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Review of the International Institute for Educational Planning (IIEP)

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Review of the International Institute for Educational Planning (IIEP)

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List of acronyms

ATP	Advanced Training Programme
ADG/ED	Assistant Director General for Education
ANTRIEP	Asian Network of Training and Research Institutions in Educational Planning
BSP/CFS	Bureau for Strategic Planning /Division of Cooperation with Extrabudgetary Funding Sources
ESP	Education Sector Planning (ESP) course
GB	IIEP Governing Board
GC	UNESCO General Conference
GPE	Global Partnership for Education
HRM	Human Resources Management
IBE	International Bureau of Education
ICTs	Information and Communication Technologies
IESALC	Institute for Higher Education in Latin America and the Caribbean
IICBA	International Institute for Capacity-Building in Africa
IIEP	International Institute for Educational Planning
IIEP-BA	IIEP Buenos Aires
IITE	Institute for Information Technologies in Education
MoE	Ministry of Education
NIEPA	National Institute for Educational Planners and Administration (India)
RCEP	Regional Centre for Educational Planning (RCEP) in the Arab region
RP	Regular Programme Budget
RTC	Regional Training Course
SACMEQ.	Southern Africa Consortium for Monitoring Educational Quality
SPO	Strategic Programme Objective
SITEAL	Web-based database on social and educational trends in Latin
UIL	UNESCO Institute for Lifelong learning

Executive Summary

The present review aims to assess specific key aspects of IIEP's performance and achievements within the context of the implementation of the overall strategy for Category I Institutes and Centres.¹ More specifically, the review covers the following dimensions: IIEP's mandate and relevance, the results achieved, collaboration and interaction with partners within the UNESCO system and beyond, management and governance mechanisms, and sustainability (including budgetary and staffing issues). It will feed into a summary report on all ED Category I Institutes, intended to inform the Education Sector's decision-making process to strengthen the overall framework for cooperation with (and among) the Institutes as well as the strategic allocation of resources and capacities. Given the limited scope and resources the review is based on a relatively light data collection approach. Findings are based on triangulation between interview data, observation and documentary evidence. External quality control was ensured via validation of the findings and recommendations by an external consultant.

The executive summary presents the main findings and recommendations. Additional findings and recommendations as well as the underlying argumentation can be found in the main body of the report.

IIEP is the largest of the six ED Institutes with an annual budget in 2012 of approximately USD 20 million and a staff of 114, including a regional branch in Buenos Aires. Over time, the Institute has successfully managed to strengthen its financial and human resource base, allowing the Institute to expand its activities and build a critical mass of specialized expertise in the field of educational planning. IIEP is the only ED Institute which can truly live up to the standard of centre of excellence. Consequently, the challenges faced by IIEP are to a large extent of a different nature than those faced by smaller Institutes such as IBE, IESALC, IITE or IICBA. While the latter are struggling to move in the direction of becoming centres of excellence and going to scale with some of their operations, IIEP is facing the combined challenges of developing innovative ways to remain at the cutting edge of its field, continuing to ensure a high level of quality in its work, while at the same time securing adequate funding of its operations.

The need for an IIEP remains as high as it has ever been. IIEP's expertise in building capacities in educational planning and management is very much in demand by stakeholders and its work at the policy level is situated at the core of UNESCO's mandate. Within the framework of the post MDG-debate in education the issue of capacity building in educational planning and policy development remains of fundamental importance. IIEP has managed to build up a strong brand name through its expertise, activities and partnerships in different parts of the world. Despite its relevance and good reputation, the work of IIEP has been insufficiently recognized and utilized by the Education Sector in its overall work programme and IIEP's work has not been clearly positioned in the Education Sector strategy.

Recommendation: The new Education Sector Strategy 2020 should adequately reflect the importance and contribution of IIEP's activities to UNESCO's overarching goals in education as well as clarify the role of the Institute and its alignment with other programme areas and UNESCO entities.

One of IIEP's key strengths is the high level of integration between its activities in the areas of capacity-building, knowledge creation and policy advisory work. The continuous efforts to

¹ 33 C/19 and 171 EX/18.

promote cross-fertilization among these activities haven proven to contribute to the quality and depth of IIEP's work.

We briefly highlight some of IIEP's achievements. The previous evaluation highlighted IIEP's strong track record in its clearing house function, while it suggested improvements regarding the visibility and communication of its results. IIEP has since made strides assessing ways to improve access to knowledge for various target audiences. Notable information products are for example Planipolis and access to networks such as SACMEQ. However, it is the view of the review team that IIEP produces too many publications. Apart from the demands on staff time (e.g. quality assurance), little is known about the use and effects of these publications and visibility and impact may be diluted by the large number of documents that are published.

Recommendation: IIEP should revise its publication strategy, including reducing the number of publications. It should focus on developing a select number of flagship publications (e.g. an Annual Report on Educational Planning) supported by adequate (external) quality assurance mechanisms and a dissemination strategy to enhance visibility. In addition, it should continue to develop synthetic and analytical policy briefs aimed at educational stakeholders at policy and programme management level. Finally, IIEP should ensure a constant visibility in the academic debate through a limited number of journal articles published in peer reviewed academic journals.

Capacity-development is at the core of IIEP's work. Currently an estimated 50-70% of IIEP's activities consist of training, technical assistance and policy advisory work, representing nearly half of its operational budget (both RP and XB) and an estimated 60 to 70 % of professional staff time. The 2009 SPO1 & 2 evaluation concluded that: *'through IIEP, UNESCO offers world-class training in educational planning and management in a variety of formats, from its flagship Advanced Training Programme (ATP), to its visiting trainees, distance and blended education and specific tailored short term training courses as well as the IIEP Buenos Aires Regional Training Course (RTC) and underlines the high value of its longer term technical support to countries , such as in Afghanistan, Cambodia and Egypt'.*

The present review, after validation, endorses this view. Notwithstanding the overall positive appreciation of IIEP's capacity-building activities, there are a number of key challenges. One such challenge concerns the optimal way, for IIEP to respond to the high unmet demand for the type of knowledge and skills offered for example by its residential, nine-month Advanced Training Programme (ATP) or blended Education Sector Planning (ESP) course. Both ATP and ESP are labour intensive. In addition, ATP consumes a significant share of the financial resources available for training operations. The costs incurred to implement these programmes raise the legitimate question of whether these formats are the most optimal ones. In response to its Governing Board's request, the Institute commissioned an external cost and effectiveness study of its entire training offer. Meanwhile, IIEP has identified a number of challenges (e.g. concerning the selection and funding of participants, the certification of the diploma), which are also raised in this report.

Recommendation: The present review commends IIEP's initiative to commission an external cost and effectiveness study of its training modalities and strongly recommends IIEP's management and Governing Board to take decisive actions on the basis of the study's recommendations.

IIEP contributes to UNESCO's function as a laboratory of ideas through its research programme, one of its three work pillars². Through its research IIEP has explored innovative ideas and themes and built up a repository of knowledge on educational planning for which it is recognised as a key reference. Notable examples are the series of 'Fundamentals of Educational Planning', which highlights recent developments in educational planning and policies and discusses their implications, and IIEP's research on the topics of 'Ethics and Corruption', 'Household Costs', 'Decentralization', as well as on 'Planning Education in Emergencies'. However, and as is substantiated by the findings of an external evaluation of its research which IIEP recently commissioned, resources available for research are spread thin on a rather large volume of research projects. The Research Evaluation found that in most cases IIEP's research is seen as relevant to the country context. However, together with the fact (i) that the research topics are not always aligned with national policy discussions, and (ii) that findings are not optimally disseminated nationally, the effectiveness of research projects from the view point of policy formulation at national level is questioned. In addition, the evaluation found that more strategic synergies between its research, technical assistance and training work should be established. On the basis of this external evaluation, IIEP is challenging its traditional ways of conducting research and is questioning how to shape a more strategically defined, focused, and effective research agenda

Recommendation: IIEP's future research strategy should (among other things) be strengthened along the following lines: investing more in collaborative (long-term) research relationships with selected institutions in the South as well as selected academic partners; strengthening the (thematic and -where appropriate- regional/ national) focus of its research; seeking innovative ways to develop joint research agendas or to influence the research agendas of donors, academic institutions and individual researchers, as a way of leveraging its scarce research resources.

Despite IIEP's continuous measures taken to develop and strengthen its strategic priorities, these are to some extent driven by different priority frameworks and historical legacies and IIEP must remain vigilant to the risk of fragmentation of its activities as well as to how an increasing dependency on extra budgetary resource might diminish the strategic focus.

Recommendation:

In consultation with its governing body IIEP should clearly identify a limited number of areas of strategic focus of the Institute for the next Medium Term Plan while ensuring close alignment with the Education Sector 2020 strategy. IIEP needs to move towards a more thematic concentration in combination with extended outreach (going to scale). Fundamental choices on an improved thematic focus in research, training and technical assistance including policy advisory work should be grounded in a thorough reflection on comparative advantages (i.e. available expertise, IIEP's reputation and recognition among stakeholders, and stakeholder needs).

Despite recent improvements in the interaction between HQ and IIEP and attempts to better clarify their respective roles, there is still overlap/partly competition as well as a lack of clarity on the division of roles between IIEP, HQ and UNESCO Field Offices. Improved collaboration between IIEP and UNESCO's Field Offices as well as other Category I Institutes is an important ingredient for realizing IIEP's ambition to scale up its activities and outreach. Such collaboration

² The other two pillars being capacity development through training and technical assistance and knowledge sharing.

not only allows for the realization of economies of scale in programme delivery but also for a more demand-oriented and tailored approach to national and regional needs. IIEP's branch in Buenos Aires is a good example of successful decentralized delivery of IIEP's mandate.

Notwithstanding the high level of appreciation within HQ for IIEP's work, the visibility and the use by HQ has so far been rather limited. In addition, the relationship between IIEP and HQ has been characterized by a degree of competition in a number of areas, most notably fundraising.

Recommendation: The Education Sector in consultation with IIEP should better define the role of IIEP within the overall UNESCO network and decentralization structure. Among other things this should include an approach to support the building of capacities of UNESCO Field Office staff in the field of educational planning³ There is a potential for improving the field offices' involvement in the implementation, support and follow-up of IIEP's activities in order for them to take up the role of antennas and co-implementers of UNESCO's mandate in educational planning, while IIEP could play a more proactive coordinating as well as backstopping role.

Within the framework of UNESCO's Priority Africa and given the close alignment between IICBA's and IIEP's missions, IIEP should proactively explore scenarios for developing a longer-term structural collaboration with IICBA.

In the current context of field reform in the African Region, priority should be given to defining IIEP's (and the other Institutes') roles in the new decentralization model and field network reform in Africa, in particular regarding IIEP's role in relation to the new multisectoral regional offices in the African region.

Ensuring the financial sustainability of the Institute remains an area of concern. Recently, the Institute has been confronted with two adverse developments, the 31% reduction of the UNESCO contribution in 2012 and the phasing out of core financial support from some traditional donors⁴. Consequently, the Institute's ability to meet fixed and recurrent costs from core, predictable funding is increasingly under pressure. One key aspect of the latter is the current inability of the Institute to cover the payroll of UNESCO staff positions with core funding. This puts into question the rationale of the current staffing arrangements. While more flexible staffing arrangements are called for, at the same time it is imperative that IIEP retain the modality of UNESCO staff positions to attract the best available expertise in educational planning.

Recommendation: In light of the current financial pressure on IIEP's payroll, it is recommended that the IIEP employ a two-pronged approach to addressing this issue. First, generate sufficient non-earmarked extrabudgetary funding (or cost recovery from earmarked funding) to cover on-going fixed-term UNESCO staff positions. Second, in line with the on-going staffing review the review recommends to gradually move towards more flexible staffing arrangements which are more in line with the dynamics of earmarked extrabudgetary funding.

In recent years, IIEP has been actively pursuing different strategies for extrabudgetary fundraising, including the organization of donor days. Close to 90% of IIEP's budget constitutes

³ The trainings provided in 2008 and 2010 by IIEP BA for field offices in the region may serve as an example.

⁴ The Dutch government announced to phase out as of 2014.

extrabudgetary funding. The evolving educational landscape and the ever more challenging funding environment will continue to affect partnership processes and a more strategic approach for engaging and working with partners, including a more proactive approach to seek support from the host government, is needed.

Recommendation: IIEP should increase its fundraising efforts on the basis of a (to be developed) partnership strategy that clearly defines what to achieve via different types of partnerships, including financial support, collaboration in research, and so on. With this framework, IIEP should engage in a strategic dialogue with the French authorities, with a view to establishing a closer relationship and increased visibility of IIEP at the level of the French national government (the Ministry of Higher Education and Research), with the aim of generating increased core or programme support.

Besides the issues summarized above, the report also presents a number of findings with corresponding recommendations relating to aspects of a more operational nature such as the Institute's management and governance framework, staffing matters and the level of functional autonomy of IIEP.

Finally, the review highly commends the fact that IIEP is a learning organization, periodically engaging in fundamental reflections about its work and how to best achieve its mandate⁵. Within the framework of this review the following 'bigger' questions for further reflection have emerged.

- Does the on-going challenge of securing financial resources within a very different funding environment require IIEP to restructure significantly its operations? (E.g. moving away from capacity building at individual level to free resources for building institutional capacities at national level?)
- To what extent should IIEP pursue a strategy to build multiplier effects and to leverage its resources (e.g. by working with and through Field Offices, developing new regional branches) to be better able to respond to a growing demand with relatively limited resources?
- Within the framework of the above, to what extent should IIEP develop a long-term partnership approach with a select number of institutions across the globe? To what extent is a fundamental shift towards more long-term collaboration with institutions (e.g. academia, think tanks, national educational planning units and training institutions) in different geographical locations a cost-effective and feasible approach to delivering upon IIEP's mandate in the current context?

UNESCO is currently in the process of developing its new C4 (medium-term strategy). Moreover, a number of structural reform processes instigated by recent events such as the Independent External Evaluation and the reduction in RP Budget, are currently under implementation. There is a clear opportunity space, a momentum for IIEP, in consultation with Education Sector, to take steps to ensure that IIEP's place and role is adequately integrated in the reform process of the Organization. IIEP deserves a more prominent place in UNESCO's (education-related) organizational set-up, with the UNESCO Education Sector and IIEP reaping the benefits of such an improved integration.

⁵ As illustrated by examples such as the recently commissioned cost and effectiveness study of IIEP's training programmes and the evaluation of IIEP's Research.

Introduction:

IIEP, the International Institute for Educational Planning, was established by UNESCO in 1963 as a Category I Institute with a specialised mandate for strengthening the capacities of Member States to plan and manage their education systems through training, research and technical assistance. As such, IIEP is an integral part of UNESCO, yet it enjoys a large amount of autonomy.

IIEP is based in Paris (France), with a regional branch in Buenos Aires (Argentina). Its programme and budget is approved on an annual basis by its Governing Board. By July 2012 the revised annual total resources for 2012 amounted to USD 12.6 million of core resources (down from USD 14.5 million initially projected for 2012)⁶ plus estimated extrabudgetary resources of \$ 7.3 million⁷. By March 2012 IIEP employed 114 staff members, 72 located in Paris (of which 37 fixed term staff), 41 in Buenos Aires (of which one national and one international fixed term staff members) and 10 working at country level (of which one coordinator employed by IIEP).⁸

An external evaluation of the Institute carried out in 2005/06 identified IIEP as an important player in the field of building capacity in educational planning and management, which performed well overall based on its mandate. It was recognised as a Centre of Excellence and considered among the organization's flagship Institutes. The key recommendations for IIEP and UNESCO pointed to the need to:

- **Develop and implement a “going to scale” strategy** to improve the global supply of qualified educational planners with emphasis on training trainers and on institutional capacity building;
- **Clarify the short and long-term expectations and roles of IIEP in relation to operational activities in Member States**, as part of the UNESCO transition to a more decentralised operating model;
- **Identify solutions to issues of potential overlap and a possible lack of coherence in the education programme**. These include how to better align planning, accountability and funding mechanisms in order to create mutually reinforcing incentives and to collaborate effectively.

Methodology :

The present review aims to assess specific key aspects of the Institute's performance, results achieved, management and governance mechanisms within the context of the implementation of the overall strategy for Category I Institutes and Centres.⁹ Taking into account progress achieved in the implementation of the recommendations of the previous evaluation, the review aims to identify major achievements, current challenges and recommendations for the future. It will feed into a summary report on all ED Category I Institutes, intended to inform the Education Sector's decision-making process to strengthen the overall framework for cooperation with (and among) the Institutes as well as the strategic allocation of resources and capacities.

⁶ Core resources include the UNESCO RP contribution and non-earmarked voluntary contributions from Member States. Due to the 31 % reduction in RP contribution (corresponding to an amount of USD 800.000) from UNESCO the budget was reduced from the original amount approved by the IIEP GB in December 2011. This does not consider additional support from UNESCO from the emergency fund for an earmarked amount of USD 250,000.

⁷ The revised figures by December 2012 correspond to income of USD 11.8 million down from an original estimate of USD 12.6 million, and with an expenditure of USD \$10.9 million down from \$12.4 . (Source: 51 GB/4)

⁸ These include 9 TAs employed in Afghanistan through the UNESCO-Kabul Office on Service contracts and 1 IIEP Coordinator which are embedded in the MoE Planning and Evaluation General Directorate, limited to the duration of the project by end of 2013.

⁹ 33 C/19 and 171 EX/18

Given the limited scope and resources in comparison to the previous exercise the review is based on a combination of validation and follow up of previous evaluation findings, in-depth document review, self-assessment, interviews with IIEP management, staff, governing bodies, UNESCO ED senior managers, representatives from field offices, other ED institutes and a limited number of external stakeholders. External quality control was ensured via validation of the findings and recommendations by an external consultant.

Relevance

This section addresses the relevance and alignment of IIEPs activities, the Institute's comparative advantage, its visibility and recognition by stakeholders.

1.1. Alignment with UNESCO's mandate:

IIEP's interventions are at the core of UNESCO's mandate and are well aligned with its priorities. IIEP adds value to the work of UNESCO's Education sector, both by complementing and strengthening UNESCO's mandate in the field of sector-wide policy formulation and planning.

Since its establishment, IIEP's mandate on capacity building in educational planning has been highly relevant within the context of UNESCO's education agenda, as well as within the global development agenda to reach Education for All and to achieve the Millennium Development Goals (MDGs). Sound education policies and well-designed plans are fundamental to the achievement of any education reform outcomes. Therefore, IIEP is likely to continue playing a key role for institutional capacity building in educational planning and management in the post-MDG debate.

With 'sector wide policy formulation and planning' among the 4 major ED priority themes in the previous 35 C/5 and current 36 C/5, IIEP's mandate clearly aligns with the key priorities of the ED sector. Its mandate is well reflected among the Expected Results in the 35 C5 and 36 C5 where explicit references are made, such as 35 in C/5 MLA 3, to 'Sector-wide frameworks: helping governments to plan and manage the education sector' or 36 C/5 MLA 1: 'National capacities strengthened for policy formulation and planning focusing on promoting the right to quality education and gender equality, and drawing on ICTs.' The 36 C/5 explicitly underlines that this will among others be implemented in collaboration with IIEP.

IIEP's relevance to the ED sector's work is underlined as the only Education sector Institute to which explicit references can be found in ED planning and reporting documents. IIEP's portfolio also fully corresponds to the key functions of UNESCO, with a focus on capacity building and knowledge creation and reflects several of the Organization's 34C/4 overall priorities. A majority of IIEP's activities are geared towards African countries, in line with the global priority Africa, and IIEP contributed important work on education in emergency contexts to the priority accorded in the 34 C/4 to countries in PCPD situations. Since the previous biennium there has been increasing attention on integrating gender sensitive approaches in educational planning, however more efforts will be required to mainstream gender in all of IIEP's activities. Furthermore IIEP acts as a catalytic agent at the policy level which is at the core of UNESCO's mandate and positions UNESCO in a specific niche i.e. capacity development in educational planning and policy. It is therefore of strategic importance to clearly define the Institute's role within the new ED sector 2020 strategy and to clarify expectations to fully harness its potential.

Recommendation:

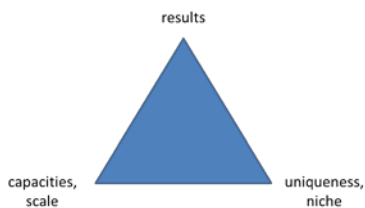
The new Education Sector Strategy should adequately reflect the importance and contribution of IIEP's activities to UNESCO's overarching goals in education as well better clarify the role of the Institute and its alignment with other programme areas and UNESCO entities.

1.2. Comparative advantage

Among IIEP's strengths is its clearly defined mandate. Its comparative advantages are well understood and acknowledged by stakeholders. IIEP's interventions are focused within a specific niche, and have achieved significant results. However, IIEP's capacities are modest in comparison to its global mandate. In a context of increased pressures on financial resources, the challenge of 'scaling up' remains daunting and can only be realized with a clear and focused strategy.

Literature provides many definitions of the concept of comparative advantage. In the framework of this review, comparative advantage refers to an Institute fulfilling a *'unique need (or set of needs/priorities) backed up by positive and meaningful results and the necessary capacities and scale to make a difference.'*

Comparative advantage:



Capacity development in educational planning and management has proven to be an **important niche** for IIEP, that is and will remain of cross-cutting relevance in all education reform. The increasing focus on equity and quality and a shift from 'education centred' to 'learning centred' approaches will need to be considered in educational planning and management also within the framework of the post-MDG agenda.

The Institute has been successful in combining, interlinking and building upon three key functions, i.e. capacity development (training), knowledge creation and supporting countries in applying policy options through technical assistance. Compared to national or regional educational planning institutions, stakeholders have acknowledged the unique features of IIEP's services. These include bringing a global comparative perspective to educational planning, ensuring professional relevance through the applied and practical nature of its programmes as well as transforming research into practical policy options and applying these in the framework of its technical assistance activities. Furthermore, research and operational experience of IIEP staff feed back into IIEP training courses, thereby reflecting current developmental contexts.

In terms of achievements, IIEP has produced a significant level of meaningful results, which are discussed in the separate results chapter below. In line with the findings of the 2005/2006 evaluation, IIEP continues to make a difference in developing capacities in a sustainable manner through bringing critical education issues to the top of the education reform agendas.

IIEP's delivery capacities are modest in relation to its global mandate. It would be inappropriate to hold IIEP accountable for developing the capacities of educational planners and managers

worldwide. Yet, the 2005/2006 evaluation concluded that there is a need to scale up IIEP's outreach, which continues to be a challenge today.

Within this context, the present review found that:

- Growing demands from Member States, from an increasing number of institutions at decentralized planning levels, resulting from the growing scale and pace of educational development, as well as an ever more challenging operating environment are putting pressure on IIEP to find ways for working more efficiently and increasing its outreach at various institutional levels.
- A reflection is needed on how to involve larger and more diversified audiences and to better harness the potential of multipliers¹⁰ for scaling up IIEP's outreach and impact.
- Despite a relatively clear niche there is a risk of fragmentation of activities, weakening the strategic focus and critical mass of expertise of IIEP.

Recommendation:

IIEP should aim at scaling up its activities in particular by playing its catalytic role, for example through training the trainers, reinforcing institutional development, developing capacities and strengthening governance in respectively national ministries and national educational planning institutions, and where appropriate at the level of regional bodies.

1.3. Global recognition

IIEP is highly valued for its services, both within the UNESCO network and by global, regional and national external stakeholders. It has a strong brand name, is considered a world class Institute and is referred to as a 'Centre of Excellence' by stakeholders inside and outside UNESCO.

Preliminary results from the recent 37 C/4 consultation process demonstrate that Member States attribute the highest relative priority among all ED Institutes to IIEP. Furthermore they express recognition and high appreciation of IIEP's work. IIEP carries out participative consultation processes for ensuring convergence with country priorities and has been able to bring new issues to the education agendas, by launching research topics that have gained high visibility and were recognized as important emerging issues, for example on 'Ethics and Corruption in Education', and 'Education in Emergencies', areas where IIEP has been recognized as a key reference at the global level.

Regular invitations of IIEP staff to high level policy fora and as speakers at conferences further demonstrate the high esteem of the expertise of IIEP staff. Hosting high level visiting fellows, the increasing interest in IIEP organized events and requests for cooperation with universities and international research and policy institutions are further demonstrating its prestige as a centre of reference in educational planning and management.

¹⁰ In this context multipliers are understood as key stakeholders, who are in a position to train others or pass on the knowledge and skills they gained via IIEP services, such as former trainees, trainers or trainers of trainers, but also civil society representatives such as from academia, NGOs or media organizations.

2 Results

IIEP has achieved important results through an interlinked approach to capacity development, knowledge creation and technical assistance. However, the nature and balance of activities in IIEP's three key areas of work as well as modalities of work need to be reassessed in light of resource constraints and with a view to increasing impact and value for money.

This chapter aims to highlight some of IIEP's key achievements and results in recent years with a focus on the 2010/11 biennium. It will identify to what extent the results are reflecting IIEPs strategic focus in relation to UNESCO's five functions: capacity building, clearing house, standard setter, laboratory of ideas and catalyst for international cooperation. IIEP is viewed as the premier flagship Institute of UNESCO. It has succeeded in interlinking and building upon three of these key functions, i.e. capacity building, knowledge creation and supporting countries in applying policy options through technical assistance, while the standard setting or catalyst of cooperation functions are less relevant within IIEPs portfolio.¹¹

2.1 Strategic focus

Despite continues measures taken to develop and strengthen IIEP's strategic priorities these are to some extent driven by different priority frameworks and historical legacies and IIEP must remain vigilant to the risk of fragmentation of its portfolio and to how an increasing dependency on extra budgetary resource might diminish the strategic focus.

IIEP developed a six-year Medium Term Plan (2008-2013) which is aligned with UNESCO's Medium Term Strategy and sets out its strategic directions approved by its governing body.¹² The Institute is currently engaged in the development of its next Medium Term Plan. For this purpose IIEP is consciously launching reflection processes that are fed by internal and outreaching consultations to core audiences, as well as carrying out in-depth studies on certain aspects such as on its training modalities or on the scope and modality of research that are fully taken into consideration in the elaboration of the next Medium Term Plan. IIEP aims to explore future directions and ensure that actual needs feed into strategic programming for improved relevance and alignment with the realities of Member States. Nonetheless IIEP must remain vigilant to the risk of fragmentation of its portfolio and how an increasing dependency on extra budgetary resource might diminish the strategic focus given that donor-driven activities can be based on various other priority frameworks. For example the criteria applied for selecting technical assistance requests are an example of IIEP's watchfulness of not diluting its focus.

Recommendation:

In consultation with its governing body IIEP should clearly identify a limited number of areas of strategic focus of the Institute for the next Medium Term Plan while ensuring close alignment with the Education Sector 2020 strategy. IIEP needs to move towards a more thematic concentration combined with extended outreach (going to scale). Fundamental choices on an improved thematic focus in research, training and technical assistance including policy advisory work should be grounded in a thorough reflection on comparative advantages (i.e. available expertise, IIEP's reputation and recognition among stakeholders, and stakeholder needs).

¹¹ This raises the question to what extent it continues to be appropriate that the performance of Category I Institutes is measured against UNESCO's 5 standard key functions, as suggested in the overall strategy for Category I Institutes 33C/19 and 171 EX/18.

¹² See IIEPs 8th Medium Term Plan 2008-2013

2.2. Clearing house function¹³

IIEP has become a highly valued reference in the international education community. As a knowledge sharing platform, IIEP's documentation centre provides access to selected, state-of-the-art resources, including widely used online portals. It has been instrumental in setting up resource centres in Member States, going beyond its traditional information-sharing function. However, with a view to its knowledge products IIEP needs to focus on a smaller number of selected flagship publications with due attention to quality assurance and the policy relevance of key publications.

The previous evaluation highlighted IIEP's strong track record in its clearing house function, while it suggested improvements regarding the visibility and communication of its results. IIEP has since made strides assessing ways to improve access to knowledge for various target audiences. It diversified the formats of its knowledge products and improved the format of its bi-monthly newsletter and now offers a redesigned functional website. IIEP developed a communication strategy for 2010-2013 that aims at identifying its target audiences, the most appropriate communication channels, the type of products needed to reach out and convey key messages to its different target audiences. Furthermore it is intended to support structuring IIEP's communication as an essential dimension of project implementation for example by developing communication plans for individual projects. Externally, the strategy aims to strengthen the image and visibility of IIEP as well as the understanding of the nature of IIEP's work and the effectiveness in reaching results, and finally at convincing donors of its impact to justify their further support. In this context one of IIEP's knowledge functions evolved from being a specialized library to becoming a knowledge-sharing platform that provides selected, validated and up to date resources in tailored formats to various key stakeholders. IIEP attempts to collect evidence on how knowledge produced and disseminated by IIEP feeds into policy dialogue and shapes the education development agenda.¹⁴

Through its open access policy to its resources, IIEP is making publications, practical tools and teaching materials easily available to stakeholders. It provides (to some extent online) access to roughly 34.000¹⁵ books, reports, journals and videos, as well as to 400 journal titles in the fields of educational planning, policy, management and development. The sharp and steady increase in the number of unique visitors of IIEP's website (+68% since 2008) and the increasing interest by global media are among the results of these efforts.

Among its notable information products are Planipolis, a repository of educational plans and policies, as well as an HIV/AIDS clearing house. IIEP also provides access to networks such as SACMEQ (Southern Africa Consortium for Monitoring Educational Quality) and ANTRIEP (Asian Network of Training and Research Institutions in Educational Planning) intended to facilitate knowledge sharing and to build on IIEP's experience. Furthermore, IIEP Buenos Aires provides access to SITEAL, a web-based database on social and educational trends in Latin America,

¹³ The 'Clearing house function' is one of UNESCO's five standard key functions as defined in the 34/C4 and referred to in the overall strategy for Category I Institutes 33 C/19 and 171 EX/18. However, within the context of this review this refers to the broader range of IIEP's functions as a knowledge broker, including the functions of its documentation centre, its communication strategy, networking activities and the provision of access to IIEP's knowledge resources and publications (see also footnote 11).

¹⁴ For example the methodologies developed in the framework of SAQMEQ that have been widely used by over 400 officially registered SAQMEQ data archive users for training and research purposes.

¹⁵ About half of those are visible references available online. The number of full-text documents accessible online is smaller; these include also not only IIEP's resources.

promoting good practice and supporting understanding of relationships between social and educational topics in Latin America. IIEP also delivers its collection of specialised literature to over 100 depository libraries throughout the world.¹⁶

IIEP's documentation centre is well embedded in the Institute's culture and is working closely with the different training and research teams, while providing active support to IIEP trainees, students, researchers and academics. In addition to the important role of knowledge sharing, the documentation centre staff also provides technical assistance on knowledge management in Member States, for example by helping the Ministry of Education in Morocco to develop their own resource centre. Future developments foresee the increased use of modern technology and social media, as well as the launch of a portal focused on Learning Outcomes i.e. by providing selected resources on 'What educational planners need to know'.

Despite these overall positive developments, there are issues that require closer attention:

- Despite the efforts to keep publications to a minimum the overall number of IIEP publications is still high and dilutes the attention and communication efforts which could be more effective if focused on fewer highly visible key publications. Considering the general information overload, there is the need to increase attention to external quality assurance (for example via systematic peer review) and to concentrate on producing synthetic and analytical policy briefs geared towards practical use by policy makers;
- The collection of evidence on how knowledge produced and disseminated by IIEP is feeding into policy dialogue and shaping the education development agenda is currently not systematic. For example, IIEP is not well aware to what extent its publications are used for policy work within the wider UNESCO network.

Recommendations:

IIEP acknowledges the need to stay abreast of new technological developments (social networks, web-based data, and communities of practice) and to develop new modalities for exercising its clearing house function in the best way possible. IIEP, in consultation with UNESCO's Education Sector, should discuss how this expertise can be shared with other Category I Institutes.

IIEP should revise its publication strategy, including reducing the number of publications. It should focus on developing a select number of highly visible flagship publications (e.g. an Annual Report on Educational Planning) supported by adequate (also external) quality assurance mechanisms and a dissemination strategy to enhance visibility. In addition, it should continue to develop synthetic and analytical policy briefs aimed at educational stakeholders at policy and programme management level. Finally, IIEP should ensure a constant visibility in the academic debate for example through a limited number of journal articles published in peer reviewed academic journals or by having its flagship publications be placed on formal reading lists in Education studies.

IIEP should further develop existing and new tools for systematic monitoring of the visibility and usefulness of its knowledge resources.

¹⁶ These are located mainly in developing countries: half of them in Africa, others in Asia and the Pacific, Latin America and the Caribbean as well as Arab states. For cost and effectiveness reasons, IIEP is currently reviewing its policy of depository libraries. The number is likely to be reduced.

2.3. Capacity building function

Capacity development is at the core of IIEP's work, comprising approximately 50-70 % of its activities. There are clear indications of the relevance and impact of IIEP's capacity development work with evidence showing significant and sustainable results. However, questions continue to be raised in relation to the appropriateness of traditional delivery modalities, considering the Institute's relatively limited capacities and resources compared to the growing needs for capacity development in educational planning and management at regional, national and sub-national levels.

Capacity development activities are the core of IIEP's business. The 2009 SPO1 & 2 evaluation confirmed that 'through IIEP, UNESCO offers world-class training in education planning and management in a variety of formats, from its flagship Advanced Training Programme (ATP), to its visiting trainees, distance and blended education and specific tailored short-term training courses and the IIEP Buenos Aires Regional Training Course (RTC) and underlines the high value of its longer term technical support to countries, such as in Afghanistan, Cambodia and Egypt'. Such achievements have been strongly confirmed within this review.

The practical orientation and professional relevance and the attention to creating local capacities, ownership and sustainability are key to IIEP's success. Furthermore IIEP has developed a comparative advantage through working in the areas of its long-standing in-depth expertise, for example developed by selecting themes, trial test and further develop the topics.

IIEP's technical assistance at the country level and (to some extent) its training offers¹⁷ are principally demand-driven, and demonstrate an approach tailored to actual needs. Acknowledging the risk of diluting its focus, IIEP has revised its strategy for technical assistance, as suggested in the 2005/06 evaluation. The numerous incoming requests are scrutinized according to predefined criteria and conditions laid out in the 8th Medium Term Plan¹⁸.

Despite its successes, the Institute faces a major challenge: Moving forward, how can IIEP best deliver its capacity development mandate? Overall, currently an estimated¹⁹ 50% of the IIEP's activities go into training, using nearly half of its operational budget (both RP and XB) and an estimated 60 to 70 % of its professional staff's time. This input has a tendency to increase with the maintenance of the course materials, regular content reviews, and updates in view of technical and pedagogical advancements in addition to the increasing hours of course delivery. The 2005/2006 evaluation already suggested putting more efforts into scaling up, focusing on training trainers and institutional capacity building, instead of concentrating primarily on building individual capacities. In response, the new 2009 training strategy aimed at consolidating the IIEP training offer and creating more flexible pathways between training modalities, through a credit system that allows following IIEP's diploma or Master degree. To further expand the training offer, alternative modalities, such as distance courses, have been developed. Nonetheless the ATP continues to require a major part of IIEP's resources and energy.

¹⁷ Distance courses for instance are developed on the basis of expertise and feedback IIEP receives and through demand as observed in the field (e.g. Distant Education on finance and budget). All courses on governance are demand-driven.

¹⁸ IIEP Medium Term Plan page 28: Ensuring relevance: The activities will fit within the IIEP's mandate and areas of competence; be strategic in nature; seek to have an impact at the country levels; receive logistical and administrative support through a UNESCO or other UN office; be adequately financed; take place at a reasonable level of field security; and be compatible with IIEP's staff commitments.

¹⁹ These percentages are based on estimations from IIEP staff and management.

As a learning organization with a strong tradition of internal reflection, IIEP has started a serious strategic reflection process and recognizes that given the limited capacities and resources it needs to significantly review its training programmes over a medium and longer term. For this purpose, a cost and effectiveness study on IIEP's training programmes²⁰ has been commissioned that shall support decision making towards the optimal mix of a more diversified training offer.

The following main issues will need to be reflected in these considerations²¹:

- Despite its long history and attributed success as IIEP's flagship training programme the Advanced Training Programme (ATP) has always been rather resource and labour intensive (with staff time the most expensive input in the ATP). Some stakeholders question to what extent the current modality can be maintained when considering the increasing volume of demand, different types of expectations, and evolution in the operating contexts. Investment in terms of financial and human resources tend to increase in particular in view of the residential setting, but also for the required update and maintenance of modules, as well as review and updates of pedagogical and assessment methods and skills.
- The ATP allows restricted access to only a small group of core trainees (30-35 visiting trainees per year out of 100-150 applications) while there is a demand for access for a wider, more diversified and equitable audience. Although wider access is to some extent offered through the Specialized Training Courses, i.e. the specialization phase of the ATP, the participation of women or access to training on the workplace are so far limited. Furthermore there is a high demand for training groups or teams of educational planners in a country, and while the majority of ATP trainees are from central planning units, the demand at decentralized planning levels is increasing, and it remains challenging for IIEP to find the most appropriate balance through its diversified training offer.
- The network of ATP alumni, considered among the key assets of the Institute, ensures former trainees access to e-discussion fora and regular up-dates. However this network is currently limited to the relatively restricted group of former ATP trainees while considerations to revisit the network operations could include the development of a Community of Practice accessible to a larger group of practitioners.
- IIEP faces increasing difficulties to attract funding for scholarship, as a result of donors moving towards funding at national or bilateral levels rather than for individuals.²²
- The ATP is targeting a strategically relevant group of central level planners. However, finding the most appropriate candidates for the ATP is also an issue. Selection criteria such as the high level entry requirements on the one hand and the availability of scholarships on the other hand often contrast, and not least for reasons of IIEP's budgetary pressure, difficult decisions are to be taken for the admission of candidates.
- Developments and future trends in training modalities outside IIEP require closer attention. Even the most prestigious universities are offering increasingly modularised online courses which are in line with the trend for more flexibility in training paths, fostering self-learning

²⁰ The cost and effectiveness study is carried out in parallel to this review.

²¹ Although the considerations listed hereunder are mainly referring to the Advanced Training Programme many of these issues are to various extent equally valid for other training modalities, such as the restricted access and limited women's participation, focus on individual rather than institutional capacity building and concerns regarding increasing resource requirements that are not sustainable over the long term. However, in the framework of this restricted review IIEP's various training modalities have not been assessed in-depth, in particular as such in-depth assessment is covered in the cost and effectiveness study.

²² The previous evaluation also found that funding agencies are more likely to give fellowships for Africa than for other regions.

via virtual tutoring and networking and privileging coaching to training. IIEP is currently focusing on further developing its distance courses²³, and exploring pedagogically sound options to deliver parts of the ATP at a distance.

- Issues about the nature of the diploma i.e. the possibility of certification/accreditation of IIEP's training offer or options of entering into framework agreements with universities are also subject of serious reflection. Some stakeholders are questioning the value of IIEP offering a Master's level certificate or a certified or accredited qualification. Although formal recognition would certainly guarantee quality and is generally appreciated by trainees, external recognition or university branding could also be a risk for the recognised specificity of the IIEP training, i.e. its highly professional and practical orientation distinguishing it so far from other HE level programmes.
- Growing numbers of national and regional training providers open opportunities for IIEP to identify partners in order to scale up and develop national and regional capacity building and training facilities, while maintaining the professional oriented level and high quality. The decentralised regional branch in Buenos Aires demonstrates valuable features with an approach specifically tailored to the region that could be replicated in other regions. Statistics show²⁴ that of the majority of ATP applications coming from Africa, less than one fifth can be accepted. This may support an argument for considering setting up another regional branch in Africa.

Recommendations:

Currently, IIEP is in the process of reviewing the cost and effectiveness of its training programmes. The present review acknowledges the importance of this work and urges IIEP to seriously reconsider its current mix of training modalities based on the recommendations coming out of this study. In addition, it strongly recommends that the Institute adapt its strategy in light of limited resources and capacities, compared to a growing demand. The ATP should be thoroughly reviewed in this context. The new training strategy should also seek to build more training capacities of national and regional training institutions as a contribution to a going to scale strategy.

The Advanced Training Programme should be reviewed. Options for revising modalities could include considering a residential training with distance and blended learning modules, engaging former trainees as regional/local tutors for online courses in order to free IIEP resources for enhanced in country training, training of multipliers and strengthening national capacity building institutions and regional bodies in educational planning and management.

IIEP should continue its serious reflection on the issue of whether or not and how to seek formal academic accreditation or any other type of certification of its different training courses. A joint discussion and consultation with the Education sector and other Institutes' senior management should be initiated and ideally lead to a common approach among all ED Category I Institutes.

²³ The JP Morgan Chase funding framework of USD 500.000 in 2011 and 500.000 in 2012 for distance education is currently providing further testing ground in this direction.

²⁴ Statistics presented to the 50th session of the IIEP governing Board (50 GB/4 Part I – approved).

2.4. Catalyst for cooperation function

IIEP's function as a catalyst for cooperation stems from its capacity and institution building work as well as institutional networking, rather than through the more traditional organising of events and conferences.

Unlike other Education Institutes, IIEP does not concentrate on organising high level regional or global conferences. However, IIEP professionals are active in specialised professional networks in official government structures and in relevant research communities, while the active ATP alumni network is connecting educational planners within their national context in a very direct and concrete manner all over the globe.

The previous 2005/06 evaluation highlighted a number of activities through which IIEP is successfully fulfilling this function. IIEP is working as a catalyst in establishing or strengthening national and regional Institutions and fostering their geographic outreach. For example it supported the establishment of the Regional Centre for Educational Planning (RCEP) in the Arab region and further strengthened NIEPA (the National Institute for Educational Planners and Administration) in India which is now a university and an important actor for educational planning in the region hosting numerous trainees from abroad. IIEP has also been instrumental in setting up well-functioning networks. The initial capacity building effort in the framework of the SACMEQ initiative for monitoring educational quality resulted in a network of 15 South African countries.

The series of IIEP policy fora have gained international visibility and attention convening high level stakeholders from across the globe around a specific topic²⁵ and resulting in partnerships, huge interest in the dedicated websites and in attracting high media attention during the event and the follow up process. The policy forum planned for 2012 is built around the Youth agenda. IIEP aims to create a forward-looking platform for exploring new ways of learning in a direct dialogue between policy makers and youth, the receiving end of education policies and future generation of planners. Youth entrepreneurship, TVET skills and the potential of Youth in the Peace-building process are among the key topics that are expected to achieve major attention. However, several stakeholders are doubtful about the Youth theme being the optimal choice as a theme for the 2012 Policy forum, unless there is better clarification on IIEPs potential niche within the Youth theme, such as youth participation in planning processes (eg for secondary education) or youth employability issues in relation to planning.

Recommendations:

IIEP should make better use of its high reputation to build bridges between institutions across countries and act as a catalyst for South–South cooperation.

The Alumni network could be used more actively as an effective tool for South-South dialogue and for developing a larger Community of Practice by using modern communication tools and social media (e.g., by creating blogs, discussion fora, participation in social networks).

²⁵ Recent policy fora concentrated on the 'Challenges of Financing basic education', on 'School, identity and discrimination', 'Schooling of adolescents: cultural, pedagogical and educational policy challenges', 'Teacher Policies. Training, regulations and professional development' and on 'Gender equality in education'.

IIEP should make sure that themes chosen for the policy forum are very specific and the direct link to IIEP's expertise is well understood by target audiences to enable in-depth and focused discussion.

2.4. Laboratory of ideas function

Through its research function IIEP has explored innovative ideas and themes and built up a repository of knowledge on educational planning for which it is recognised as a key reference. In a limited manner, it has contributed to building local research capacities through stakeholder involvement in research activities and by including research methods and findings into its capacity-development activities. However, and as is substantiated by the findings of an external evaluation of its research which IIEP recently commissioned, resources available for research are spread thin on a rather large volume of research projects, which bears the risk of fragmentation of IIEP's research agenda. In a context of limited core funding, IIEP might also increasingly need to use extrabudgetary resources to conduct research, with the risk of further broadening its research agenda. On the basis of this external evaluation, IIEP is challenging its traditional ways of conducting research and is questioning how to shape a more clearly defined, focused, and effective research agenda. IIEP Buenos Aires has a strong regional research team that focuses on research tailored to the regional context, most of which is externally funded.

IIEP's research agenda serves multiple purposes. It aims at:

- Learning from practice in training and technical operations
- Contributing to a repository of knowledge on educational planning topics
- Supporting /informing policy makers
- To a lesser extent, strengthening research capacities of stakeholders
- Feeding back into training programmes

The potential of IIEP's research feeding into countries' educational agendas and fostering quality in education is frequently cited among the comparative advantages of IIEP. IIEP has a strong tradition of in-house, policy-relevant research, and to some extent translating it into policy options. Among the key features of IIEP's research work is seeking to building up local research capacities through engaging local research teams in the research process and regular validation workshops of research projects enhancing quality. However, the recent evaluation of IIEP's research work concluded that this has so far only to a limited extent led to actually improved research capacities at the national levels.

IIEP's publications resulting from research projects are appreciated for their quality and are packaged in various formats to attract different target readers. As policy makers are not the primary readers of in-depth research, IIEP selects a limited number of topics (3-4 per year) for which it produces focused policy briefs for policy makers²⁶. Among its more notable works, IIEP publishes the series of 'Fundamentals of Educational Planning', which highlights recent developments in educational planning and policies and discusses their implications, as well as IIEP's research on the topics of 'Ethics and Corruption', 'Household costs', 'Decentralization' and 'Education in Emergencies'.

²⁶ Policy briefs are products of current research projects. IIEP plans to publish briefs only when research projects are mature. This results in publication of no more than 3 to 4 topics per year.

Priority areas for research are emerging as a result of IIEP's observatory programme which identifies research gaps through discussion with peer researchers and trainees as well as discussion with governments. Over the last Medium Term Plan 2009-13 IIEP's research activities were organised around three thematic clusters: Equity, Access and Quality, Costs- and Finance, Governance and Management. The recently conducted evaluation on IIEP's research activities found however, that although IIEP's research topics usually reflect countries' research priorities, they may not be aligned with the policy cycles of countries studies. Together with the general complexity of ensuring policy formulation to become evidence based, this is reducing the potential of affecting policy formulation. Furthermore the evaluation found that IIEP's research is hampered by the lack of country-level dissemination strategies and because it is not underpinned by a clear strategy. In addition, the evaluation identified the need for establishing more strategic synergies between its research, technical assistance and training work.

As a centre of excellence, there is no doubt of the principle of IIEP conducting primary research. Nonetheless IIEP's research function faces a number of challenges, upon which the Institute has reflected and acknowledges the need for external advice. For this purpose the evaluation aiming to assess IIEP's research function was to provide guidance, among other, on the following issues:

- Conducting in-house research is time-intensive and requires the necessary core resources over a medium to longer term perspective for rigorous data collection and analysis. Given the decrease in core funding, and the trend towards an increased level of project funding there is a risk this will limit IIEP's research capacities, diminish independence on the choice of research topics and eventually result in a loss of quality.
- As other Education Category I Institutes, IIEP raises the question on whether and how the Institute shall or can compete or rather collaborate with other research institutions, universities or think tanks. It needs to reflect to what extent outsourcing or a closer collaboration can be beneficial with a view to influencing the policy discourse on a greater scale with or via influential partners.
- IIEP recognises that there is a level of fragmentation of IIEP's current research programme, and the Institute has undertaken critical reflections on how to best refocus its research agenda. Currently there are no consistent criteria or principles, such as those developed for alignment of operational activities with its core mandate.

Recommendations:

IIEP recently commissioned an evaluation of its research work. The present review acknowledges the importance of this work and urges the Institute to seriously consider the recommendations, especially the need for a narrower and stronger focus in its research programme. IIEP's future research strategy should (among other things) be strengthened along the following lines:

IIEP should invest more in collaborative (long-term) research relationships with selected institutions in the South as well as selected academic partners (in developing and developed countries). This would have beneficial effects for both IIEP's quality of research, the impact of research in terms of capacity-building in research as well as its policy use. Such collaborations would also be instrumental to strengthening IIEP's research capacity (e.g. through visiting scholars or students, joint project proposals for funding).

IIEP should strengthen the (thematic and - as appropriate - national and regional) focus of its research. The following criteria for defining its research agenda should be considered:

- *Available expertise and what could be considered as ‘core areas’ of research in which IIEP has established a certain reputation over the years. IIEP should continue to invest in one or two (clearly delimited) areas of research in which it should strive to achieve the highest level of quality. Strategies to accomplish this would include seeking international (academic) funding for research and publishing in the best peer-reviewed academic journals.*
- *The comparative perspective in research, which should be part of IIEP’s mission as an international institute.*
- *The relevance of the research theme, considering the centrality of the theme to IIEP’s capacity-building activities, the potential use of research knowledge in technical assistance and policy advisory work, and explicit demands from stakeholders.*
- *The potential impact of research on current debates and practices in educational planning and management (at the national or regional level; directly, through focused policy-oriented research or indirectly, through high-level publications).*

As well as undertaking research, IIEP should be seeking innovative ways to developing joint research agendas or to influencing the research agendas of donors, academic institutions and individual researchers in the areas of its mandate, as a way of leveraging its scarce research resources. It should for example seek a closer collaboration with influential partners such as OECD and the World Bank.

2.5. Standard setter function

Although standard setting is not a priority of IIEP’s mission, the quality and visibility of IIEP’s achievements have contributed to setting internationally recognised benchmarks.

IIEP’s function as a standard setter is less relevant among its strategic priorities, however through its activities it has occasionally been setting benchmarks and there have been noticeable achievements. The guidelines on the design and effective use of teacher codes of conduct engaged several countries in the process of launching their own codes of conduct, and the on-going e-forum on teachers’ code of conduct has been recognized as a major contribution towards implementing the normative instruments on teachers. A recent achievement in this respect is the degree to which IIEP influenced the GPE Guidelines for plan preparation. The standards articulated in this document have the potential of affecting the practice at country level, as well as shaping development partners expectations of countries.

IIEP also contributed to standard setting through dissemination of good practices such as Public Expenditure Tracking Surveys to support the fight against corruption, the series of guidelines for educational planning in emergencies or a set of global indicators to effectively monitor ED sector responses to HIV and AIDS. The previous evaluation also identified a potential for IIEP’s standard setting function through certification or accreditation of training courses in educational planning offered by other institutions, which however has not been considered as an option.

Recommendation: Given the current resource and capacity constraints it would not be advisable for IIEP to put more effort in its standard-setting function in the short or medium term. However IIEP is encouraged to collect more evidence on the indirect effects of its work in terms of particular outputs or results playing a normative or benchmarking role in educational planning and management.

3 Quality of interaction and coordination

3.1. Relationship with Headquarters

The relationship between IIEP and HQ is characterised by elements of both complementarity and overlap/competition. Notwithstanding the high level of appreciation within HQ for IIEP's work, the visibility and the use by HQ has so far been rather limited. Moreover, despite recent improvements in the interaction between HQ and IIEP and attempts to better clarify their respective roles, there is still overlap/partly competition as well as a lack of clarity on the division of labour between IIEP, HQ and UNESCO Field Offices. In addition, the relationship between IIEP and HQ has been characterized by a degree of competition in a number of areas, most notably fundraising.

a) The quality of the relationship

Overall there has always been a high level of interaction between IIEP and HQ, differing at times in frequency and quality. Several visits of the new Director General and the high appreciation for IIEP services by the ADG ED confirm the importance attached to the Institute which is considered among UNESCO's flagship Institutes. Compared to all other ED sector Category I Institutes there is relatively high visibility of the contributions of IIEP on the ED website.²⁷ Nonetheless there is some imbalance regarding the overall visibility of the Institute (and all the other ED Category I Institute) if compared to the proportion of the overall budgetary contribution (i.e. considering that nearly 10 % of the total ED sector RP activity budget in the 36 C/5 is dedicated to IIEP)²⁸ and given the high importance of the Institute's mandate among ED Sector priorities. Furthermore there is little evidence of IIEP products, such as research or publications, being used for UNESCO's policy work.

In follow up to the previous evaluation efforts have been made to better coordinate and improve communication and foster closer cooperation between HQ and IIEP. The involvement of the Institute Directors in the ED leadership team and a new impetus for the role of the Institutes' focal person have created a more enabling environment for cooperation and understanding of mutual expectations. However, for the Institute the role of the focal point is not yet sufficiently defined.

IIEP perceives competition with HQ with regard to fundraising, which is felt very strongly and leads to frustration. Despite generally praised as a flagship Institute, in some instances a lack of transparency and insufficient communication between the Institute, the ED Sector and BSP/CFS have led to the Institute not being given enough visibility and being excluded in negotiations on framework agreements with key partners and potential donors.

Relations at operational and administrative levels are more of an interpersonal than institutionalized nature. In general these are smooth with examples of regular exchange and support regarding contract management, HR issues, and publications. Despite the initial delay

²⁷ For example all of IIEP's publications are listed in the UNESCO's webpage (UNESDOC) and as it is based in Paris IIEP participates regularly in the ED Sector's web meetings and UNESCO/ERI media and web meetings. Furthermore there are clear criteria agreed with the ED Sector and ERI on when to upload IIEP's contributions on the UNESCO Website: depending on the audience, the type of the news, the communication goal to attain, and the actual relevance of some very specialized IIEP's news, considering that the UNESCO website targets the general public.

²⁸ In the approved 36 C/5 an overall amount of USD 18.9 million corresponding to 35 % of the total of USD 54.9 million ED sector activity budget is dedicated to the 7 ED sector Institutes for the biennium. These amounts were reduced for the year 2012 following the 31% budgetary cuts in early 2012.

the roll out of organisation wide systems such as FABS and SISTER have been smooth at IIEP and mostly adapted to specific IIEP needs. Nonetheless there are instances where the Institute feels that the administrative and regulatory framework of UNESCO does not fit with the reality, the pace, and need for operational flexibility of an Institute like IIEP, such as lengthy recruitment processes, lengthy financial management via HQ for activities that are decentralised to IIEP, or the delayed timing of the roll out of financial software.

b) Clarity of division of labour

Despite regular attempts for improvement²⁹ the division of labour among HQ and IIEP is still not fully clarified. Over the years the relationship has been characterised by differing contextual factors leading to uneven expectations and overlaps³⁰. At times the ED Sector and IIEP complemented each other, in other instances there was potential or actual overlap and sometimes even outright competition. The following contextual issues, as already outlined in the 2005/2006 evaluation, continue to characterise the relationship;

- IIEP's focused mandate and strong position in the field of capacity building in educational planning have been filling a gap during times where the ED Sector did not have educational planning among its key priorities. However the ED Sector's interest in educational planning and its representation in the ED Sector structure has been changing over time with the potential for overlap increasing.
- The different operating environments (i.e. due to its autonomy and flexibility IIEP is able to respond more quickly and with more certainty to requests for assistance from MS), led MS prefer to approach the Institute directly rather than through UNESCO HQ or the field offices which at times blurred their respective roles and the division of labour.
- The differing pace in the implementation of reform measures such as linked to decentralisation, or RBM reform creates differing expectations in a changing operating environment, especially with a view to the delivery in the field. There are different views on how Institutes are expected to deliver compared to or in cooperation with field offices.

The recent transfer of the educational planning functions to IIEP has been a concrete attempt to diminish previously existing overlaps. Furthermore the new ED sector structure³¹ laying out the cooperation modalities between HQ and IIEP and an additional note establishing clarity for working arrangements³² are intended to better clarify the division of work and how it shall be operationalized. Despite the explicit reference to IIEP being expected 'to provide technical backstopping to the Section for Teacher Development and Education Policies', the new working arrangements between HQ and IIEP regarding educational planning are kept vague and indicated as 'where appropriate', or 'subsidiary where the FOs or HQ division cannot deliver'.

Although formally there continues to be a need for better clarification, examples in practice show how IIEP and HQ divisions can work in a fully complementary fashion and avoid de-facto overlap. For example ED/HQ carried out a study on experiences and policies on the use of mobile phones in Education (m-learning) to which IIEP-BA contributed with a review on public

²⁹ For example the 35 C/5 indicates that the Education sector is "aiming to align the UNESCO education institutes and centres with Major Programme I as an important implementation arm, in particular in the fields of research, training and capacity development .

³⁰ see IIEP 2005/2006 evaluation report, page 84 ff.

³¹ (DG/Note/12/7, 12 April 2012 on increasing efficiency of action through adjustments to the structure of the Education Sector at Headquarters)

³² (ED/THE/12/20 of 4 June 2012: new working arrangements between HQ and IIEP regarding educational planning)

policies and mobile learning in Latin America. Another example of well-functioning collaboration between IIEP and UNESCO HQ is in the framework of the HQ managed and coordinated World Bank-funded Global Initiative for Quality Assurance Capacity (GIQAC), where IIEP contributes as a major partner to capacity building tailored for regional GIQAC networks.

Recommendations:

HQ should further clarify and better communicate the role and mandate of the focal point for Category I Institutes. The role could be further strengthened on issues that require better coordination e.g. at the level of planning and policy coordination. The focal point should encourage and enable strengthening the linkages at both senior and middle management levels, to ensure interaction with the Institute on a more regular basis. The focal point should also be supportive in developing mechanisms for exchange to raise awareness of good practices and ensure these are shared in areas such as knowledge management practices, publications, website features, research modalities, and staffing issues.

There is a need to rethink the division of labour between the Institutes and the overall UNESCO network and decentralization structure. IIEP together with UNESCO HQ, the field network and other Category I Institutes should identify to what extent there are potential overlaps, incidences of competition or missed opportunities for complementarity and collaboration in the implementation of UNESCO's mandate.

There is a need for a more transparent communication and collaboration in fundraising activities, which among other things would include a clearer positioning of UNESCO towards potential donors and the elimination of harmful competition. The Education Sector should involve IIEP in all fundraising activities that relate to IIEP's core mandate in educational planning and management and promote the Institute in its discussion with partners. IIEP in turn should develop an IIEP-specific fundraising strategy in cooperation with BSP/CFS and the Education sector.

3.2. Relationship with Field Offices

Generally IIEP has a good working relationship with a number of UNESCO Field Offices (FOs), whereby the latter often provide logistic and administrative support for IIEP activities. However there is a potential for improving the field offices' involvement in the implementation, support and follow-up of IIEP's activities. Given the fact that educational planning constitutes one of the core areas of UNESCO's upstream policy work, capacities within UNESCO Field Offices could be strengthened with the support of IIEP for field offices to better play the role of antennas and co-implementers of UNESCO's mandate in educational planning,

Improved collaboration between IIEP and UNESCO's Field Offices as well as other Category I Institutes is an important ingredient for realizing IIEP's ambition to scale up its activities and outreach. Such collaboration not only allows for the realization of economies of scale in programme delivery but also for a more demand-oriented and tailored approach to national and regional needs. IIEP's branch in Buenos Aires is a good example of successful decentralized delivery of IIEP's mandate.

IIEP regularly engages with a number of field offices and is respected as an effective partner. Field offices are generally aware of IIEP's research and capacity building activities and training

and in most of IIEP's operational activities, the strong support and backstopping from the respective field office are preconditions for its successful implementation.

Good practice has been found in particular on co-planning and implementation of activities within CAP EFA, where IIEP services are requested via field offices and can be covered via cost recovery. Other examples are IIEP BA implementing joint projects with FOs in the region, such as on strengthening national capacities on the production and use of education finance data with UNESCO Santiago, UIS and the OREALC, or IIEP and the Tanzania office jointly assessing and developing planning-budgeting capacity of MoE staff as part of the Tanzanian UNDAF. In 2008 the IIEP BA office was instrumental in providing training for all field office ED specialists from the region, and organised a follow up workshop jointly with IIEP Paris. However, this has not been established as an approach for IIEP.³³

However there are some issues that require closer consideration:

- Feedback from external stakeholders shows that the role of the Institute vs. field offices is often not clear for national stakeholders or UN partners³⁴. Especially in case of IIEP-BA some stakeholders found that given the Institute's visibility and high reputation in the region IIEP BA occasionally fulfils a role that is not fully coherent with IIEP's mission statement and that should be rather performed by FOs, but its autonomy and responsiveness put it in a better position to perform more concretely and effectively than FOs in the region.
- IIEP operates on a cost-recovery basis as a direct consequence of its income structure. The Institute is not in position to waive the principle of cost recovery. However, in order to facilitate cooperation, IIEP operates with field offices on the basis of lower rates. Nonetheless, the imperative for IIEP to recover costs can be an issue when field offices do not have appropriate funding sources.
- Despite examples of good practice of cooperation in particular with regional bureaus and some smaller field offices, the backstopping role envisaged for IIEP in the context of UNESCO's decentralisation strategy is not optimally exercised, in particular due to the lack of capacity within the field offices.³⁵ IIEP has become an active player at the country- and regional-level operational work on educational planning, while field offices usually coordinate relations with Member States governments and channel demands for the organisation of specialised training courses, act as an interface, support the IIEP team delivering the training, and provide assistance with coordination, logistics and administration. However, there could be a much better use of the UNESCO Field network on UNESCO's upstream policy work in educational planning which is among the ED Sector's key priorities.

³³ The training provided in 2008 by IIEP BA for field offices in the region has set an example. An update of the training was offered in 2010 at the request of OREALC, and the 'Capacity Strengthening Workshop for UNESCO Education Specialists in Latin America and the Caribbean' was organized jointly with OREALC.

³⁴ An important emphasis on working as ONE UNESCO during the past years may have contributed that external stakeholders are not necessarily aware of the organisational architecture of UNESCO (regional, clusters and national offices and institutes).

³⁵ The 2005/2006 evaluation had underlined that the approach foreseen in UNESCO's decentralisation strategy, i.e. '...to strengthen field offices and to have them shoulder more of the burden in relation to country and regional-level operational activities while IIEP together with UNESCO Headquarters are expected to play more of a back-office support role for services to member states' would require considerable capacity building of UNESCO field offices. The DG Note /12/7 from 12 April 2012 on 'increasing efficiency of action through adjustments to the structure of the ED sector at HQ' and the 'Memo on the new working arrangements between HQ and IIEP regarding education planning' (Memo ED/THE/12/20 of 4 June 2012) also foresee a technical backstopping support from IIEP to FOs and priority countries ...to be provided on a subsidiary basis by HQ /THE in cases where IIEP and /or Regional bureaus are not in a position to deliver.³⁶ See footnote 33 above.

Recommendations:

The Education Sector in consultation with IIEP should better define the division of labour between IIEP and the overall UNESCO network and decentralization structure. Among other things this should include an approach to support the building of capacities of UNESCO Field Office staff in the field of educational planning. 36 There is a potential for improving the field offices' involvement in the implementation, support and follow-up of IIEP's activities in order for them to take up the role of antennas and co-implementers of UNESCO's mandate in educational planning, while IIEP could play a more proactive coordinating as well as backstopping role.

IIEP together with HQ and other Institutes should establish a common and transparent policy for cost recovery.

In the current context of field reform in the African Region, priority should be given to defining IIEP's (and the other Institutes') roles in the new decentralization model and field network reform in Africa, in particular regarding IIEP's role in relation to the new multisectoral regional offices in the African region.

3.3. Relationship with other Education Category I Institutes

Exchange among Institute Directors of three of the Institutes (IIEP, IBE, UIL) is facilitated via the leadership team meetings and on an informal basis, but there is a need for exchange of good practice on administrative and internal support issues. So far exchanges between IIEP and the smaller Institutes (IESALC, IITE, IICBA) have been limited. In view of a need for scaling up IIEP's activities, there is scope for strengthening the collaboration with IICBA.

Regular exchange among the three global Institutes, IBE, UIL and IIEP, has become common practice both informally and formally in particular on managerial issues, through their participation in the ED leadership team, by inviting each other to GB meetings, and through regular informal exchange, to inform each other of activities of likely interest.

Other Institutes view IIEP as a model, as leading among the Institutes and expect IIEP to support them, but in practice there are few instances where the Institutes work together at the operational level. IIEP has a longstanding cooperation with UIS³⁷ on monitoring and evaluation mechanism, and there have been occasions for cooperation through the FOs in the framework of pooled funding frameworks e.g. Cap EFA, such as with IBE and the Juba Office on developing capacities in curriculum and educational planning, or coordinated delivery of expertise of UIL, IIEP, UIS, BREDA, Pole de Dakar to DRC managed by the Kinshasa office.

The cooperation or exchange with smaller regional Institutes has so far been less relevant. An exception is the cooperation with IICBA and Ethiopian authorities on the implementation of the newly developed education sector plan at central and regional levels. There is clearly a potential for IIEP to examine the possibility of harnessing existing regional structures like IICBA with a potential for attracting extrabudgetary funding, for better sharing its experience and best practice or eventually for up scaling its activities in the region.

Also on the administrative and central service levels there are many good practices IIEP could share with other institutes and facilitate better networking. In the past there has been regular

³⁶ See footnote 33 above.

³⁷ UNESCO Institute for Statistics in Montreal

exchange of concerns, experience and good practices during yearly meetings between IIEP, IBE and UIL documentation centres staff, which had ceased for budgetary reasons. However such exchange should be reinitiated, with the help of the focal person and could be maintained as virtual meetings, via Skype or videoconferencing.

Recommendations:

Tele/Video conferencing among the Institutes' Directors should be established as a cost efficient way for regular communication and discussion around specific topics in order to identify potential areas for future cooperation.

The review commends that IIEP has already initiated a close collaboration with IICBA. Within the framework of UNESCO's Priority Africa and given the close alignment between IICBA's and IIEP's missions, IIEP should proactively explore scenarios for developing a longer-term structural collaboration with IICBA.

The Education Sector should facilitate exchanges of good practices among Institutes, not only at the strategic and programmatic level (as is already the case to some extent), but also covering such areas as administration, M&E, planning and other topics.

3.4. Relationship of IIEP's regional branch in Buenos Aires with IIEP Paris

Since the previous evaluation the systematic collaboration between IIEP Paris and the regional branch in Buenos Aires has considerably improved and the regional branch is closely involved in IIEP's strategic planning process and joint budgeting.

IIEP Buenos Aires, the regional branch in Buenos Aires has been set up in 1998 and works in a relatively autonomous fashion. Since the previous evaluation the relations and frequency of contacts between Paris and BA have improved considerably. The Head of the BA office participates in the yearly governing board meetings and via teleconference in the weekly IIEP senior management meetings which results in increased exchange and joint strategic planning and budgeting, as well as closer coordination and involvement in training and operational activities. IIEP BA for example has been active in organising training and technical assistance in Portuguese speaking African countries and the two offices pay attention to aligning their strategies for course development of the ATP and the regional course offered by IIEP BA.

4 Organisational arrangements: Staffing, management and accountability, governance

4.1. Staffing

As a centre of excellence, maintaining a critical mass of expertise, the right skill mix and a dynamic staffing environment are among the most critical issues for IIEP. The payroll of UNESCO fixed-term staff positions exceeds UNESCO's RP contribution by far. In a context of increasingly unpredictable core funding, this creates liabilities that are no longer sustainable and IIEP will need to investigate options for more flexible staffing arrangements.

Following a significant decrease from a peak of 93 IIEP staff in Paris in 2004 staffing levels have been relatively stable since 2009/2010, with 72 staff in Paris and 41 in Buenos Aires by March 2012. By 30 March 2012, IIEP Paris employed 37 fixed term staff and 35 contract staff and Buenos Aires 1 fix termed staff, 1 NPO, 16 service contracts 23 special service agreements.

As a centre of excellence maintaining adequate staffing levels, in terms of the quality and critical mass of expertise and the right skill mix, geographical diversity as well as a balanced level of grade level seniority are among the most critical issues for IIEP. A high level and mix of content expertise and talent combined with training and research capacities and the dedicated engagement of IIEP staff are among the core values of the Institute and key for its performance. The tendency to working across teams has proved as beneficial for further strengthening IIEP's integrated approach.

However, several issues in relation to staffing are of concern and require closer consideration:

- Although formally it is foreseen to cover both programme and staff costs, for already several years the UNESCO contribution has no longer been sufficient to cover UNESCO staff positions. With the recent budgetary reductions, coverage has been further decreased and is now less than one third of UNESCO positions, creating serious liabilities for IIEP and UNESCO within an unstable core funding environment.
- The increasing demand for IIEP services within a restricted HR framework raises the workload per person and the resulting pressure and stress levels of staff are increasingly felt at all levels. There is an imminent risk that this situation if not tackled will lead to diminishing returns.
- Reflections on the extent of fix term appointments to be maintained versus gradually relying on more flexible alternative staffing arrangements are facing the dilemma that while searching for the best talents, temporary contract positions are potentially less attractive for high level international candidates, and being part of a UN staff structure is still considered a highly desirable value.
- While contract staff positions potentially provide the Institute with the flexibility to adapt its staffing needs to changing strategic priorities, in practice, this potential is underused, as most contract staff have been working over long periods; consequently uneven staffing conditions are strongly felt by contract staff who are holding even responsibilities. On the other hand when opportunities arise, contract staff who have developed valuable expertise in one of IIEP specific fields opt for 'more attractive' staffing conditions in UNESCO positions in HQ or the field and promising talents may be lost for the Institute.
- A small entity like IIEP requires careful consideration of the balanced distribution of responsibilities compared to staff profiles and grading. The limitations linked to the process of (re)-classification of posts raises issues, as staff profiles evolve de facto in terms of responsibility, level of expertise, and workload and do no longer demonstrate such a balance. Furthermore the Institute perceives a limited consideration by HQ/HRM practices of the specificity of IIEP's practice of staff deployment and there is a desire for more flexibility at the Institute level to make decisions without going through the entire administrative process via HQ.
- Investments in staffing, and in particular in staff development, are critical to ensure the motivation and high quality services expected from IIEP staff. Only minor budget allocations were dedicated to training in the previous biennia with the risk of diminishing institutional capability. With an increasingly restricted predictable core budget, staff development appears cannot receive due priority, and creative alternatives to formal (re)-training need to be investigated.

- Given the small reality and required in-depth expertise a number of staff has been working for IIEP over years, often in the same position without many opportunities to gain experience from outside except through IIEP field work. However, the dynamics in the education environment and the potential developments for IIEP's role are perceived differently from an outside perspective. While long term in depth expertise is a prerequisite for a specialised institute there is also a need for fresh views and ideas that provide critical input helping the Institute to remain at the cutting edge.³⁸

Recommendations: (see also the respective recommendation under financial sustainability) The on-going staffing review should focus on the assessment of the current versus desired set of individual and institutional competences and be used to establish the most adequate staffing levels in line with the Institute's future strategic directions. The modalities on how these can best be achieved include training, recruitment and, with the exception of few core posts, gradually moving to more flexible staffing arrangements that are better aligned with the funding sources of category I institutes and allow for greater flexibility in the management of staff, while offering attractive conditions.

There should be a reflection on how to establish a more dynamic staffing environment, which allows for retaining highly competent staff by ensuring proper incentives (including options for merit-based promotion and non-financial incentives). IIEP should consider strengthening the current teams and establishing the most appropriate mix of skills and expertise. In addition to the above, this could be achieved via increasing short term or limited term secondments to and from other organisations (such as OECD, research institutions and academia) or Member States governments. Staff exchanges with for example HQ and /or other Institutes could also be among the options.

4.2. Management

IIEP has a long history of visionary and talented managers who contributed to shaping the Institute's reputation as a centre of excellence and benefitted from the trust of its governing bodies. However, in some instances the level of functional autonomy required for the Institute to operate in a flexible manner, has been interpreted differently by the IIEP management, governing bodies and Education Sector senior management.

The Director of the Institute is appointed by the DG on the recommendation of the Governing Board. The DG represented by the ADG ED is responsible for the performance assessment of the Director, and may take suggestions of the Board into consideration. As a result of the functional autonomy of the Institute, the Director carries additional responsibilities compared to other ED sector managers, including both, for administration and management of the Institute as well as for programme delivery, financial management and fund mobilisation. (see Annex 5). The Director's performance, in terms of personal and professional qualities has therefore a direct impact on the performance of the Institute as a whole. Despite reputational risks linked to such a high level of responsibility, the Statutes of IIEP do not foresee a term limit for this position. The IIEP senior management team is currently composed of a D2 Director and a D1 Deputy Director. IIEP has had a track record of a well performing, visionary and strategically thinking

³⁸ For example the recent recruitment of the Deputy Director with an academic background from overseas contributed to launching several reflection processes with a valuable critical consideration from an external perspective

senior management team with a high degree of technical expertise combined with managerial and decision-making capacities which proved to be among the most critical aspects for shaping the strategic vision and reputation of a relatively small Institute such as IIEP. Strategic guidance as well as a sense of stability and clarity within the Institute on rules, processes and modes of operation, and a transparent and participative management style has proven to create an enabling and stimulating environment for staff to perform and aim at excellence. For external stakeholders, the issues of continuity and the perceived personal and professional qualities of the Institute's Director are closely associated with the success of IIEP.

As described in Paragraph 32 of the Principles and Guidelines regarding the establishment and operation of UNESCO Category I Institutes and Centres 171 EX/18, functional autonomy is one of the strong assets for Category I Institutes to operate in a more flexible manner, to ensure responsiveness to context and demand and to attract substantial extrabudgetary funding. In regard to IIEP there is mutual recognition of the win-win situation, i.e. for the Institute being part of UNESCO as a neutral diplomatic platform opening access to beneficiary countries governments and for UNESCO having a highly respected and specialised Institute contributing to its positive reputation and demonstrating credible results.

With the yearly approval of the programme and budget following the careful consideration and discussion by IIEP's Governing Board, the Board expresses full trust in IIEP's management on how to effectively and efficiently implement its activities, and how to adequately manage its approved financial and human resources. A regular exchange and provision of an appropriate level of information with UNESCO ED sector management is considered essential for maintaining the established collegial partnership and coordination with the ED sector.

During the course of the review, however, some board members and Institute Directors have raised concerns regarding the allocation of responsibilities for making certain decision which at times have been confused between Institutes and ED HQ management. Some examples are with respect to the need for travel approval and limited flexibility in relation to certain aspects of staff management and publications. When searching for solutions the optimal level of functional autonomy and flexibility, one of the key reasons for the success of IIEP, should be preserved while ensuring accountability of the Institute's management to its governing body.

Recommendations:

There is a need to map out all the critical instances where there is currently no common understanding of the concept of functional autonomy with the purpose of establishing the adequate conditions for the Institute to function in an effective manner as required for the implementation of its mandate. Guided by consistent principles, clarification should be sought on the meaning of functional autonomy in a few core areas, such as the definition of financial autonomy, and more specifically on a travel policy, a staffing policy for UNESCO posts, division of roles and responsibilities regarding fundraising, and the use of certain systems (e.g., SISTER, FABS). A working group with representatives from all Institutes, respective central services at HQ and the Education Sector could be established for this purpose.

UNESCO governing bodies should consider introducing a term limit to the Director position at IIEP (and all Cat I Institutes) in order to improve the results-based accountability framework of Institutes.

4.3. Planning, Reporting, Monitoring and Evaluation

Compared to other Education Category I Institutes, the planning, monitoring and evaluation culture at IIEP is considered as advanced. IIEP proves to be a reflective and learning organization and has been undertaking serious efforts to establish a results framework and organize its activities and decision-making processes in the spirit of results-based management.

Data available on results achieved are fairly consistent, and the information obtained from IIEP reporting documents, Governing Board papers, self-assessments and the anecdotal evidence drawn from interviews with both IIEP staff and external stakeholders are highly converging. Since the previous evaluation IIEP has demonstrated that it has maintained and reinvested in its comparative advantages over time through acting as a reflective and learning organization. Despite IIEP's increasing efforts of collecting evidence for demonstrating results beyond the output level, IIEP recognises that it still needs to improve in developing a more systematic approach of collecting evidence and documenting results.

A lot of thought has been given as to how to better report on and demonstrate results, and improvement towards a more results-based culture among staff has been observed during interviews and in reporting documents. However, the systems currently in place do not sufficiently support the continuous reflection process on how and what level to measure and demonstrate results or to distil lessons on a regular basis. On a daily basis there is more focus and pressure for delivery and keeping to strict deadlines. IIEP is the only among the Institutes having developed a logic model /results chain (see Annex 6) that depicts the longer term goals and building blocks on how to achieve outcomes. Nonetheless this has not yet become systemically the basis for results based management practice.

In addition to regular end of course feedback, IIEP periodically carries out tracer studies to former trainees showing the significant contribution to national capacity building and other downstream effects. IIEP also conducts self-assessments and client surveys to identify how well it responds to demands and expectations from its clients and to define future directions. The evaluation culture at IIEP is rather mature and most recently IIEP has launched two studies, i.e., on the effectiveness of its capacity building activities' and its research programme that shall feed into future strategic planning and provide guidance for decision making.

Recommendation:

The review commends the on-going efforts by IIEP to strengthen its M&E framework and practice. The present review recommends that the intervention logic of IIEP (see Annex 6) should be taken as a basis for further reflections on IIEP's M&E framework. The evaluation matrix defined in the cost and effectiveness evaluation could be used as a model for a broader exercise of matching key variables of IIEP's performance and achievements with sources and means of verification. Consequently, an institution-wide framework for M&E could be established, which the Institute could subsequently use to underpin any on-going and punctual assessments.

4.4. Governance

IIEP has a well-functioning governing body that provides excellent support and serious oversight, while maintaining a high level of trust in IIEP management and a collegial partnership with UNESCO Headquarters. While Board Members and IIEP Management consider that the Board composition is appropriate to ensure effective governance, some stakeholders believe that in order to ensure that overall trends and contextual issues in development and education are adequately represented there should be considerations to open Board membership to a larger group of potential stakeholders and partners working in fields of cross-thematic relevance with the areas of work of IIEP's mandate.

The IIEP governing board consists of 12 members chosen for their renowned and well respected technical competence in education or other relevant matters, in a personal capacity, and not as representatives of their respective countries.³⁹ The geographic representation as required by the Statutes is fully respected. A chairman is elected from among educators, economists and other specialists of international repute. The Statutes define clear term limits for the Chairman as well as for the Board members to ensure the rotational principle is applied. (See Annex 5: excerpt of IIEP's statutes). Board Members and IIEP Management consider that the Board composition is appropriate and its working methods are effective. Nonetheless some stakeholders believe that if IIEP wants to ensure that overall trends and contextual issues in development and education are adequately represented there should be considerations to open Board membership to a larger group of potential stakeholders and partners working in fields of cross-thematic relevance with the areas of work of IIEP's mandate.

In line with the IIEP Statutes, Board members very well perform their role in determining the general policy and nature of IIEP's activities; carefully scrutinizing the content of the Institute's Programme and Budget proposed by the Director; and reporting to the General Conference on IIEP's activities, as well as successive screenings of applicants to the IIEP directorship⁴⁰. The Board has been setting clear expectations for IIEP to demonstrate 'value for money', strategic alignment, and stronger RBM. In this context, and within the current critical circumstances, the Board encouraged IIEP to look at the cost and effectiveness of its training offer to provide evidence for future directions and decisions on IIEP's strategic focus.

Board Members are conscious and careful about not being involved in micromanaging the Institute. Board discussions are generally of high quality and in-depth. A strong sense of respect and collegiality among members facilitate the professional discussion of sometimes sensitive matters with freedom and mutual trust. IIEP management expressed strong appreciation of the excellent support and serious oversight it ensures.

The yearly Board sessions take place over 2.5 to 3 days in an efficient manner, with some of IIEP's senior professional staff participating. Two sub-committee meetings take place during Board sessions to address Finance and Administrative issues and Nominations.⁴¹ Board sessions comprise public and private sessions, some of which may be for Board members exclusively. The preparation of high quality Board documents and periodic emails for keeping Board members

³⁹ Among them there are four representatives from the multilateral system representing UNHQ, the World Bank, and on a rotational basis the African, Asian and Latin American Economic Commissions, as well as the UN specialized agencies (WHO, FAO, and ILO), and eight members in their private capacity as education experts with a recognized international reputation.

⁴⁰ They subsequently proceed to formulating a recommendation to the DG, in consultation with ADG/ED.

⁴¹ Depending on vacancies occurring on the Board.

informed on certain developments in between Board meetings are considered crucial for the effective and efficient course of the Board session.

The Board and the Chairman of the Board in particular support a collegial partnership with UNESCO Headquarters, and ensure a high level of transparency and communication in both parties' interests. The Institute is to some extent accountable to its Board but ultimately accountable to the General Conference of UNESCO⁴², which has created the Board to support and take major decisions for the Institute in a number of areas as listed in the statutes (see Annex 5). Being mandated by the General Conference to exercise oversight of IIEP operations, the Board has an important view on the professional ability, skills, and competences of the IIEP Director and sends a recommendation to the DG which is shared informally and taken into account in the performance assessment done by ADG/ED.

Recommendation:

IIEP should ensure that current developments in the educational landscape and the evolving cross-thematic relevance of themes that are key for educational planning and management are adequately reflected in the Governing Board representation. Such considerations should be the basis for a possible extension of the rotation model to representatives from other UN agencies and groups that could provide new perspectives and insights to the Institute's future strategic directions (such as the private sector and civil society, media, NGOs, professional associations...).

5 Financial sustainability

While IIEP is seeking to increase the outreach and scale of its activities and to maintain the high quality of its operations, the Institute is currently facing severe budgetary constraints that risk limiting its implementation capacity. Furthermore, the Institute's ability to meet fixed and recurrent costs from core, predictable funding is increasingly under pressure.

5.1 Budget

With the phasing out of core funding from some traditional donors and the 31% reduction of the UNESCO contribution, IIEP is facing severe budgetary constraints and is seeking new options for a more diversified funding. The payroll for a relatively high number of UNESCO staff contracts has been increasingly exceeding UNESCO's RP contribution and creating liabilities for the Institute and UNESCO that are even more difficult to be covered within an unstable core funding environment. Alternative staffing arrangements are being explored with ED/HQ and HRM.

IIEPs total income steadily increased from USD 31.4 million over the 2006/07 biennium to USD 36.7 million in 2010/11. The biannual contribution of UNESCO had remained stable at USD 5.1 million over the previous four biennia and a small increase to USD 5.3 million in 2010/11. The share of the UNESCO contribution proportionally decreased and reached a low 14.4% in 2010/11. UNESCO core funding and voluntary contributions amounted to approximately USD 17 million per biennium over the last three biennia with relatively minor fluctuations by individual donor country. Extrabudgetary contributions considerably increased from USD 7 million in 2004/2005 to USD 18.3 million in 2010/11. As part of its financial risk management, IIEP

⁴² On whose behalf the DG and ADG/ED act.

maintains a stabilization reserve since 1993. By 1 January 2012 the stabilization reserve amounted to USD 6.9 million.

Among other factors that contributed to the reduction of IIEP's core income in 2012/13 is the 31% budgetary cut⁴³ affected on the UNESCO contribution in early 2012. This led to the revision of the projected regular budget for 2012 of USD 14.5 million and finally the reduction to USD 12.6 million,⁴⁴ which further diminished the proportion of the UNESCO contribution compared to the overall budgetary envelope to about 10-12%. As a consequence of the global financial crisis on its core funders (mostly OECD-DAC countries), IIEP is confronted with the prospect of further reduction in its core, un-earmarked income beyond 2013. This is a critical risk for the Institute. In particular the prospected phasing out of core funding from the Netherlands⁴⁵ will be hitting the Institute rather hard, despite expected renewal of multi-year commitments from other donors such Denmark, Norway, Sweden, Switzerland⁴⁶.

Paragraph 12 of the Principles and Guidelines regarding the establishment and operation of UNESCO Category I Institutes and Centres (171 EX/18) emphasises that "care needs to be taken to avoid weakening well-functioning institutions", especially "as experience shows... the type of technical competence and expertise needed to develop world class category I Institutes requires a high degree of institutional stability and development. Such stability is defined to be required for maintaining both the trust of donors and the demand of beneficiary countries. Guaranteeing IIEP's financial stability should therefore be of concern for UNESCO as a whole.

Considering the above aspects the most pressing issues for IIEPs financial situation are the following:

- Although formally it is foreseen to cover both programme and staff costs, for already several years the UNESCO contribution has no longer been sufficient to cover the payroll of UNESCO posts. With the recent budgetary cuts these are now covered only up to one third which creates liabilities for the organisation that can no longer be maintained. In particular with the phasing out of other traditional core donors this issue requires urgent attention and consideration of alternative solutions (see staffing) while it puts increasingly pressure on the Institute for seeking funds externally.
- As of today, the funding distribution of the overall total of USD 17.5 million in 35 C/5 and USD 18.9 million in 36 C/5 (approved) among the Institutes, does not proportionally reflect the scale, delivery capacity or performance of the individual Institutes, but is based on historical levels rather than on objective and measurable criteria. For example IBE as a relatively small Institute with about 20 staff members and compared to IIEP a limited track record of achievements is receiving approximately the same share of the overall envelope available to ED institutes in the C/5 than IIEP.⁴⁷
- The forecast of a real-term decrease of core funding both from UNESCO⁴⁸ and decrease or phasing out of traditional core donors will put further pressure on IIEPs strategic

⁴³ UNESCO's allocation in 2012 was reduced by USD 821,425.

⁴⁴ Revised budget, Executive Meeting July 2012

⁴⁵ This decision is in line with an overall decision for redirecting the Netherlands' strategic priorities, and despite recent audit results demonstrating that investment in IIEP is good value for money.

⁴⁶ The Swiss allocations are based on the demonstrated performance of Institutes.

⁴⁷ IBE is receiving 27 % of the overall envelope available to ED institutes in the C/5 compared to 30% for IIEP.

⁴⁸ With the exception of the huge 31% cut the contribution from UNESCO has remained constant, which however means a decrease in real-terms.

directions and there is a risk this will create an imbalance with increased restrictions on its research programme and while priority will need to be given to project based priorities where funding is available.

- For IIEP, the cost of resident training courses is extremely high in Paris. The review of training activities will need to take this aspect into consideration, and a regional approach should be considered.

Recommendations:

In light of the current financial pressure on IIEP's payroll, it is recommended that the IIEP employ a two-pronged approach to addressing this issue. First, generate sufficient non-earmarked extrabudgetary funding (or cost recovery from earmarked funding) to cover on-going fixed-term UNESCO staff positions. Second, in line with the on-going staffing review we recommend to gradually move towards more flexible staffing arrangements which are more in line with the dynamics of earmarked extrabudgetary funding. (See also the respective recommendation under staffing).

IIEP should develop a focused fundraising strategy that shall concentrate on obtaining un-earmarked core funding as well as on increasing programme support in a few strategic areas of IIEP's work. In this context, IIEP should devolve more attention to participation in competitive bidding processes for funding for capacity development and research.

IIEP should develop a balanced approach to demand-driven, policy-oriented activities funded by extrabudgetary activities, taking into account such factors as alignment with core IIEP programmes and potential reputational risk.

There should be reflections by the ED Sector on how to best invest the overall budgetary envelope among Institutes, suitable criteria for allocation of funds should among other be performance based, to reward success and to foster striving for excellence.

5.2. Fundraising and Partnerships

Acknowledging its limitations in terms of outreach and capacity IIEP has been active in establishing partnerships within the donor community, UN and other implementing partners, local and national training institutions as well as the public and private sector. Close to 90% of IIEP's budget constitutes extrabudgetary funding. The evolving educational landscape and the ever more challenging funding environment will continue to affect partnership processes and a more strategic approach for engaging and working with partners is needed.

The current management is proactive in exploring and engaging in new implementation and funding partnerships, with both, implementation partners, national authorities, regional bodies as well as the private sector, demonstrating an interest in challenging the institute and maintaining a cutting edge approach.

IIEP is organising a yearly partners day, where representatives from major donors, implementing partners and other relevant stakeholders are joining in a dialogue with IIEP and holding open discussions on the Institutes results and contributions to the development of education in beneficiary countries. IIEP also uses this forum as a sounding board for future strategic directions with the objective of ensuring the continuity of the funding base. For example the

representative from the Dutch development cooperation, as the lead donor appointed by the other main core contributors, has been instrumental in prodding IIEP towards stronger results-based management and effectiveness, closer alignment with international priorities, including Africa, LDCs, gender, and conflict and disaster risk prevention - all of which found resonance in IIEP strategic reflections and implementation. However, IIEP could better use the donors' day if based on clearly defined strategically oriented funding objectives.

With close to 90 % of IIEPs resources being extrabudgetary and with the current focus on budgetary sustainability, major attention is being given to engaging in partnerships for funding opportunities, rather than purely strategic and programmatic considerations. The IIEP Management has to some extent shown the necessary fundraising skills and is exploring new options, for example in the Arab World and among BRICS, as well as with private foundations. However new types of relationships are developing slowly and the Institute experiences different conditions within different development contexts and is confronted with high transaction costs and objectives that are not always fully aligned with its priorities. However, specialised fundraising skills to professionally manage these various situations are still lacking at the Institute as they are across UNESCO.

Fundraising currently requires a substantial time investment of senior management. As highlighted earlier there is an issue linked to the lack of support in fundraising from ED and HQ senior management with the Institute not being given enough visibility and often being left out in negotiations on frameworks agreements with key partners and potential donors.

Recommendation:

IIEP should reinforce its fundraising skills and develop a partnership strategy that clearly defines what to achieve via the different types of partnerships, including financial support, collaboration in research, and so on. The partnership strategy should encompass current fundraising initiatives; proposals for new ones and a reference to IIEP's (improved) communication strategy (see discussion elsewhere in this report).

5.3. Host country arrangements

Host country relations have proven an essential criterion to ensuring a sound financial stability of all Category I Institutes. Overall IIEP has been maintaining a good working relationship with the French government⁴⁹; however the Institute has not specifically harnessed the potential advantages for the host country of IIEP being located in France, like UNESCO HQ, but as a separate entity. IIEP Buenos Aires maintains close relations and is strongly supported by the Argentinean government, in part because within the Argentinian context the host government benefits directly from IIEP capacity development assistance.

Since IIEP is located in France, and has the same legal identity as UNESCO there is no formal separate host country agreement between IIEP and France, but the relationship is based on the host country agreement with France and UNESCO Headquarters from 1954 and a separate exchange of letters from 1970, establishing the conditions for the provision of the building for

⁴⁹ Up until the financial crisis France regularly attended IIEP's donors days, and IIEP repeatedly sought support in that context. More recently, in view of the difficult financial situation in the host country, IIEP has been getting some attention from the French authorities on 'innovative financing'. Regular contacts are also maintained with AFD.

IIEP.⁵⁰ The host country contribution is rather limited, of roughly USD 320,000 (i.e. EUR 225,000) per year since 2004 and meant to cover the regular maintenance of the building. Since the building had not undergone any comprehensive renovation works since 30 years⁵¹IIEP decided in 2005 to accumulate this amount over the years and designed a major renovation plan considering that the building and infrastructure systems no longer corresponded to current norms and security standards. The works started in August 2010 and are expected to end in March 2013.

The advantage of IIEP being located in Paris together with UNESCO HQ, but as a separate entity, has not necessarily been harnessed as such. Although the Institute is highly appreciated, it is considered part of UNESCO and the host government does not additionally value its presence in terms of economic gains or political importance, such as the fact that ATP trainees, mostly high level government officials returning to key positions in the planning units of their governments are maintaining their relations with France built up over their long term resident stay and study visits in France.

Traditionally the entry point for IIEP is the Ministry of Education and Research; however the Ministry of Higher Education also holds a potential interest in the relations with IIEP. The French National Commission has been very supportive over the years and has often provided active support for example in organising the study visits for ATP trainees. Currently the relationships with the French Authorities are held on a more administrative level; however IIEP senior management has regular meetings with the French National Commission and AFD, and is seeking opportunities to deepen the relationship with respective stakeholders in the host country.

Recommendation:

IIEP should engage in a strategic dialogue with the French authorities, with a view to establishing a closer relationship and increased visibility of IIEP at the level of the French national government (the Ministry of High Education and Research), with the aim of generating increased core or programme support.

⁵⁰ The Host-country agreement between the Government of the French Republic and UNESCO (1954) foresees that French authorities are providing the Institute's building (1970) including rent-free premises and services. (Estimated at USD 1.5 million yearly) for IIEP Paris. The Argentinean Government provides (680,000 Pesos estimated at \$72,000 yearly) and the Ministry of Education Argentina provides the premises for IIEP Buenos Aires (estimated at USD 1.3 million), while IIEP pays for its maintenance.

⁵¹ Except a previous overhauling of premises in the 1990s, for which a contribution from France was received.

Concluding remarks and overall recommendation

Despite its long standing success, the significant results and the excellent reputation the Institute has built up and maintained over time, the Institute itself as well as a number of external stakeholders perceive that IIEP's working methods and delivery modalities need to be reviewed to better adapt to a constantly changing environment and the challenges the Institute is facing in view of an ever increasing workload and constant pressures in the funding environment.

The IIEP acknowledges that it may therefore be necessary to rethink the overall options for IIEP. As a self-critical and learning organisation IIEP has already launched several reflection processes and while close revision is already taking place for specific elements such as IIEPs training and research activities there are still some other bigger questions for which an answer needs to be found.

- Does the on-going challenge of securing financial resources within a very different funding environment require IIEP to restructure significantly its operations? (eg moving away from capacity building at individual level to free resources for building institutional capacities at national level ?
- To what extent should IIEP pursue a strategy to build multiplier effects and to leverage its resources (e.g. by working with and through Field Offices, developing new regional branches) to be better able to respond to a growing demand with relatively limited resources?
- Within the framework of the above, to what extent should IIEP develop a long-term partnership approach with a select number of institutions across the globe? To what extent is a fundamental shift towards more long-term collaboration with institutions in multiple contexts and geographic locations (e.g. academia, think tanks, national educational planning units and training institutions) a cost-effective and feasible option in the current context?

UNESCO is currently in the process of developing its new C4 (Medium-Term Strategy). Moreover, a number of structural reform processes instigated by recent events such as the Independent External Evaluation and the reduction in RP Budget, are currently under implementation. There is a clear opportunity space, a momentum for IIEP, in consultation with Education Sector, to take steps to ensure that IIEP's place and role is adequately integrated in the reform process of the Organization. IIEP deserves a more prominent place in UNESCO's (education-related) organizational set-up, with the UNESCO Education Sector and IIEP reaping the benefits of such an improved integration.

The IIEP new Medium Term Strategy will therefore be critical for rethinking the Institute's work quite radically. Considering IIEP's global mandate and ever increasing workload within a challenging funding environment, IIEP should closely revise current and be open to adopt innovative delivery modalities which will require partly abandoning traditional working methods and delivery mechanisms, it will need to decentralise more, to delegate by better harnessing the UNESCO field network and seek to work much closer in partnership with counterparts and stakeholders in developed and developing countries for building regional and national capacities that allow for scaling up its outreach, impact and sustainability.

Annexes:

Annex 1: Approach paper for the Review of Education Category I Institutes

Background

This note lays out the methodological approach to be applied in the review of Education Sector Category I Institutes.

Category I Institutes are an integral part of the Organization and as such significant elements of UNESCO's network. They serve in their fields of specialization as international reference centres and poles of expertise with the aim to provide services and technical assistance to Member States, cooperation partners and also to the network of UNESCO Field Offices. In this context, the Education Institutes are expected to contribute directly to attaining the objectives of UNESCO's education programme (Major Programme I), and more specifically to implementing the Dakar Framework for Action on Education for All (EFA) in line with the fields of expertise defined for each Institute (referred to in 31 C/5, article 01300).

There are currently six Major Programme I Category I Institutes with diverse subject specific expertise:

- International Bureau of Education (IBE), Geneva, Switzerland, specialized in development of curriculum policy, contents and methods;
- International Institute for Educational Planning (IIEP), Paris, France, specialized in the reform and reconstruction of education systems, and the promotion of relevant policy, planning and management capacities;
- Institute for Lifelong learning (UIL), Hamburg, Germany, specialized in adult and continuing education; (former Institute for Education)
- Institute for Information Technologies in Education (IITE), Moscow, Russian Federation, specialized in the application of information and communication technologies in education;
- Institute for Higher Education in Latin America and the Caribbean (IESALC) Caracas, Venezuela, specialized in higher education in Latin America and the Caribbean;
- International Institute for Capacity-Building in Africa (IICBA), Addis Ababa, Ethiopia, specialized in education capacity-building in Africa;

The principles and guidelines for Category I Institutes are set out in the overall strategy for UNESCO Institutes and Centres and their Governing Bodies in the documents 33 C/19 and 171 EX/18 and clearly specify performance expectations for Category I Institutes and Centres, especially with respect to serving as centres of excellence and providing technical support and expertise in their area of specialization.

In the period 2004/2005 evaluations of 6 ED Category I Institutes and 2 Centres have been carried out and the biannual evaluation report on the activities and results of Major Programme I Institutes and Centres was presented to the 174th session of the Executive Board (174 EX/20). The latter document underlines major achievements and challenges and, among other things, recommends strengthening of the Institutes' research function, the improvement of mechanisms and processes to enhance the coordination between Institutes, HQ and the wider UNESCO network, as well as clarifying the Institutes' responsibility to reduce actual/potential overlaps in mandates among Institutes, with Field Offices, and with the ED sector at HQ.

Purpose

This review responds to the requests by the General Conference 30 C/ Resolution 83 and Executive Board 160 EX /Decision 6.4 for a periodic review of decentralized bodies and for submission of a biannual evaluation report on activities and results of all UNESCO decentralized bodies in the framework of UNESCO's decentralization reform. It also responds to the Director-General's advice to the 36th session of the General Conference, whereby she noted that during the preparation of the strategy to make IBE a centre of excellence, 'it became apparent that all Category 1 institutes are facing challenges to varying degrees, in programme coordination, administration, staffing and financing'. It would therefore be advisable to undertake an internal evaluation to address these challenges and to ensure that all Education Category 1 institutes contribute to UNESCO's education programme in an integrated way, while maintaining their functional autonomy (36 c/18 addendum, Para. 7).

The 36 C/5 Evaluation Plan foresees the review of 6 ED Category I Institutes with the aim of following up on the findings and implementation of recommendations from the 2005/2006 evaluation. A summary report of findings and recommendations shall be presented at the 190th session of the Executive Board in the fall of 2012 (tentatively). Based on these recommendations, IOS and the Education Sector will propose concrete solutions to address the key issues identified and submit them to the appropriate authorities for action. The results of the summary report, in particular in relation to any systemic issues that are identified, shall also feed into the framework of current UNESCO reform efforts.

Scope

The review will cover the following Institutes:

- International Bureau of Education (IBE), Geneva, Switzerland
- International Institute for Educational Planning (IIEP), Paris, France
- Institute for Lifelong learning (UIL), Hamburg, Germany
- Institute for Information Technologies in Education (IITE), Moscow, Russian Federation
- Institute for Higher Education in Latin America and the Caribbean (IESALC) Caracas, Venezuela
- International Institute for Capacity-Building in Africa (IICBA), Addis Ababa, Ethiopia

A key defining factor shaping the scope and approach is the current budgetary restrictions the Organization is facing. This affects the present review in two principal ways:

- 1) The review approach: IOS in consultation with the Education Sector have opted for a low-cost review approach instead of a more elaborate evaluation approach. The two differ in terms of costs, depth of analysis and methodological approach. In contrast to an evaluation model, a review approach does not involve elaborate and externally commissioned evaluative exercises, but constitutes a series of rapid assessments of key aspects of concern to decision makers.
- 2) The content and scope of the review. Given the current budgetary pressures, the review will prioritize those elements which directly relate to the Institutes' achievements on the core mandate of the Organization.

Given the above, the review will focus on the following aspects:

- 1) the **progress in follow-up of the evaluation recommendations** resulting from the evaluation carried out in 2005/2006, in particular in relation to the following criteria:

- i. the relevance and scope of Category I Institutes' activities to UNESCO's programme priorities in the field of education
 - ii. the results achieved in the previous two biennia (including indications of geographic remit and scale)
 - iii. the quality of interaction and coordination with HQ and the UNESCO network in regard to planning, programme implementation, monitoring, reporting, evaluation, and communication, with a view to providing mutual support and accountability and to avoid potential overlap
 - iv. the available financial resources (RP versus XB; quality and type of XB funding) and financial sustainability, including staffing (e.g. taking into account a minimum operating scale for effective operation)
 - v. the quality of organizational management
 - vi. the available human resources (including profiles, types and levels of staff contracts, terms and conditions)
 - vii. the quality of the operational environment (e.g. the host country arrangement)
 - viii. the composition and functioning of Governing Boards (e.g. efficiency and effectiveness).
- 2) the **progress in the implementation of the overall strategy for Category I Institutes and Centres** (2005/2006), covering aspects such as:
- i. strategic planning and monitoring frameworks developed by the Institutes, including results-based planning and reporting mechanisms
 - ii. performance on the 5 core functions of UNESCO (capacity building, laboratory of ideas, clearing house, standard setter, catalyst of international cooperation)
 - iii. visibility, outreach and communication.
- 3) the **extent to which the Institutes can make a significant contribution to UNESCO's mandate in the future** and how UNESCO can better capitalize on the capacities of Category I Institutes.

Methodology

An evaluation design matrix will be constructed to fine-tune the abovementioned aspects and align them with the appropriate methods for data collection and analysis.

The following methods will be applied:

- *Document Review* (in particular a targeted analysis of the 2005 EXB Summary Report and the individual evaluation reports from the earlier exercise), building upon the systemic issues identified in the previous evaluation
- *A self-assessment* matrix filled out by senior management of the Institute
- *Field work for validation* of the self-assessment matrix and *semi-structured interviews* with key staff from Category I Institutes and (to the extent possible) relevant external stakeholders
- (Possibly the use of) *Online Surveys and/or telephone/Skype interviews* to cover a larger network of key stakeholders, partners and beneficiaries
- *Validation of findings and quality control* by an external expert

Annex 2:

List of key stakeholders consulted for the review

- ADG Education Sector (HQ)
- Executive Office (EO) of the Education Sector (HQ)
- Category I Institute focal points within UNESCO's Education Sector (HQ)
- Directors and Programme specialists of UNESCO's Education Sector (HQ) of relevant divisions/sections/Institutes collaborating with IIEP
- IIEP Programme staff and administrative officer (AO)
- IIEP senior management
- Chairman and representatives of the IIEP Governing Board
- Implementing partners of IIEP (NGOs, government, multilateral partners, other UN agencies, academic partners,...)
- Representatives of local and host country governments
- Representatives of UNESCO National Commission

Annex 3: List of key documents consulted

IIEP specific documentation:

- IIEP's Statutes and Foundation Texts
- Proceedings from and documentation submitted to the IIEP Governing Board (programming, planning, budgeting documentation and financial statements)
- IIEP's Medium-Term Strategy and other strategic documents
- IIEP's Annual and Biennial Reports of Activities
- IIEP's website
- IIEP's publications, communication and capacity building tools and material, events and conference proceedings
- Overviews of IIEP's specific Achievements and Impact
- Previous internal and external assessments and other evaluation reports regarding IIEP or its activities and programmes (including the evaluation of IIEP's research programme and a cost and effectiveness study of IIEP's training programmes)
- IIEP's specific project documentation
- Planning and Reporting data on IIEP available in SISTER and FABS

General UNESCO programming and reporting documents:

- Overall strategy for Category I Institutes and Centres, 33 C/19 and 171 EX/18
- Biennial Evaluation reports on the activities and results of all UNESCO decentralised bodies 174EX/20
- Report by the Director-General on the revised and completed principles and Guidelines regarding the establishment and operation of UNESCO Institutes and Centres (category I) and Institutes and Centres under the auspices of UNESCO (category II) 171 EX/INF.10
- Category I Institute-specific reports and relevant documents submitted to the UNESCO Executive Board and General Conference
- 34 C/4 UNESCO Medium-Term Strategy 2008 – 2013 (34 C/4)
- 35 C/5 UNESCO Approved Programme and Budget, 2010-2011
- 36 C/5 UNESCO Approved Programme and Budget, 2012-2013
- Preliminary drafts of UNESCO's Strategy for Education 2014-2021
- 36 C/3 and draft 37 C/3 Detailed Reports on the Activities of the Organization in 2010-2011 and in 2012-2013: Major Programme 1 Education
- 187/188/189/190 EX/4 Reports by the Director-General on the execution of the programme adopted by the General Conference and main results achieved during the 2010-11, and 2012-13 biennia
- Draft programming documents for 37 C/4 and C/5 and Final analysis of the replies from Member States and Associate Members, and from NGOs to the questionnaires on the 37 C/4 and 37/5
- Other various project documents and mission reports on UNESCO and Institutes specific activities in thematic areas within the Institutes' mandates
- Education sector Technical notes on different thematic areas of relevance to the Institute's mandate

Previous evaluations:

- Evaluation of UNESCO Strategic Programme Objectives (SPOs) 1 and 2
- Evaluation of the UNESCO Category I Institutes and Centres (consolidated synthesis report) 2005/2006
- The current review and previous evaluations of
 - the International Institute for Educational Planning, IIEP
 - the UNESCO-UNEVOC International Centre
 - the UNESCO Institute for Education, UIE (now UIL, UNESCO Institute for Lifelong learning)
 - the International Bureau for Education, IBE
 - the UNESCO International Institute for Higher Education in Latin America and the Caribbean, IESALC
 - the UNESCO Institute for Information Technologies in Education, IITE
 - the UNESCO International Institute for Capacity-Building in Africa, IICBA
 - the UNESCO's Institute for Statistics, UIS
- Evaluations of the UNESCO Regional Bureaux for Education and other relevant field offices
- Evaluation of the Category I Abdus Salam International Centre for Theoretical Physics (ICTP)
- Evaluations on specific thematic or crosscutting areas relevant to the Education Category I Institutes' mandate (e.g. Mid-term Evaluation of LIFE, TTISSA, ...)

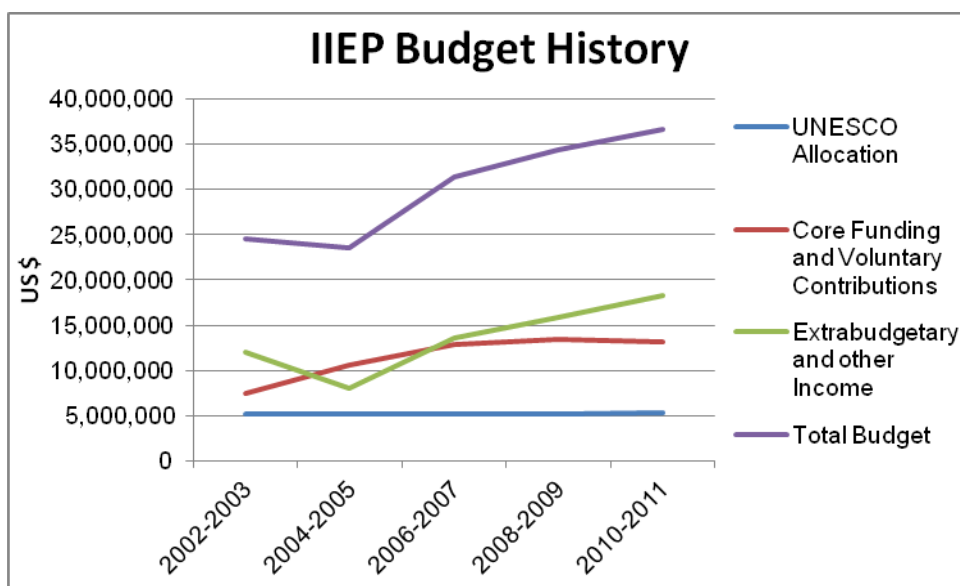
Other, such as:

- Strategy documents of other international players in the field of education (e.g. World Bank education Strategy 2020, European Commission Strategic framework for European cooperation in education and training ("ET 2020"), OECD Innovation Strategy for Skills and Training)
- Reports from the UN Systems Task Team on the Post -2015 UN Development agenda

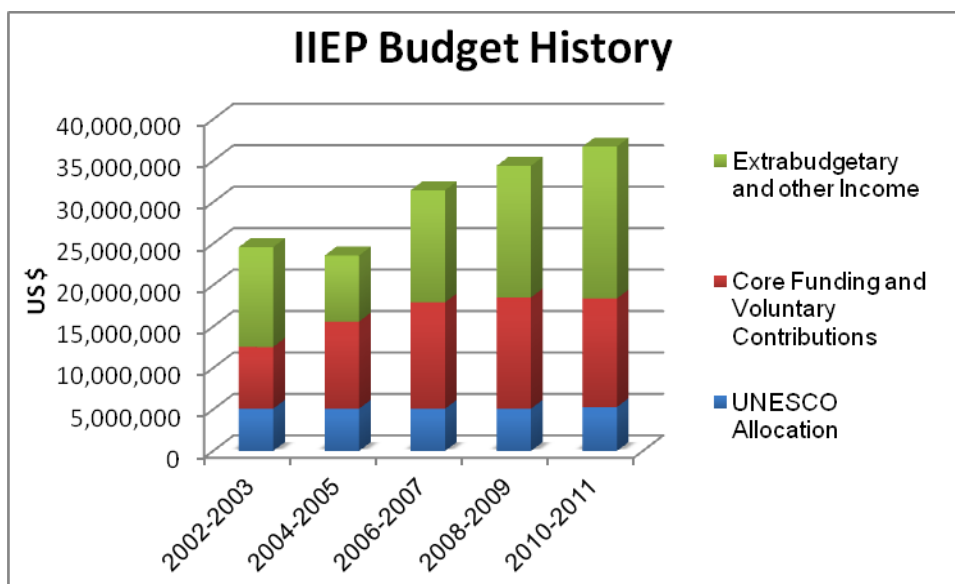
Annex 4: IIEP Financial data (source: Education sector, 2012)

1. Income from 2002 to 2011 in USD

	IIEP Institute				
	2002-2003	2004-2005	2006-2007	2008-2009	2010-2011
UNESCO Allocation	5,100,000	5,100,000	5,100,000	5,100,000	5,300,000
Core Funding and Voluntary Contributions	7,448,078	10,512,847	12,831,313	13,414,769	13,097,951
<i>Main donors (in alphabetical order):</i>					
- Argentina	274,897	335,359	312,817	456,252	340,329
- Australia	-	-	-	200,438	127,145
- Denmark	291,100	325,472	519,550	933,397	510,000
- Finland	208,768	117,647	546,648	581,982	534,404
- France	-	-	-	-	50,029
- Iceland	5,774	3,765	14,611	-	-
- India	20,321	19,947	20,182	20,169	20,425
- Ireland (MFA)	500,903	601,087	686,798	323,835	133,333
- Ireland (MoE)	-	58,353	37,239	38,007	-
- Netherlands	-	2,516,382	2,828,322	2,626,480	2,967,569
- Norway	-	4,057,711	5,308,283	4,765,913	5,349,313
- Spain	-	-	-	897,156	266,319
- Sweden (Sida) ⁵²	1,710,927	1,865,346	1,959,757	1,840,452	1,757,044
- Switzerland	527,159	611,778	597,106	730,688	992,041
- USAID	-	-	-	-	50,000
Extrabudgetary and other Income	12,046,907	7,971,553	13,518,811	15,883,705	18,318,572
Total Budget	24,594,985	23,584,400	31,450,124	34,398,474	36,716,523



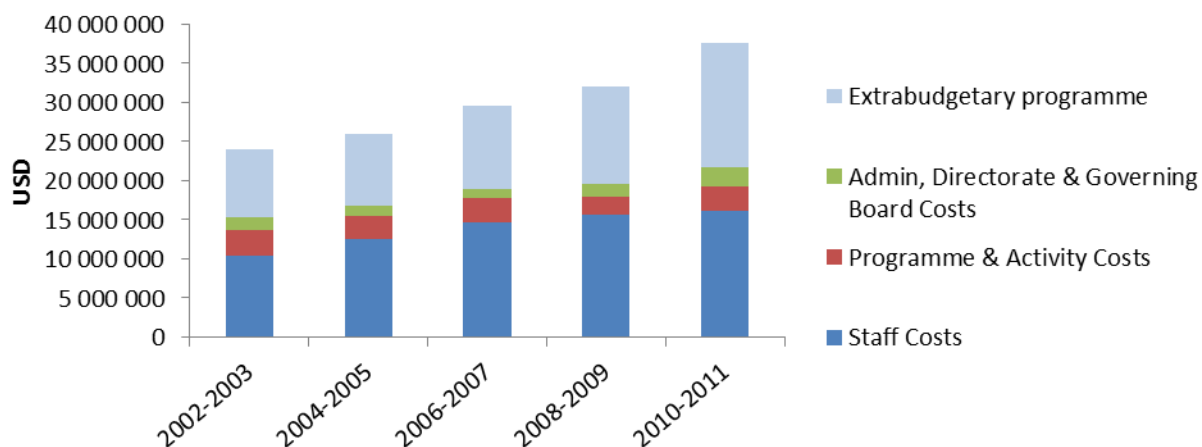
⁵² Four-year commitment of Sweden : SEK 7m in 2010 and SEK 6m annually in 2011,2012 and 2013



2. Expenditure by activity, absolute figures in USD for the Core Programme and Extrabudgetary activities

	2002-03	2004-05	2006-07	2008-09	2010-11
Staff Costs	10 341 185	12 478 832	14 599 165	15 657 922	16 203 403
Programme & Activity Costs	3 395 322	3 072 619	3 226 316	2 340 894	3 002 272
Admin, Directorate & Governing Board Costs	1 565 835	1 244 678	1 131 672	1 519 062	2 547 229
Total Expenditure	15 302 342	16 796 129	18 957 153	19 517 878	21 752 904
Extrabudgetary programme	8 644 630	9 243 807	10 707 809	12 447 894	15 800 281
Grand TOTAL	23 946 972	26 039 936	29 664 962	31 965 772	37 553 185

Expenditure by programme/activity 2002 - 2011



3. Breakdown historic : total income, UNESCO financial allocation as an absolute and as a % of total income

	2002-2003	2004-2005	2006-2007	2008-2009	2010-2011
Total Income	25 227 152	24 655 911	32 886 119	35 889 362	37 145 242
UNESCO Financial allocation	5 100 000	5 100 000	5 100 000	5 100 000	5 300 000
Percentage UNESCO Financial allocation/Total Income	20,22%	20,68%	15,51%	14,21%	14,27%

Annex 5: Excerpts from IIEP's Statutes⁵³

Part III, Rules of Procedure of the Governing Board (Revision 6)

I. Sessions

Rule 1 - Frequency

Stat.V.1 The Board shall meet in ordinary session once a year.

Rule 3 - Extraordinary sessions

Stat.V.1 The Board may meet in extraordinary sessions when convened by its Chairman, either on his own initiative or at the request of four of its members.

Stat.III.3 2. The United Nations, the International Bank for Reconstruction and Development, the Food and Agriculture Organization of the United Nations, the World Health Organization, the International Labour Office and the regional Institutes for economic planning established by the United Nations Economic Commission for Asia and the Far East, the United Nations Economic Commission for Africa and the United Nations Economic Commission for Latin America shall be given timely notice of every session of the Board and shall be invited to send representatives to such sessions.

III. Members and Deputies

Rule 6 - Term of office

Stat.III.1(g) 1. Elected members of the Board shall hold office for four years and shall be immediately eligible for a second term but shall not serve consecutively for more than two terms.

Rule 12 - Election of Chairman

Stat.III.1(h) 1. The Chairman of the Board shall be elected from among educators, economists and other specialists of international repute in the field of human resource development. He shall hold office for five years and shall be immediately eligible for a second term but shall not serve consecutively for more than two terms.

Stat.III.1(h) 2. If, however, the Chairman is elected from among the members of the Board, his total period of consecutive service on the Board shall not exceed the maximum period during which he could have served consecutively as Chairman and, if necessary, his term of office as Chairman shall be reduced by the time required to implement this provision.

IIEP Basic Texts

IV. Functions

The Board shall determine the general policy and the nature of the Institute's activities.

It shall decide how the funds available for the operation of the Institute are to be used, in accordance with the provisions of Article VIII, and shall adopt the budget. [...]

⁵³ From **IIEP Basic Texts**, Paris 1996, UNESCO : International Institute for Educational Planning, Part III

The Board shall lay down conditions for the admission of participants to the Institute's courses and meetings. It shall make whatever general arrangements it may deem necessary for the administration of the Institute and for the general supervision of the activities of the Director.

The Board shall be consulted as to the appointment of the senior officials of the Institute and shall make recommendations to the Director-General of UNESCO as to the appointment of the Director.

The Board shall submit a report on the Institute's activities to each of the ordinary sessions of the General Conference of the United Nations Educational, Scientific and Cultural Organization (UNESCO)

VI. Executive and other Committees

Rule 13 - The Executive Committee

1. There shall be an Executive Committee, composed of the Chairman of the Board and four other members to be elected at each ordinary session from among the members of the Board.

Rule 17 - Other Committees

1. The Board shall appoint such other committees as the business of the Institute may require.
2. The Chairman of the Board shall be ex officio a member of all Committees thus established.

Part II, Article VI

3. The Board shall lay down the conditions for the admission of participants to the Institute's courses and meetings. It shall make whatever general arrangements it may deem necessary for the establishment and execution of the programme of the Institute.

4. The Board shall be consulted as to the appointment of the senior officials of the Institute and shall make recommendations to the Director-General of UNESCO as to the appointment of the Director.

5. The Board shall submit a report on the Institute's activities to each of the ordinary sessions of the General Conference of UNESCO.

Article V

Procedure

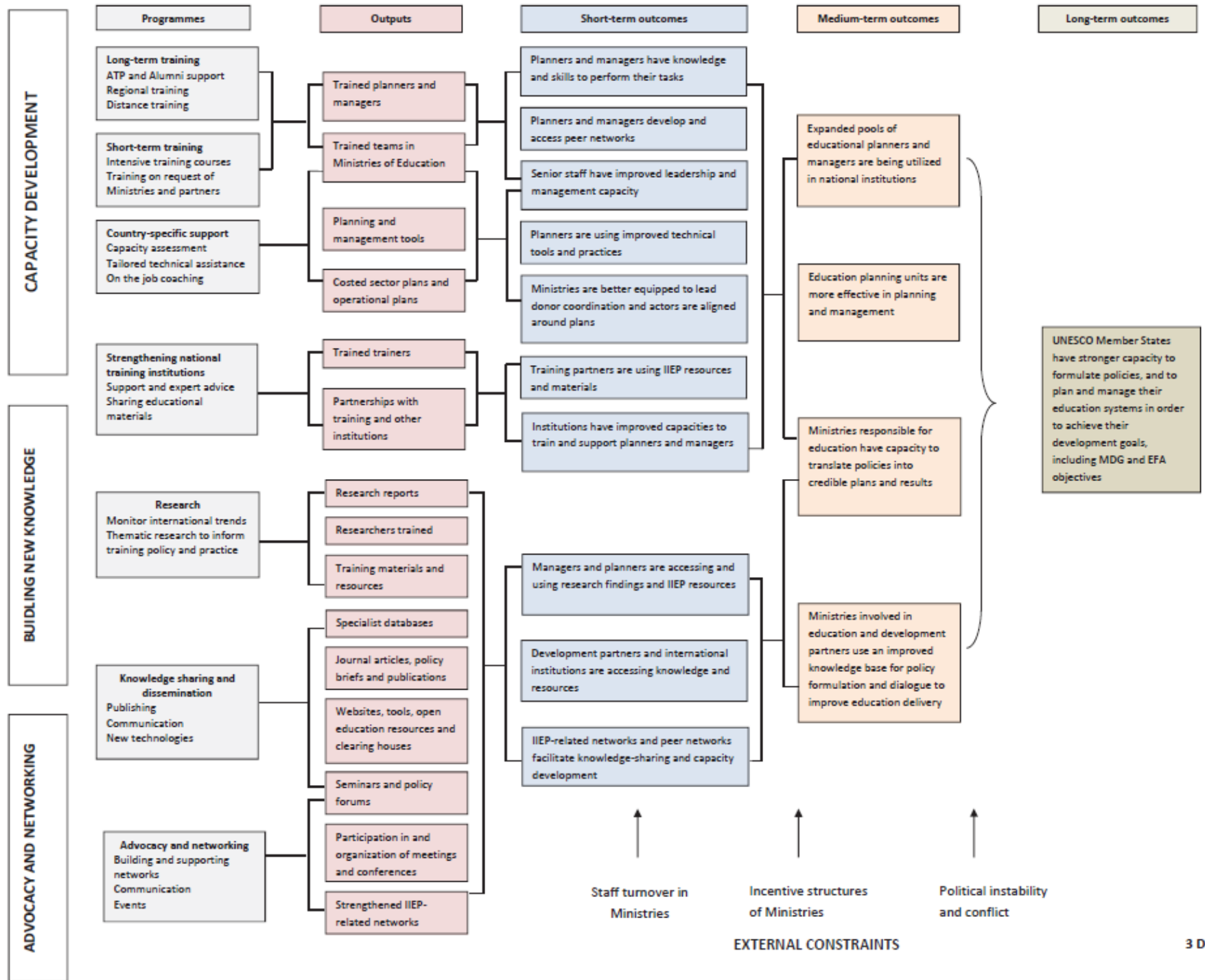
1. The Board shall meet in ordinary session once a year. It may meet in extraordinary session when convened by its Chairman, either on his own initiative or at the request of four of its members.
2. The Board shall adopt its own Rules of Procedure.
3. The Board shall set up an Executive Committee consisting of the Chairman of the Board and four members elected in accordance with the provisions of the Board's Rules of Procedure. Between the sessions of the Board, the Executive Committee shall perform the functions assigned to it by the Board.

Article VI

The Director

1. The Director of the Institute shall be appointed by the Director-General of the United Nations Educational, Scientific and Cultural Organization on the recommendation of the Governing Board.
2. The Director shall be responsible for the administration of the Institute.
3. He shall prepare its draft programme of work and budget estimates and shall submit them to the Board for approval.
4. Subject to the latter's approval; the Director shall draw up detailed plans for Teaching and research, and shall direct their execution.

Annex 6: IIEPs results framework



Annex 7: 36 C5 – first half of 2012 (excerpt from SISTER)

Progress achieved from 01/01/2012 to 30/06/2012

Benchmark attained against Performance indicator	
Expected Result N°1: To strengthen participants' capacities in core concepts and practices of educational planning and management, monitoring and evaluation, that integrates gender and conflict sensitivity	
<p>Performance Indicator: Number of planners who have received and utilize professional training in education planning</p> <p>Programmed benchmark: Skills and capacities of 100 trained educators strengthen the autonomy of the ministry in educational planning and management (currently less than five)</p>	<p>- 20 central-level planners have received training on education planning as of 15 June 2012 in a one-week seminar entitled Education Sector Policy and Planning Seminar, Education Policies and Plans for South Sudan. This seminar focused on access, quality and management of education. This seminar (held from 11-15 June 2012 in Juba) also focused on improving the South Sudan General Education Sector Plan (GESP).</p> <p>- State-level policy seminars and technical workshops are currently being organized for the months of July, August and September 2012.</p>
Expected Result N°2: Core concepts in educational planning and management are contextualized at state level	
<p>Performance Indicator: Acceptable state level annual work plans, monitoring and evaluation systems</p> <p>Programmed benchmark: More effective managers in all 10 states (currently less than three)</p>	<p>This component will be addressed through the above-mentioned state-level policy seminars and technical workshops that are currently being organized. More information will be available in the second semester 2012.</p>
Expected Result N°3: Women are playing a stronger role in future decision-making in educational planning and management.	
<p>Performance Indicator: Number of women in planning and management positions</p> <p>Programmed benchmark: At least 2 women in each state (currently less than five in total)</p>	<p>- 6 women participated in the central-level seminar in June 2012.</p> <p>- More information about female participation will be available in the second semester 2012 after completion of the state-level policy seminars and technical workshops, which are currently being organized.</p>
Expected Result N°4: National training capacities in educational planning and management have been strengthened	
<p>Performance Indicator: Number of Planning trainers at central and state levels</p> <p>Programmed benchmark: At least 6 resource persons and 2 IIEP graduates no baseline</p>	<p>- 4 central-level education authorities have been identified to act as resource persons. They will be called upon to support the implementation of subsequent project activities, thus reinforcing institutional capacity for educational planning and management in South Sudan.</p> <p>- 2 education officials have been nominated and selected to attend IIEP's Advanced Training Programme in Educational Planning and Management.</p> <p>- 4 additional education officials will be nominated and selected during the second sem. 2012 for the ATP's specialization phase</p>