer specialist skills, opportunities for efficiency gains by integrating with other communications initiatives, and also ensure greater integration with the wider communications strategy.
- Distribution – as noted earlier, BPI is actively pursuing the potential for a centralised or common approach to distribution and stock management at HQ level, including the potential for using external suppliers. There are opportunities for greater efficiency and better performance in the stock management and distribution arrangements that will arise through a centralized distribution function, creating economies of scale and potentially through outsourcing. The review supports the efforts to rationalise in this area.

4.3 New Resources

There are new functional requirements needed to meet the roles set out in the publications plan and associated guidelines. However, the existence of new functional requirements does not automatically imply that the Organisation should allocate more human resources to those Sectors with additional requirements.

In this case the review team considers that the new functional requirements can be met through restructuring within the Sectors, institutes and Field Offices and training of existing staff to fill the new roles. This is because:

- The new publications process explicitly aims to reduce the number and increase the quality of publications. A reduction in the number of publications should free up resources all along the publications process which can in turn be devoted to quality assurance issues, including the Publications Officer/focal point role.

- The proposed guidelines require centralizing certain functions around a Publications Officer, related to advice and validation, which were previously performed in a decentralized manner in some sectors.

- Some efficiency gains are likely to be made through centralizing distribution and stock management with a central service or with an outside supplier, and by greater use of the Communications capacities in each of the Sectors. Requiring each Sector to provide resources for the management of quality assurance in publications will encourage them to consider how these and other efficiency gains can be made.

- Requiring Sectors to provide the resources internally will require them to face the true cost of producing publications of a quality that the Organisation requires. Providing resources externally would mean that the Sectors do not have to directly manage this cost and so may not make appropriate decisions about the number of publications they produce.

- A number of Sectors and Institutes have already responded to previous reports on publications, and new tasks required by the proposed guidelines, from within their existing resources. This has two implications:
  - it has already been demonstrated that it is possible for Sectors and other units to restructure to meet the new requirements, and

- because some Sectors have restructured and others haven't, it would be inappropriate to provide additional resources to those Sectors and units that have made no attempt internally to improve the co-ordination and quality of their publications.

Any resource allocation decision is a choice between priorities, regardless of whether the decisions are made internally or externally. This review does not attempt to identify how resources should be reallocated to meet the requirements of the publications process. This is a set of decisions that should be made internally by Sector management who are best placed to understand the priorities and therefore, appropriate resource allocation. The review recognises the critical role of training to ensure that restructuring is successful, and this need is highlighted in a later conclusion.

5. BPI and CLD Analysis

> **There is a short-term need for additional resources to provide the three requested additional posts in BPI.**

> **There is need for BPI/PUB and CLD/DOC to define their distinct roles in publications and to organize the available capacity to reflect those roles and ensure that there are no overlaps between their functions.**

5.1 Additional Resources for BPI in Transitional Period

Comments from Sectors indicate that while the publications expertise in the PUB unit is good, the timeliness of responses and time taken to action items can be poor. BPI confirms that it has a backlog of publications to be dealt with. This has been taken as an indication that the unit is likely to be under workload pressure from the demands of the current system and has limited capacity to deal with the new demands imposed by the publications process

Given the existing workloads on BPI, the additional posts requested to cope with the implementation of the publications policy are warranted based on the following understanding:
- The IT post is a short-term project management post of 18 months for the implementation period only.
- The Rights' specialist and quality assurance roles are under ALD contracts for 13 months, and are anticipated as being needed for up to four years to handle the increased volumes associated with currently not-for-sale publications. The aim would be that their roles are taken over by the Publications Officer roles in Sectors and units through a process of delegated responsibility as expertise and skills increase.

5.2 Existing publications capacity in BPI and CLD

Capacity in BPI

BPI manages the production and distribution of for-sale publications. In some cases the whole publication process is undertaken by an external publisher, with BPI negotiating the contract and managing the relationship. In other cases BPI acts as an in-house publisher, with the various copy edit, layout, and other production tasks being done in-house or outsourced depending on the publication and resources availability.

BPI currently has 17 staff members working full or part-time on publications. This includes four P-level full-time-equivalents (FTEs) and three G-level FTEs directly in the publications unit, and a further 5.9 FTEs elsewhere in BPI who work full or part-time on publications. BPI currently has three to four of these staff members under consideration for transfer into the PUB unit.

Capacity in CLD

CLD undertakes tasks in the production and translation of documents, which include publications and other information materials. In relation to this review, the documents section of the unit is

most relevant because it undertakes production, printing and distribution of publications[1]. CLD documents section operates in several different modes:

- Full production, including in some cases copy-editing with outsourced expertise, but mainly pre-publication design and formatting, proofing, through to printing and distribution.
- Printing and distribution, where print-ready documents are printed in-house or contracted out, and then distribution is undertaken.
- Distribution only for documents which have been printed elsewhere.

All work is undertaken on a charge-back basis, and is carried out in-house or externally depending on workflows and cost-effectiveness. Distribution, where undertaken by the unit, includes statutory distribution and distribution to other lists supplied by the requesting unit. CLD does not undertake quality assurance other than that which occurs in the production process and does not check content.

The documents section is managed by a P5 staff member, assisted by two G5 level staff. The section contains a pre-media unit, a printing and binding unit, and a distribution unit with the following staff resources:

- the pre-media unit, which includes the fabrication, drafting and photo composition, and photo laboratory units (now amalgamated), undertakes graphic design and formatting of documents. They comprise one P3 and 15 G-level posts (two vacant since Nov 2007);
- the printing and binding unit comprises six G-level staff; and
- the distribution unit comprises eight G-level staff.

Of some relevance to publication, the translation unit in CLD also contains 33 P-level staff and 40 G-level staff.

5.3 Conclusions of Review for BPI and CLD

The review team sees considerable complementarities, and a small amount of overlap, between the functions of BPI/PUB and CLD/DOC. For example both these units:

- contract and manage the production phase of publication with some in-house capacity;
- maintain distribution capability, BPI/PUB externally and CLD internally; and
- contract out printing, with CLD also doing some internally.

The traditional distinction between CLD and BPI/PUB has been for-sale/not-for-sale publications. The distinction in quality and workflow between the two units is removed by the new publications policy, as is the rationale for the current institutional arrangements in respect of publications.

Furthermore, a number of strategic reasons support reorganising the units, including:

- a blurring of the divide between for-sale and not-for-sale publications, with the potential use of a range of charging mechanisms being based on the likelihood a chosen mechanism will increase the distribution and/or impact of a publication;
- the centralization and streamlining of distribution and stock management;
- changes to printing technologies, including print on demand and distributed printing.

The need for two parts of central services to provide production, printing and distribution services/expertise for publications is not clear. Centralisation of quality assurance is not warranted and should remain the responsibility of Sectors and Field Offices where capacity is available. However, there is a need for BPI/PUB and CLD/DOC to define their distinct roles in publications and to reorganize the available capacity to reflect those roles. The longer term needs for the three ALD posts should be reconsidered in light of the reorganization.

Recommendation 1:

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[1] Previously the distinction between CLD and BPI was between documents (not-for-sale = CLD) and publications (for-sale = BPI). This distinction has been removed in the new definition of publications.

A review team convened by BPI and CLD (and including representatives from the Sectors) should address the streamlining of processes throughout the Organization with a view to rationalising the production capacity, publications distribution capacity and stock management, including pulping/recycling.

The team should deliver its recommendations to the Director-General by 30 June 2009.

6. Other Requested Resources

> **There is a clear need for training, and resources should be supplied to BPI for this purpose. HRM is the most appropriate source of any training resources.**
>
> **The need for the IT tool is well-established, and the costs appear appropriate. Funds should be made available to BPI for the IT tool requirements.**

6.1 Training needs

The training request from BPI has little detail against which it can be evaluated. Considerable demand and need exist for training in the new guidelines, and in specific aspects such as author's contracts. Adequate training is an essential part of restructuring the Sectors and Field Offices to meet the capacity requirements of the new guidelines. If UNESCO is to have all its global offices act in a unified way when implementing policy, then informing and training all Publications Officers in a centralized and person-to-person way is the best approach to launch the new procedures and bring everyone into the fold. BPI can ensure necessary training to Publications Officers and Focal Points by developing and submitting to the Training and Development Commission a complete training plan for 2009 and the next biennium.

6.2 IT Tool

The estimate of US$180,000 for the IT tool is based on an indicative estimate from a supplier of an off-the-shelf product. This figure appears reasonable as a budget estimate, but there should be a full procurement process followed before funds are disbursed.

7. Implementation Issues

> **Sectors and BPI should commit the resources for the implementation of the new Publications and Distribution Policy and publishing guidelines at a level which recognises the full demands of the publications policy and the transitional issues that will arise in moving to the new system.**

The introduction of the publications policy will be a considerable change for many parts of the Organization, and it will be some time before all staff are trained, understand their role, and are able to fully implement the publications policy. During the transitional period the demands on staff in BPI and in the publications role are likely to be substantial. If the publications process becomes a bottleneck either at the Publications Officer stage or at the BPI stage, it is highly likely that ways will be found to work around the requirements of the policy. This will ultimately result in a breakdown of quality assurance procedures and a return to the situation which prompted the 2005 and 2006 reports. It is important to note in this context that both the 2005 and 2006 reports describe multiple attempts over the previous decade and a half to address problems in publications.

Without management commitment, resources and training, particularly at the transitional stage, it is likely that the current attempt at a coherent, house-wide publications quality assurance process will not succeed.

8. Other Issues

8.1 Quality assurance for all materials

The publications and distribution policy and publishing guidelines address quality assurance procedures for publications. The definition of publications can be summarised as substantive

material designed for an external audience, and sets the bar effectively at materials which receive an ISBN or ISSN number.

The previous reports by IOS and the External Auditor both address quality assurance of a wider range of materials than the current definition of publications. The 2005 IOS evaluation addressed all materials released, and the External Auditor used the term "publications" which, while not defined, had a more inclusive scope than the definition included in the publications policy.

From the point of view of both the 2005 and 2006 reports, the deficiencies identified in quality assurance procedures have not been rectified because they do not extend to all materials released by the Organization. This is not to say that the publications policy is inadequate, but that there is still a considerable task to be completed in assuring the quality of the full range of UNESCO information materials, including documents, communication materials, web portals, databases and software.

Recommendation 2:
BPI through CCPI should coordinate the development of a quality assurance framework for all Information Material and should ensure that capacity is in place to manage this quality framework over the long term, in particular the human resources.

8.2 Charging/cost recovery

> **BPI and ADM/CLD should develop a range of charging options that allow the Organization to offer its catalogue of publications to a wider audience.**

With the new definition of publication, the distinction between for-sale and not-for-sale publications no longer exists. The current rationale for producing for-sale publications is to increase the scope and impact of the publication – by providing for-sale copies in addition to the copies distributed free of charge, it is possible to reach a wider audience than can be afforded through the free print/distribution run only. The review team considers that this is appropriate, and further considers that the key criteria for any future charging regime should continue to be based on extending impact and reach of the publication, and that any of a range of charging mechanisms should be available and considered for this purpose.

The review team therefore identifies the need to develop a new regime that recognises a full range of potential approaches to charging for publications. This includes:
- Not-for-sale publications
- Partial/full recovery of distribution costs
- Partial/full recovery of print and distribution costs
- Profit maximising publishing arrangements.

The potential for new charging mechanisms should be considered in light of developments in the printing world such as print on demand and e-printing (fully automatic order, charge, print and deliver systems). These have the potential to allow the Organization to offer a catalogue of publications on demand. The option of charging does not derogate from the availability of free distribution, but does allow the documents to be offered to a wider audience.

8.3 Implementation of the Publications Policy

> **There is a need for urgent action on the following items:**
> **- Completion of the draft revision of the Administrative Manual and Guidelines;**
> **- Appointment of publications officer roles in Sectors;**
> **- Commencement of training in the publication and distribution policy and publishing guidelines.**
>
> **An assessment of the effectiveness and resourcing of the policy should be conducted after two years.**

8.3.1 Urgency

The implementation of the publication and distribution policy is proceeding, but the rate of progress is slow. If Sectors are awaiting implementation of the 34/C5 budgeting cycle before appointing Publications Officers it may be that full implementation does not occur until 2010. In view of the fact that publications are being completed and released, the Programme Sectors should give priority to formally appointing a Publication Officer in their respective Communication and Public Information unit attached to the Executive Office of the Sectors.

8.3.2 Review

The publication and distribution policy will involve significant change for the Organization. It is appropriate that there be an early review of the policy to determine how well it is operating and whether resource arrangements are operating satisfactorily.

8.3.3 Field Office Engagement

The review team has had only limited contact with Field Offices, but the two that were contacted have had no engagement in the publications policy process. Whilst it is understood that there are constraints on the ability of BPI to engage, it is desirable that this engagement proceed as soon as possible, again noting the urgency of implementation.

8.3.4 Author's contracts

Many Sectors have become aware through the comments of the External Auditor and the development of the publications policy of the need to have author's contracts in place to manage rights. This appears to have led to practices such as no fee contracts, contracts for one book, $1 contracts, and other options. Many of these are used in appropriate circumstances, such as when the author does the work voluntarily, but others allow the use of fee contracts for the bulk of the work and the author's contract to cover rights. The implications of this are unclear, but it would be more appropriate if the Organization's contracting processes facilitated the work that programme specialists needed to do, rather than the programme specialists having to find ways to work around them. To this extent the review team considers that the process of author's contracts requires refinement, and it is desirable that this is included in the work programme of the proposed rights specialist at BPI.

8.4 Cataloguing

There are two indexers in Library, Archives and CLH dealing with all incoming publications in UNESDOC, one of whom is currently on maternity leave. They index into the UNESDOC database every new UNESCO publication – electronic and hard-copy. Indexing is an integral part of the publication cycle of UNESCO publications as non-indexed electronic documents are inaccessible. There are ten thousand documents in the backlog which includes old documents from overseas offices or Sectors.

Comment from the library section indicates that indexing requires specific skills and the chronic shortage of indexing capacity at UNESCO hampers the effectiveness of the publication cycle. The review team has not had the time to investigate the capacity requirements for indexers, but this should be considered during the development and finalisation of the publishing guidelines as well as the development of quality assurance frameworks for other information materials.

8.5 UNESCO Rights Review

The rights (literary, photographic and iconographic) that UNESCO possess cannot be determined due to the absence of a database and a thorough inventory. This impairs efficient and timely responses to requests for information and use of rights for broader dissemination of materials. Decisions in this regard are sometimes made based on unreasonable risk taking. In addition, measuring the value of these rights is relevant to the introduction of International Public Sector Accounting Standards. Action is therefore needed to:
- analyse existing practices and measure the risks involved in cases where there is absence of documentary proof of rights;
- provide a methodological approach for mitigation of risks; and
  introduce a simple system of data-entry.

Annex 1

Methodology

The review team:

1. Consulted with External Auditor regarding the scope of work and detailed analyses supporting their findings and conclusions.

2. Reviewed the BPI and Sector's methodology, assumptions and analyses, supporting the proposal for creation of three new posts in BPI and four in the Sectors.

3. Reviewed the workflows, tools and management processes to implement the proposed Publishing guidelines, identified potential inefficiencies and functional gaps in the processes.

4. In coordination with HRM and BPI, reviewed the required job profiles and skills needed to implement the Publication and distribution policy framework, including its workflows, tools and management processes.

5. Prepared an estimation of workload and resource needs to implement the Publications Plan in accordance with the framework and policy. This included:

    a. Interviews of staff in all major Sectors, two Field Offices, and one Institute.

    b. Determination of publications by Sectors and associated dedicated resources, including quality control processes. The assumptions used to estimate the size of the demands for the centralised publications officer role sectors are set out below:

    • Benchmark - The only reliable benchmark for capability to deliver on the proposed publications work processes the review team have identified is in the IIEP publishing arrangements, since they are the only unit that covers all the requirements of the proposed publications workflow. The person who effectively acts as a publications officer in that Institute deals with approximately 25 - 30 publications per biennium, although she also does a number of tasks which are additional to advice and validation roles including managing the unit of 10.5 FTEs. However she has a relatively simple set of publications to deal with in terms of limited diversity and type, and the publications derive from a well defined organisational strategy and so there is not the extent of co-ordination and strategic work envisaged in the publications process for Sectors. The analysis uses the IIEP ratio of 0.5 - 1 PO to 25 – 30 publications as an approximate base unit for producing high quality publications, and this is the basis for the team's comparison with other Sectors.

    • Number of publications - the number of publications per Sector were based on an analysis of the publication plan (see Annex VII). The analysis allows for only 2/3 of the proposed publications in the publication plan to come forward for actual publication.

    • The four largest offices in terms of publications (Bangkok, Brasilia, Montevideo and Santiago) and all Institutes are assumed to operate autonomously with the exceptions of the planning process and validation of proofs by the Sector director (as a necessary adjunct to the Sector publications planning process). The remaining Field Offices will use the Sector Publications Officer for validation and advice.

- Engagement of Publications Officer (PO) in content preparation and production - the analysis has made allowances for a less detailed attention by the PO to content preparation and production phases than occurs under IIEP.

- Detail and complexity – the analysis allows a qualitative adjustment for Sectors which have a wide range of topics, a diverse range of publications, and with greater complexity and potential overlap within the Sector. Greater complexity is also likely with a large number of Field Offices and institutes within the Sector.

6. Concluded as to resource needs of skills and staff levels needed to ensure quality publications and their appropriate distribution.

Annex II
Publications process workflow roles and responsibilities

Phase	Task	Programme specialist	Publications officer		Director	BPI	
			Process	**Pubs expertise**		**Process**	**Pubs expertise**
Planning	**Conception**	Action					
	Pubs Checklist	Action	Validate	Advice	Validate		
	Publications Plan database		Entry and analysis			Verify	
Content Preparation	**Author contract**	Contract	Validate	Advice		Validate and store	Advice
	Manuscript preparation	Validations					
	Copyright authorisation	Action		Advice			
	Editing	Contract		Advice			
	Review	Contract	Validate	Advice	Validate		
	Evaluation of commercial viability						Assess
	Compliance with ISBN/ISSN					Validate	
Production (NFS)	**Copy edit/Graphic design/layout**	Contract and validate (C, QA)					
	Proof/index/Proof	Contract and validate					
	Printers Proof		Validate		Validate		
Production (FS)	**Copy edit**	Advice					Action
	Proofreading and layout	Validate		Advice	Validate		Action
Cataloguing and archiving	**Paper copy**		Provide (NFS)			Provide (FS)	
	Upload to Hermes		Action (NFS)			Action (FS)	
Promotion and visibility (NFS)	**Strategy and Budget**	Prepare	Validate	Advice	Validate		
	Promotional material	Prepare	Validate	Finalise			
	Communication			Action			
Promotion and	**Strategy and Budget**	Advice					Action

Phase	Task	Programme specialist	Publications officer		Director	BPI	
			Process	Pubs expertise		Process	Pubs expertise
	Promotional material	Advice					Action
	Communication						Action
Distribution and stock management	Strategy and budget	Prepare	Validate	Prepare	Validate		
	Distribution			Action (for Sector)			Action (for bookshop)
	Statutory distribution			Action (NFS)			Action (FS)
	Stock management			Action (Sector stocks)			Action (HQ stocks)
Evaluating impact	Select evaluation tools	Action	Validate	Advice	Validate		
	Gather data, data analysis	Action	Validate	Summary and notify	Validate	Validate	Collate

Annex III
Publications process workflow and External Auditor requirements

Phase	Task	Requirement as per EA	Whether Proposed workflow meets requirements
Planning	**Conception**		
	Pubs Checklist	quality and compliance	Met by PO validation
	Publications Plan database	(functional) role	Included in process workflow
Content Preparation	**Author contract**	quality and compliance	Met by PO and BPI validation
	Manuscript preparation		
	Copyright authorisation	Advisory	Included in process workflow
	Editing	Advisory	Included in process workflow
	Review	quality and compliance	Met by PO and Director validation
	Evaluation of commercial viability		
	Compliance with ISBN/ISSN		
Production (not-for-sale)	**Copy edit/Graphic design/layout**		
	Proof/index/Proof		
	Printers Proof	Quality and compliance	Met by PO and Director validation
Production (for-sale)	**Copy edit**		
	Proofreading and layout	Advisory	Included in process workflow
Cataloguing and archiving	**Paper copy**	(functional) role	Included in process workflow
	Upload to Hermes	(functional) role	Included in process workflow
Promotion and visibility (not-for-sale)	**Strategy and Budget**	Quality and compliance	Met by PO and director validation
	Promotional material	Quality and compliance	Met by PO validation
	Communication		
Promotion and visibility (for-sale)	**Strategy and Budget**		
	Promotional material		
	Communication		
Distribution and stock management	**Strategy and budget**	Quality and compliance	Met by PO and director validation
	Distribution	(functional) role	Included in process workflow
	Statutory distribution	(functional) role	Included in process workflow
	Stock management	(functional) role	Included in process workflow
Evaluating impact	**Select evaluation tools**	quality and compliance	Met by PO and director validation
	Gather data, data analysis	quality and compliance	Met by PO and director validation

Additional requirements created by publications quality assurance work processes

Phase	Task	Sector							
		SHS	ED	CLT	SC	CI	ERC	WHC	Bangkok
Planning	**Conception**	No change	No change	Want to move to a strategic, more top down approach, with publications requested by Sector rather than proposed by PSs	No change	No change	None		
	Pubs Checklist	New task, particularly validation by PO; done in the 08/09 biennium for the first time	Additional tasks for PO in advising Programme specialists, validating checklists	Done in the 08/09 biennium for the first time, additional items and validation	New Task especially validation by PO	Additional items in checklist	Additional task for PS, PO	A check list needs to be prepared by Publications Officer	
	Publications Plan database	Complete plan done for the first time in the 2008-09 biennium. Additional workload for PO in validation, analysis	Potentially more entry and validation by PO	Done in the 08/09 biennium for the first time	Complete plan done for the first time in the 2008-09 biennium.	Additional workload for PO in validation, analysis	No change	Publications Officer needs to enter data and conduct analysis.	Publications Officer will enter the data in system
Content Preparation	**Author contract**	New task for PO, requires training. SHS started to	New task for PO, requires training	New task for PO	New task for PO, requires training	New task for PO	Need for additional validation in some cases	Could be validated by WHC/PO?	Office to adopt Authors contracts and Publications

Phase	Task	Sector							
		SHS	ED	CLT	SC	CI	ERC	WHC	Bangkok
		systematically use authors contract for Publications (as defined by the new pub policy) in May/June 2008. Contracts are validated by PO							Officer will provide advice on author contracts.
	Manuscript preparation	No change	No change	No change	No change	No change	No change		
	Copyright authorisation	Existing, but more stringent controls. Additional work for PO (checks information with BPI and parties involved) and PS	Existing, but more stringent controls. Additional work for PS	Existing, but more stringent controls. Additional work for PS	Existing, but more stringent controls. Additional work for PS	Existing, but more stringent controls. Additional work for PS	Existing, but more stringent controls. Additional work for PS	Advice needs to be provided by the Publications Officer.	
	Editing	Additional tasks for PO in advising programme specialists.	Additional tasks for PO in advising programme specialists	Additional tasks for PO in advising programme specialists	Additional tasks for PO in advising programme specialists - earlier done by divisions	Additional tasks for PO in advising programme specialists	Additional tasks for PO in advising programme specialists	Advice needs to be provided by the Publications Officer.	
	Review	Additional work for PS in some publications. Validation is a new task for PO and Director	Additional work for PS in some publications Validation is a new task for PO and	Additional work for PS in some publications. Validation is a new task for PO and Director	Additional work for PS in some publications. Validation is a new task for PO and Director	Additional work for PS in some publications. Validation is a new task for PO and Director	Not clear how much additional review is required.	Advice needs to be provided by the Publications Officer.	

Phase	Task	Sector							
		SHS	ED	CLT	SC	CI	ERC	WHC	Bangkok
			Director						
	Evaluation of commercial viability	No change	No change	No change	No change	No change	NA	BPI to conduct assessment on commercial viability.	BPI to conduct an evaluation for commercial viability.
	Compliance with ISBN/ISSN	Additional work for BPI in assigning ISBN for NFS publications	Additional work for BPI in assigning ISBN for NFS publications	Additional work for BPI in assigning ISBN for NFS publications	Additional work for BPI in assigning ISBN for NFS publications	Additional work for BPI in assigning ISBN for NFS publications	Additional work for BPI in assigning ISBN for NFS publications		BPI to conduct a compliance check for issue of ISBN
Production (not-for-sale)	Copy edit/Graphic design/layout	No change	No change	No change	No change	No change	No change		If the printing is done outside, Programme specialist should take full ownership and work with the contractor.
	Proof/index/Proof	No change	No change	No change	No change	No change	No change		
	Printers Proof	Validation by PO (after validation by PS and Director) is new task	Validation by PO is new task	Validation by PO is new task	Validation by PO is new task	Validation by PO is new task	Validation by PO is new task		Programme specialist should take full ownership.
Production (FS)	Copy edit	No change	No change	No change	No change	No change	No change		
	Proofreading and layout	No change	No change	No change	No change	No change	No change		

Phase	Task	Sector							
		SHS	ED	CLT	SC	CI	ERC	WHC	Bangkok
Cataloguing and archiving	**Paper copy**	Additional task for PO	No change	Additional task for PO	Additional task for PO	Additional workload for PO	Additional task for PO		
	Upload to Hermes	Uploading to Hermes is and additional task for PO	No change	Additional task for PO	Additional task for PO	No change	Additional task for PO		
Promotion and visibility (not-for-sale)	**Strategy and Budget**	Additional task for both PS and PO validation	Additional task for both PS and PO validation	Additional task for both PS and PO validation	Additional task for both PS and PO validation - earlier done sporadically by divisions	Additional task for both PS and PO validation	None	Publications Officer would need to advice on promotion and visibility.	Publications Officer to propose a budget for publications.
	Promotional material	Additional task for both PS and PO validation	Additional task for both PS and PO validation	Additional task for both PS and PO validation	Additional task for both PS and PO validation	Additional workload for PS, validation by PO	None	Publications Officer to advice on promotion material.	
	Communication	communication is a new task for PO, although greater use of communication officer in SHS is envisaged	Greater use of communication officer in ED is envisaged	Additional task for PO	Additional task for PO	Additional task for PO	No change		
Promotion and visibility (for-sale)	**Strategy and Budget**	No change	No change	No change	No change	No change	None		
	Promotional material	No change	No change	No change	No change	No change	None		
	Communication	No change	No change	No change	No change	No change	None		
Distribution & stock mgt	**Strategy and budget**	New role for PO	No change	No change	No change	Additional workload for PS, validation	No change		

Phase	Task	Sector							
		SHS	ED	CLT	SC	CI	ERC	WHC	Bangkok
						by PO			
	Distribution	New role for PO	Additional work for PS, PO for validation.	Additional task for PO	Additional task for PO - earlier done by PS and BPI	Additional task for PO	No change		Publications Officer to centralize this function.
	Statutory distribution	New role for PO	No change	Additional task for PO	Additional task for PO - earlier done by divisions	Additional workload for PO	No change		
	Stock management	New role for PO	No change	Additional task for PO	Additional task for PO	Additional workload for PO	No change		
Evaluating impact	Select evaluation tools	Additional tasks for PS and PO	Additional tasks for PS and PO	Additional tasks for PS and PO	Additional tasks for PS and PO	Additional tasks for PS and PO	Could be introduced for some publications, additional task for unit	Formalize a mechanism to use feedback from state parties.	Formulate a mechanism to measure impact.
	Gather data, data analysis	Additional tasks for PS and PO	Additional tasks for PS and PO	Additional tasks for PS and PO	Additional tasks	Additional tasks for PS and PO	Could be introduced for some publications, additional task for unit		

Sectors

Education – Permanent staff involved in publications within the Education Sector Knowledge Management Services (**full-time equivalent**) include:

- 1 in documentation (G5),
- 1 language editor (English and French), (P2)
- 1 in publications policy (P2/P5)
- 1 in communication (P2/P4)
- 2 in stock management and distribution, (G3 full-time/G4/G6)

In addition the EFA Global Monitoring Report team has 11 staff involved in research and writing of the publication, 1.5 in communication and 1 in distribution/stock management (G3). Staff members within each division are also involved in research, writing and communication

Social and Human Sciences - CIP is headed by a P5, and under his direct supervision there are 4 posts: 2 P1/P2 + 1 P3 + 1 G5 secretarial 1 Publications Officer (P1/P2)

- 1 Webmaster (P1/P2)
- 1 Secretary (G5)
- 1 Communication officer (P3). This P3 is responsible for 3 permanent posts (P1/P2 plus 2 G level) and 2 consultants (P1/P2). All these staff are working on information and communication (on paper and on the web)

The unit is still discussing a G4 post which will mostly be dedicated to the web and the managing of SHS mailing lists for 70% to 80%; and 20% of this post would be for tasks dealing with documentation/publication. Help will also be provided by GS colleagues for all that concerns packaging and sending publications.

Natural Sciences - There is no separate unit to perform the functions of a CIP. Each division in the Sector is responsible for their publications. Under the new publications policy and framework, a focal point has been appointed at the P4 level (temporary post) to coordinate publication tasks of the Sector. As per her own estimate the focal point spends about 20% of her time on publication activities. Other than the focal point, at least nine other individuals in the different divisions of the Sector perform publication activities with six individuals more than 50% of their time (self-estimated). However, only two of the nine have publications functions in their job descriptions. The grades of these nine individuals range from P3 to G3. A review of the job descriptions of these individuals showed that the functions performed by them vary from planning, liaison with authors, proof reading, editing, layout, advice on publications to programme specialists, promotion, distribution, archiving, maintenance of publications database and liaison with other UNESCO services for production.

Culture - Publications in CLT are managed by the CIP, with no dedicated publications person. Most publications tasks are currently managed by the head of CIP assisted by a secretarial role. The resources in CIP are:

- Head of unit (P5), generalist communications and Sector skills but no specific publications expertise
- Secretary (G6)
- 1.5 persons in web support (0.5 FTE G6 and P2)
- 2 people in museums publication (P4 plus G6 editorial assistant (Temp) plus support from CIP)
- 2 people in the World Report publication (P3/P4 plus secretarial support)

In addition the World Heritage unit has its own publications capacity within the CEP unit, which comprises 2.6 persons in publications, one person in partnerships working 10% on publications, and one person in the education group working 25% on DVD publications.

Communications and Information – One G6 post at 20% currently, likely to move to 50%, and a further 10% of the Head of Section (P5).

External Relations and Cooperation – Currently has one person at 10% working in a co-ordinating function on publications, with no publications background. In each section/unit of ERC there is a focal point whose role is a combination of co-ordination and preparation.

Capacity in Field Offices and Institutes

Sampling of Field Offices and Institutes was limited. Of those sampled, the following information was obtained:

- Santiago – One L5 who is also head of the publications unit plus one assistant at the L4 level form the publications unit of the office. The office deals with 12 publications per year, however there are 20 in the current publications plan. All are free publications. The office largely follows its own processes. They are not aware of the details of the proposed publication guidelines being developed, nor have they undergone training in this area. The role of the unit is to assist the programme specialists and the Director in preparing the annual programme concerning the supervision of production, editing, printing and the distribution of publications. This also includes supervising and controlling external translation, printing and other services related to publishing and editing.

- Bangkok – One full time publications officer/editor, one part time editor/web person, two designers, two in Public Information/web activities. Approximately 50 – 60 publications per biennium, all free. The review team noted a great deal of effort to systematize procedures and ensure quality have been undertaken as regards the new publishing policy guidelines. However, the review team noted that only one staff member is actually performing the role of a Publications Officer. Also, the Bangkok office Publication Services unit faces many budgetary and staffing challenges including 30-year old printing equipment; second-hand office computer/printer equipment; and an inadequate number of staff to meet demands.

- IIEP – Four staff work directly in publications including copy-editing and layout, plus 2.5 in printing, two in communications/web, and 0.2 of the Director's time. IIEP have 20 publications planned for this biennium, and all will be free publications.

Information provided to the External Auditors (table below) shows the capacity in Institutes and Field Offices at the time of the 2006 audit.

External Auditor Summary of Staff Capacity in Institutes and Field Offices

Institutes	Staff (FTEs)
UIS - Institute for Statistics	2
IBE - International Bureau of Education, Geneva	3
IIEP	7.7
UIL	2.7
ITIE	2
IESALC	1.8
IICBA	1
UNEVOC	1.2
CEPES	1.5
Field Offices (44 out of 53 replied)	29

Annex VI
Publications volumes for the biennium 2008-09

The publications plan for 2008/09 was extracted and analysed. The summary of this analysis is shown in Table 1 below. The table shows that there are a proposed 1,039 publications for the 2008/09 biennium, of which approximately half (468) are in the Education Sector and approximately one fifth (201) are in the Natural Sciences Sector. Field Offices are planning to issue approximately 40% of the publications, with 70% of these coming from four offices – Brasilia, Bangkok, Santiago and Montevideo. The Institutes combined intend to issue 98 publications, 90% of which are in the Education Sector.

These numbers can be compared with the reported number of outputs reported in the 2005 IOS report of 700 for the 2003/04 biennium, and numbers of publications reported by the External Auditor of 102 for-sale publications and 1,489 free publications in 2005. There are significant discrepancies in the terminology of publications among these reports, and therefore we conclude that there is no reliable comparator with which to determine whether the overall workload is likely to increase or decrease in volume terms.

There is likely, however, to be fewer publications issued than is suggested by the figures. This is because:
- A number of these proposed publications will not make it to publication stage, for a variety of reasons including changing priorities, lack of budget and not least, insufficient quality at any stage of the process. BPI estimates that only 2/3 of the proposed publications will actually make it to publication stage.
- A number of the publications have already been published this biennium, as they were substantially completed during the last biennium. However as this is likely to occur each biennium and is therefore a "rolling" phenomenon, the volumes will not be adjusted.
- As the quality control procedures come into force, the attractiveness of publishing as an easy project output will reduce and it will tend to be used only when justified. This is one of the intentions of the policy introduced, and it should result in fewer publications over time. It is intended that the attrition will occur at the programme specialist level through decisions to use other means of achieving project objectives, but also at the Sector level where the true cost of issuing quality publications forces priority decisions about resource allocation.

Table 1: Summary of publications plan by unit

Sector	Total no. of Publications by Sector (including FOs & Institutes)	No. of publications in plan[2] (excluding FO & Institutes)
SHS	86	54
ED	468	145
SC	201	124
CLT	132	87
CI	84	31
AFR	15	15
Central Services + ERC	53	50
Total:	**1,039**	**506**
	Total: Institutes	98
	Total: Field Offices	435
	TOTAL:	**1,039**

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[2] Includes publications already completed but recorded in the 2008/09 biennium plan.