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Table of Contents

Table of Figures

1 Introduction

1.1 Purpose of the report

Following conclusion of the Structural Review (SR) Project in January 2019 the UNFCCC Secretariat launched an ambitious change process to transition to a new organisational structure. The new structure has been conceived to respond to the evolving context in which the secretariat works, which demands different ways of working to those that could be relied on in the past. As is happening with many organisations, the complex and continuously changing needs of stakeholders call out for high levels of collaboration, innovation and agility, all qualities that can be difficult to inculcate. The change process therefore places high emphasis on the implementation of cultural and behavioural changes that can optimise the expertise and skills in the secretariat to ensure on-going delivery of highly responsive, proactive and meaningful support aligned with the purpose and goals of the Convention, the Kyoto Protocol (KP) and the Paris Agreement (PA).

Fitch Consulting was contracted by the UNFCCC Secretariat to provide critical support to the change process, especially with respect to efforts to bring about necessary cultural and behavioural change. The overall project had four primary workstreams:

- Structural development
- Cultural and behavioural change
- Organisational development
- Project management.

This summary report is intended to provide an overview of activities conducted by the Fitch team and in support of the Structural Review Implementation Team (SRIT), assess changes in the organisation, and provide advisory guidance on sustaining the change.

1.2 Organisation of this report

- **Section 2:** Overview of working arrangements. [Focused on explaining roles of SRIT, Fitch, and the HR team]
- **Section 3:** Summary of work performed
- **Section 4:** Framing and measuring change
- **Section 5:** The path forward

2 Overview of working arrangements

2.1 SRIT

The Structural Review Implementation Team (SRIT) is the responsible entity for the internal delivery and coordination of the four project workstreams. Comprising two full-time staff and three part-time staff, the Executive Secretary appointed SRIT members in May 2019 through an expression of interest process, with members remaining in place for the duration of the project until December 2020. Roles and responsibilities of the team are described in Figure 1.

Figure 1: Roles and responsibilities of the SRIT

Team role	Functional responsibility	Staff member
Core team		
Director, Implementation team (part time)	Provide direction and oversight for the implementation process	Daniele Violetti
Lead – Structural change (full time)	Focus on the structural design changes. Responsible for the structural design implementation plan and timeline and ensuring secretariat-wide consultations throughout the process;	Federico Schneeberger
Lead – Non-structural change (full time)	Focus on non-structural change initiatives. Responsible for the non-structural implementation plan and timeline and ensuring secretariat-wide consultations throughout the change initiative.	Lyn Rudder (July 2019 to date) / Patrick Medenou (May-September 2019)
Administrative support (part time)	Supporting the Director and the implementation team	Mary Grace Barrientos
Communications specialist (part time)	Focus on continual 2-way information flows throughout the change initiative	William Mohns
Collaboration with SRIT		
Human Resources	Representation and collaboration	Zephorah Weru, Stefanie Barabas
SAExCom	Representation and support	Ambretta Perrino, Mario Cabreja-Schery, Santhosh Thanjavur Prakasam, Alexandre Gellert

Team role	Functional responsibility	Staff member
		Paris, Mary Jean Abrazado, Miguel Alejandro Naranjo Gonzalez, Tracy Tollmann, Melita Kolundzic Stabile
Gender Team	Advisory guidance	Fleur Newman, Wiebke Bender
Transitional Focal Points	Consultative guidance	Two focal points per programme

Throughout the project the SRIT reported directly to the Executive Secretary of the secretariat, with the Management Team (MT) serving in an advisory role.

2.2   HR team

The secretariat's HR team played a vital role throughout the project, serving in an advisory function throughout the process, and leading many of the non-structural culture and behavioural change activities, as well as providing overall process guidance to structural changes. The team's work in the project was intended also to represent an evolution from a traditional human resources management function to something that is more in line with a "People & Culture" function increasingly found in other sectors.

Importantly, and in addition to direct work within the overall change implementation project, the HR team also sponsored a series of learning initiatives intended to complement the overall work of the project (these fitting under workstream 2, culture and behaviour change).

2.3   Fitch Consulting team

The Fitch Consulting comprised a team of six specialists. Bob Fitch and Leif Sorensen provided overall project support and integration with the phase 1 Functional Review, while the majority of project activities were provided by Joanne Marshall and Simon Lewis, under workstream 2 (Culture and behaviour change). Roles and responsibilities of the Fitch team are described in Figure 2.

Figure 2: Fitch Consulting team members

Team role	Functional responsibility	Staff member
Project director / change specialist	Overall programme design; integration of stream activities; specialist advice on organisational development and change	Bob Fitch

Team role	Functional responsibility	Staff member
Functional and operational design specialist	Lead advisor on stream 1; technical support to stream 3; support advisor on organisational development & change	Leif Sorensen
Talent optimisation specialist & trainer	**Lead adviser on talent optimisation and support to delivery of leadership development programme under stream 2**	**Joanne Marshall**
Leadership development specialist & trainer	**Lead adviser on leadership development programme and support to talent optimisation under stream 2**	**Simon Lewis**
HR capacity building specialist	Lead adviser on HR capacity building under stream 2	Valeria Kaneva
Resilience and well-being specialist	Delivery of Resilience workshop series	Liggy Webb

3 Summary of work performed

An overview of envisioned project activities for the change implementation project is outlined in Figure 3. Initially expected to commence shortly following the conclusion of the Functional Review project in January 2019, activities were delayed somewhat to allow for the nomination of the SRIT and – importantly – conclusion of budgetary discussions with Member States in June 2019.

The schedule itself is a high-level outline developed at project outset; the following section contains a summary of project activities, with associated timelines. Additional information on the activities is provided in the Annex, as well as in the SRIT Sia workspace.[1]

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[1] Refer to Annex A: Overview of key outputs of the SRIT for a detailed description of project activities and timelines.

Figure 3: Envisaged schedule of work for the UNFCCC secretariat change initiative

Stream	Quarter 1	Quarter 2	Quarter 3	Quarter 4
1: Structural development	Develop functional descriptions for each division and develop job descriptions aligned to identified needs.	Commence first wave of restructuring – posts that can be "lifted and shifted". Present to and obtain endorsement of new structure from the Parties.	Commence job matching process for positions that need to be re-purposed. Complete job matching process and finalise implementation plan.	Complete implementation of the new organigramme
2: Cultural and behaviour change	Conceive ambitious leadership development programme in line with identified organisational change needs.	Conduct management retreat. Ensure all managers have received foundational training in and managing for performance.	Ensure all staff involved in first wave of structural change participate in individual performance and development sessions with managers.	Ensure all staff involved in second wave of structural change participate in individual performance and development sessions with managers.
3: Organisational development	Catalogue all high-level management processes and practices for re-working. Agree metrics for measuring progress	Develop "infrastructure" to support the managing for performance initiative. Develop materials required to support collaboration and innovation processes.	Develop clear terms of reference for the ODO function. Review staff satisfaction with new management practices and processes.	Implement new measures to respond to findings of progress review.
4: Project management	Develop communications and engagement strategy and undertake high profile launch of the programme. Procure necessary external resources.	Provide logistical support to all implementation work, ensuring integration across the work streams. Implement communications and engagement strategy to ensure people feel well informed and motivated to contribute to the process of change.		

3.1 Workstream 1: structural change

The structural change workstream represented an intensive and continuous engagement throughout the project. Activities in this workstream were led internally by the SRIT,[2] in two broad project phases as outlined in Figure 4. The first phase focused on refining the overall organisational structure, building on the structural design approach developed through the staff workshops in the Functional Review in November 2018, and endorsed by the Management Team in January 2019. This process involved an extensive series of activities coordinated by the SRIT and drawing on inputs from secretariat staff, including the following key steps:

- **Preparation and simulation** to produce a new structure and mapping of functions, in order to assess the scope of change required and to develop a preliminary set of configuration issues that would need to be addressed.
- **Programme submissions** with proposals for programme functions provided by Programme Directors (based on a package of background documents, guidance and templates prepared by the SRIT).
- **Analysis and validation**, by a group of staff members from different programmes.
- **Review and refinement** to resolve and refine configuration issues.
- **Approval and communication** of the proposed functional structure by the Executive Secretary.

Figure 4: Schedule of structural change activities

Workstream / activity	2019									2020								
	Jul	Aug	Sep	Oct	Nov	Dec	Jan	Feb	Mar	Apr	May	Jun	Jul	Aug	Sep	Oct	Nov	Dec
Functional organisational chart	▮	▮	▮	▮	▮													
Job descriptions						▮	▮	▮	▮	▮	▮							
Transition to the new structure								▮	▮									
Job matching, performed by Staff Management Group											▮	▮	▮	▮				
Job matching completed and approved by ES																▮		
Advertising new and vacant positions																▮	▮	▮

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Following conclusion of this first phase, with the new organisational structure being shared with staff in November 2019, the second phase of developing job descriptions and matching people to roles began. This second phase included an intensive level of effort (supported by a dedicated UN HR consultant) carried out between December 2019 to 2020.

The job matching process was undertaken through a deeply collaborative effort, driven by the newly constituted Staff Management Group (SMG), nominated by secretariat leadership and the Staff Association. Comprising 12 members, the SMG represented a wide variety of diverse backgrounds, experience, placement in the organisation, grades, gender, and nationalities. In addition, the SMG was supported by the engagement of the HR team throughout and by the SA ExCom, which provided input into the design of the SMG process.

Overall, the process of design and job matching involved extensive consultations, staff engagement and a degree of staff inputs considered by the SRIT to be unusual in UN change processes, for which the team is to be commended. The main challenge and potential criticism voiced by some staff was the lengthy duration of the process, which is explained both by the number of consultations and the unique circumstances brought on by working arrangements under the COVID pandemic. Nevertheless, the outcome shows an extremely positive result, with the matching process entailing mapping of 320 staff members, with more than 94% of fixed-term staff having been mapped. This is considered a positive outcome given the initial expectation that between 10 to 20 percent of posts might change. Moreover, the high degree of staff retention ensures preservation of institutional memory and limited disruption to ongoing secretariat activities.

3.2   Workstream 2: cultural and behavioural change

Workstream 2 included a wide range of activities, co-delivered by the SRIT, Fitch Consulting team and the HR Learning and Development team. Significant activities in this workstream and their timing are outlined in Figure 5.

Figure 5: Schedule of Cultural and behavioural change activities

Workstream / activity	2019									2020								
	Jul	Aug	Sep	Oct	Nov	Dec	Jan	Feb	Mar	Apr	May	Jun	Jul	Aug	Sep	Oct	Nov	Dec
Performance management WG & recommendations			░		░		░		░		░		░		░		░	
Leadership Development Programme - workshops			░		░		░		░		░		░		░		░	
Management Team Retreats					░							░						
Leadership Community									░									

Workstream / activity	2019									2020								
	Jul	Aug	Sep	Oct	Nov	Dec	Jan	Feb	Mar	Apr	May	Jun	Jul	Aug	Sep	Oct	Nov	Dec
Leadership Action Plan																▓	▓	▓
Staff Development Programme								▓	▓									
Cultural and behavioural change			▓															
Network4Change Working Groups (WG)[3]			▓	▓	▓	▓	▓	▓	▓	▓	▓	▓	▓	▓	▓	▓	▓	▓
Organisational culture			▓	▓	▓	▓	▓	▓	▓	▓	▓	▓	▓	▓	▓	▓	▓	▓
Collaboration			▓	▓	▓	▓	▓	▓	▓	▓	▓	▓	▓	▓	▓	▓	▓	▓
Well-being (since October 2020 under guidance of HR)			▓	▓	▓	▓	▓	▓	▓	▓	▓	▓	▓	▓	▓	▓	▓	▓
Resilience & well-being workshops																		▓

The following section details key activities, divided between the leadership of:

- The **Network4Change**, coordinated and supported by the SRIT's non-structural change lead (also responsible for leading workstream 3, as described in Section 3.3).
- **Learning and development**, led by the secretariat's HR team and supported by Fitch Consulting's Talent optimisation specialist and Leadership development specialist.

The Network4Change

The Network4Change (referred to as N4C is a community of cross-functional change agents working together to collaboratively create solutions for the organisation to embrace change. Established in the context of the change implementation process, it is intended to be an ongoing personnel-led initiative. The N4C consists of dynamic, inter-connected, thematic working groups within the network and is managed by the Lead, Non-structural Change. The N4C focuses on strengthening the various elements of the secretariat's value driven standards, such as the Charter of the United Nations, Code of Conduct, Dignity at work, Secretariat Long-term Strategic Framework and aligns its work with the United Nations System wide approaches, such as the Secretary-General Data Strategy, United Nations System Leadership Framework and United Nations System Mental Health and Well-being Strategy.

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[3] Network4Change was established in September 2019 and currently has 7 working groups. The Core Team is comprised of the SRIT, including N4C Lead. Since February 2021 N4C Core Team consists of Director MOI and the N4C Lead

In essence, the N4C envisages to support strengthening the secretariat's vision and value-driven standards, by supporting committees, divisions, groups and teams to create a cross-functional appreciative and caring organizational culture and work environment that transforms the organization from its current functional state into a genuinely people-centred organization. Furthermore, the aim is for the organization to value its internal colleagues and external stakeholders and placing their needs first by supporting a positive organizational culture, psychological safety and well-being, hence preventing stigma and discrimination and ensuring a productive and courageous work environment. Furthermore, the work undertaken by the N4C in its various working groups also aims at finding solutions to work together, increase resilience and stay connected during the COVID-19 pandemic and beyond.

Comprising a N4C core team, the N4C consists of 7 working groups, as follows:

- **Organisational culture**
- **Collaboration**
- **Well-being**
- Modern Workplace
- Climate data
- Resource Mobilization
- Events and processes.

The activities of the bold working groups are summarized within context of Workstream 2, with other working groups being summarized within the context of Workstream 3. Figure 6 provides an overview of how the N4C integrates with other formal and informal groups within the secretariat to support change and contribute to a positive organisational culture and increased well-being.

Figure 6: N4C recommended approach to sustain a positive organisational culture
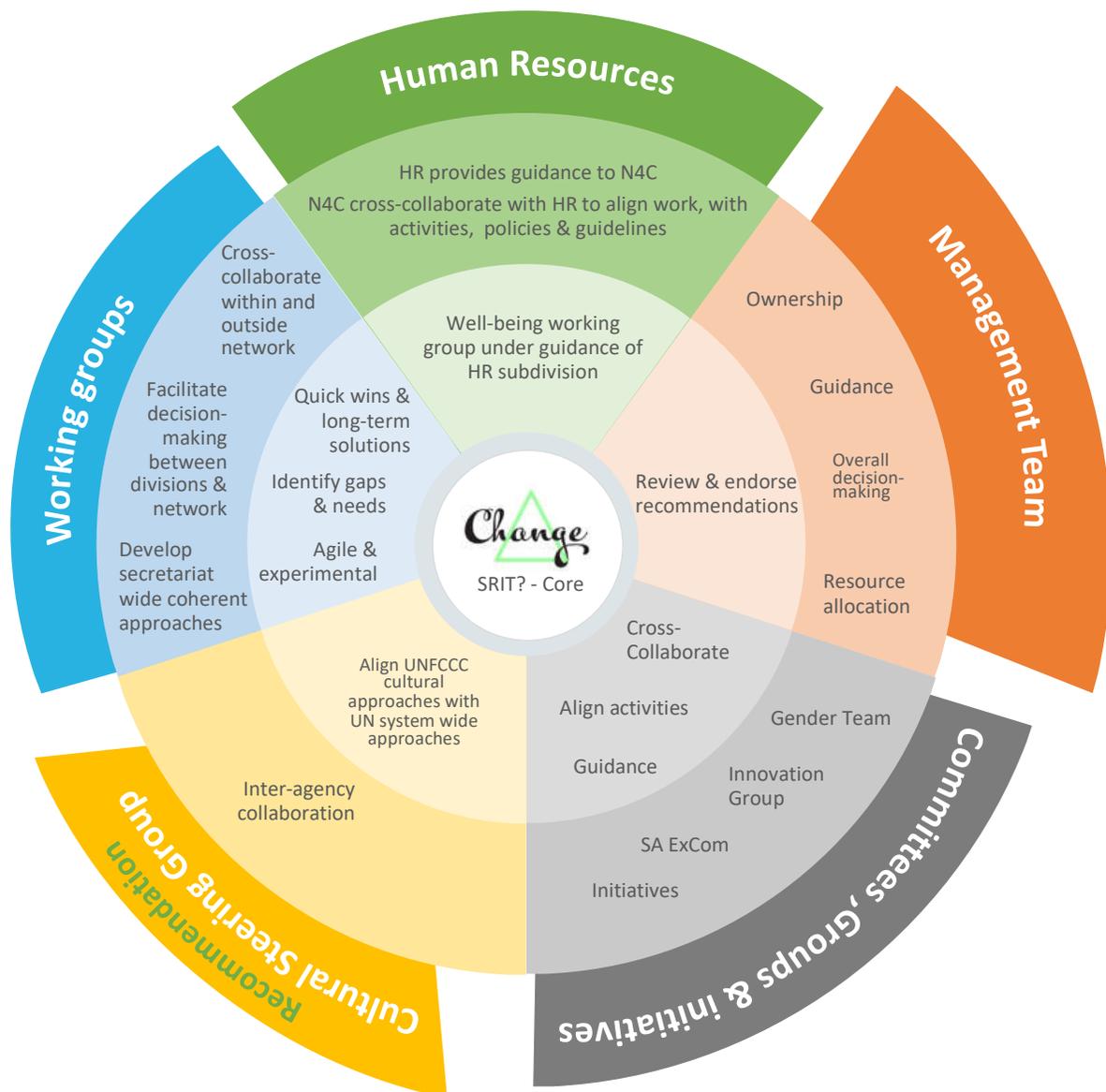
The N4C aligns its work to support implementing the secretariat's change programme and create a foundation uniting colleagues to exchange knowledge, build on lessons learned, as well as draft recommendations, as required. Those recommendations are forwarded to respective divisions, groups, committees and initiatives for review and approval. Final approval is obtained by the N4C Lead in close consultations with the N4C Core Team to review and forward the recommendation to the respective authority and/or Management Team, as appropriate. The guiding principles of the N4C are outlined in Figure 7.

Figure 7: The N4C guiding principles

Details of the N4C's purpose and activities are summarized in its Sia workspace. The working groups have invested an extensive amount of effort in tackling a diverse variety of organisational challenges, which provides an outstanding foundation for achieving many of the objectives identified within the Functional review project, and related learning and development activities such as Leadership and Staff Development Programmes, including outcomes from Staff Satisfaction and Gender related surveys. Some of the most significant include an extensive set of proposals on staff well-being in the workplace, an Appreciation Campaign, as well as a plan to develop a Cultural Change Framework through Cultural Dialogues which are currently being reviewed by the Management Team. The Cultural Change Framework and its corresponding Culture Dialogues is a major initiative planned for the whole of 2021 and 2022, joining together informal comments/feedback/input/suggestions in various forms and settings from over 120 colleagues, within and outside of the network in over 300 meetings/activities/storytelling sessions and talks during the year 2020. Including preliminary feedback from Fitch Consulting, the Gender Team, Human Resources, SA ExCom and Structure Review Implementation Team.

Furthermore, information, guidance and advice from the related organizational culture resources were integrated into the Framework, such as the Functional Review, learning and development initiatives, including UN System wide approaches and the United Nations System Leadership Framework as well as the United Nations System Mental Health and Well-being Strategy. Subsequently, linking to new ways of working in the modern workplace as well as the processing of climate data. Other highlights of the N4C work are detailed in the following section under the Organisational Development workstream.[4]

In addition to the new systems and processes initiated by work from the N4C, the most significant outcome of its work may be the foundation for a personnel-led organisation that create cross-collaborative teams across the secretariat who are capable of identifying challenges and solutions that contribute positively to individual well-being and organisational effectiveness. The N4C strives for a hybrid system within the organization and demonstrates how flexible and agile working initiatives can support hierarchical systems efficiently, including to break silos and supporting a cross-collaborative approach throughout the secretariat. The initial work undertaken since September 2019 will serve the secretariat well in the years to come and can contribute effectively to achieving critical organisational objectives.

Learning and development initiatives

Within the auspices of the culture and behaviour change workstream, the secretariat undertook a wide variety of initiatives coordinated by the secretariat's HR team and facilitated by Fitch Consulting's Talent optimisation specialist and Leadership development specialist. Key activities included:

- Leadership Development Programme
- Staff Development Programme
- Management Team retreats
- Communications cascade and coaching
- Performance Management.

While the N4C focused on a bottom-up approach, the development initiatives began with a Leadership Development Programme (LDP), designed to **challenge the thinking** of everyone with supervisory responsibilities towards really embracing a leadership culture for the Climate Change Secretariat, as well as developing essential skills for engaging staff, **having great conversations about performance and developing talent**. Running in parallel with the LDP was an MT retreat conducted in October 2019 to prepare the leadership cadre within the

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[4] The *N4C Cultural Change Framework* report provides a comprehensive description of the rationale and planned set of actions under the Culture Dialogue

secretariat to manage the change process while also addressing known leadership development requirements.

Following the initial LDP workshops with 110 managers across the secretariat, the team designed a complementary Staff Development Programme (SDP) attended by 132 staff in February and March 2020. The SDP included complementary content to the LDP and had an objective to **support staff to engage positively with current and on-going organisational changes and get the support and development they need to be the very best they can be**. Follow-up to these programmes included establishment of a Leadership Community, which features asynchronous learning, coaching, discussion groups and refresher trainings carried out between February to December 2020.

In April, following the transition to the new organisational structure, the team supported the development and rollout of an organisation-wide communication cascade that featured support to leaders and managers in their engagement with teams. The cascade involved an extensive series of consultations, although to different degrees across divisions (some of which selected to hold off on consultations until the job matching was completed and key vacancies were filled).

In the final months of 2020, the team led a series of webinars and coaching sessions focused on building leadership, strengthening coaching skills and facilitating team development. These included webinars on "Our Expectations" "Situational Leadership®" and "Coaching and Feedback", some of which will continue to be deployed in the first quarter of 2021. Additionally, a series of Resilience and well-being webinars are being delivered to all staff across the secretariat to support staff in times of change (and in recognition of the challenges also brought on by the pandemic).

3.3   Workstream 3: organisational development

Workstream 2 and 3 were supported by the SRIT non-structural team lead. Whereas workstream 2 focused predominately on "people" issues, organisational development (workstream 3) concentrated on building the "infrastructure" (policies, processes and tools) that will ensure the desired new ways of working can be applied effectively and consistently, including through the implementation of associated decision-making processes and internal governance mechanisms.

The distinction between these perspectives can sometimes seem blurred, and in the context of the activities performed to date greater emphasis tended to be placed on workstream 2, which implies that more work is required under workstream 3. To a certain extent this can be expected once a team is in place in the soon to be conceived Organisational Development and Oversight (ODO) function.

Figure 8 provides an overview of key activities and timelines within workstream 3.

Figure 8: Schedule of Organisational development activities

Workstream / activity	2019									2020								
	Jul	Aug	Sep	Oct	Nov	Dec	Jan	Feb	Mar	Apr	May	Jun	Jul	Aug	Sep	Oct	Nov	Dec
Network4Change Working Groups (WG)			▓	▓	▓	▓	▓	▓	▓	▓	▓	▓	▓	▓	▓	▓	▓	▓
Modern Workplace			▓	▓	▓	▓	▓	▓	▓	▓	▓	▓						
Climate data					▓	▓	▓	▓	▓	▓	▓	▓						
Events and processes			▓	▓	▓	▓	▓	▓	▓	▓	▓	▓						
Resource Mobilization										▓	▓	▓	▓	▓	▓			
TOR for OD										▓								
MT Decision making framework										▓								

The N4C includes four working groups focused specifically on addressing systems and processes, as follows:

- Modern Workplace
- Climate data
- Events and processes
- Resource Mobilization.

Notable deliverables from these working groups include:

- Proposals to the Management Team on Data Strategy and the Modern Workplace, these being under current consideration
- Sharing of information leading to adoption and expanded usage of:

  ○ The Climate Data Assets tool providing an overview of tools developed by divisions
  ○ The Golden Rules from the Mitigation division
  ○ The Interim Online Registration System developed by the Transparency division, and now managed by Conference Affairs.

Within this workstream, the Fitch team contributed to a new governance and decision-making framework adopted by the Management Team, as well as a detailed Terms of Reference for the new ODO function.

As noted previously, there remains a not insignificant amount of work to be completed to achieve the objectives of workstream 3. Of key significance include:

- Establishment of the ODO
- Clarification of roles and responsibilities to facilitate cross-functional collaboration (especially between Technical teams)
- Development of processes for organisational planning and management work-planning
- Design of monitoring and evaluation frameworks to assess effectiveness of secretariat activities and inform strategic and operational programming.

4　Framing and measuring change

It is important that the secretariat assess change to date and, looking forward, take a systematic approach to assessing the change process and outcomes. This section outlines a high-level methodology for doing so, beginning with a description of the case for change as developed collectively in the functional review project, and followed by a proposal for a **framework for Objectives and Key Results (OKRs), to be developed in detail by the secretariat teams**.

4.1　The case for change

The functional review identified seven core principles that the organisational design of the secretariat must satisfy, as summarized below.

	Foundational
1	Parties recognise that the secretariat is organised to deliver highly responsive, proactive and meaningful support
2	Encourages coherence around mandated activities
3	Encourages continuous utilisation of the secretariat's comparative advantage around the vision and objectives defined in the strategic framework
4	Compatible with secretariat's predictable ability to resource and manage
	Enablers
5	Readily facilitates internal collaboration across multiple areas of expertise
6	Enables fast and coherent, secretariat-wide adaptation to changing political realities
7	Enables effective relationship management with diverse stakeholders

These seven principles are future-focused, recognizing that the UNFCCC secretariat must be designed for the post Paris Agreement phase so that it can support the Parties in working together to deliver on the promises of this agreement.

To this end the secretariat must be equipped to:

- Support the intergovernmental process related to the implementation phase of the Paris Agreement, including the follow up of the NDCs, the Long-Term Strategies, and preparing for the Global Stock Take.
- Engage with all stakeholders to promote the alignment of their activities to the Paris Agreement's goals.

4.2   Framework for Objectives and Key Results

The following **OKR framework is intended as a first step toward helping the secretariat build a roadmap to the desired end-state** and to measure progress towards its achievement. These OKRs reflect the seven design principles as well as progress achieved during the initial change process, which focused on ensuring a successful transition to the necessary structure, as determined by the functional review. They also draw on the Long-term Strategic Framework (including the internal vision), as well as work developed by staff as part of the Network4Change.

Figure 9: Objectives and Key Results Framework

Objective 1: Implement an organisational structure that promotes strategic agility	
KR1.1	The secretariat is organised to deliver highly responsive, proactive, and meaningful **support to the Parties, the intergovernmental processes and its outcomes** (CST, Enhanced Transparency Framework, Long Term Finance, etc.) and platform
KR1.2	Programmatic functions are configured to **encourage coherence around mandated activities** by promoting and enabling **coordinated programme** planning and delivery
KR1.3	The secretariat is organised to **communicate effectively** with and promote high levels of **engagement** among all its stakeholders, inside and outside the organisation
KR1.4	The secretariat's structure ensures **cost-effective, efficient and seamless coordination of operational and administrative functions**
KR1.5	Programmes and operations functions are **consolidated to serve the whole secretariat and avoid duplications**, achieve synergies and coordinate effectively
Objective 2: Leadership promotes fast and coherent, secretariat-wide adaptation to changing political realities	
KR2.1	The leadership team collaborates on strategy, overall policies, governance, and political guidance to ensure the organisation **delivers results for the climate change process and climate action** that are in line with the goals of Paris Agreement

KR2.2	**Decision-making is transparent and evidence-informed**, all decisions being taken at the lowest possible level and guided by decisions of the ES, DES, MT, UN policies and UNFCCC SOPs and in line with established delegations of authority
KR2.3	Leadership ensures that staff recognize the secretariat as a **workplace that provides psychological safety, encourages professional development and personal growth, and rewards collaboration and innovation**
KR2.4	The secretariat's planning and budgeting ensures **transparent and predictable allocation of resources** aligned to the changing priorities of its stakeholders and the continuous utilisation of the secretariat's comparative advantage and climate data assets
KR2.5	**Resources are allocated to organisational development and oversight**, ensuring timely, proactive and progressive effective and efficient actions in the implementation of organisational policies and decisions, and that institutional linkages and policies are current
Objective 3: Staff confirm that employee experience is motivating and inspires consistently high performance	
KR3.1	**Individuals feel encouraged to use and develop their personal attributes** to the mutual benefit of them and the secretariat
KR3.2	The secretariat promotes a **culture and provides facilities that encourage and enable collaboration, innovation and results**
KR3.3	Central to optimization of the employee experience is an **on-going culture dialogue that strengthens trust across all organisational levels.**
KR3.4	The secretariat **promotes staff well-being, welfare and a healthy work-life balance.**
KR3.5	The secretariat institutes a system of performance development that **encourages continuous and actionable feedback, rewards contribution** and helps staff to become their best selves

As noted earlier in this section, Figure 9 is intended to be a framework for objectives and key results areas. **The definition of key results should be carried out internally by secretariat teams, with each Key Result featuring a tangible and quantitative goal defined in detail by the relevant teams, along with definition of metrics/indicators and the tools of measurement (once key results are agreed, the baseline measurement of the "as-is" situation should be defined).** For example, a useful starting point for items in Objective 3 may be the UNFCCC Cultural Matrix, as developed by the N4C.[5]

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[5] Refer to Annex B: UNFCCC Organizational Culture Matrix

5 The path forward

In this section we highlight recommendations for building and sustaining the work of the change process. The recommendations are based on discussions with the SRIT, including N4C feedback, observations from the team during training workshops and coaching, and inputs from staff surveys, as well as an understood need to ensure a more dynamic and integrated way of working that serves the long-term strategic vision of the secretariat.

5.1 Build out the ODO function and processes

As noted in section 3, the non-structural workstreams (2 and 3) focused more on people processes, and less on the Organisational development functions focused on "infrastructure" (policies, processes and tools) that will ensure the desired new ways of working can be applied effectively and consistently, including through the implementation of associated decision-making processes and internal governance mechanisms. This was in large part due to the need to fill the ODO posts which will be responsible for leading these activities. Once established, there is an essential need to ensure that ODO and HR work well together, with HR leading on people and ODO then helping to build organizational infrastructure. This should begin with the transference of SRIT responsibilities to ODO and HR as appropriate.

As ODO will be completely new to the secretariat, considerable effort will need to be invested in properly embedding this function in the organization's way or working. This will include establishing its coordination role in supporting the planning, monitoring and evaluating of organisational activities, as well as implementation of associated decision-making processes and internal governance mechanisms. Focus should be placed on designing the key management processes and ensuring tools are developed and capable of complementing softer initiatives around managing for performance.

5.2 Actively address the tangible ways of working across cross-sectoral programmes

While teams are now in place under the new structure, it is imperative that the secretariat undertake a deliberate process to define roles and responsibilities and methods of working across programmes (especially across the technical programmes). This is critical to ensuring that the organisation avoids "siloed" ways of working that led to duplication, overlap and inefficiencies in the organisation. A transition to agile working and networked teams requires purposeful design and management. The secretariat can address this by creating space to define these roles and responsibilities (ideally carried out before planning exercises), a process that could be accomplished through both training and through intensive workshops on matrix working.

The team focused workshops should be a starting place for defining the institutionalized methods of working across the organization. Beyond this, the secretariat is encouraged to also draw on the support of the N4C, which can help facilitate the development of cross-collaborative networks, as well as provide a neutral space for meeting and building corresponding networks in a cross-collaborative manner.

5.3   Focus on developing leadership

Leadership and people development are fundamental to driving change in the organisation. While a great deal of progress has been made especially within some teams, feedback from staff surveys, coaching and consultations indicates a continued need to build people-centred approaches of leadership. In particular, staff consultations and coaching sessions indicate that there remain undercurrents of mistrust in the organisation suggesting a clear need to continue to focus on how leaders engage with and build trust in the organisation.

It's clear from discussion with leaders during and following the LDP that the **balance between people management (or leadership as defined in the LDP) and time spent on functional/technical tasks remains poor within the organisation**. This will have to change if there is to be significant movement towards establishing the desired change in leadership/organisational culture. Leaders and managers will continue to focus on functional and technical tasks unless senior leaders are seen to actively value, promote and support time spent on leadership and relationship building.

The MT and other senior leaders must become **active role models for high quality leadership behaviour and activity**. Behaviour breeds behaviour which makes it vitally important that those people in influential positions, particularly senior leaders, provide shining examples of the excellent leadership to which the organisation aspires. There are currently some examples of this – but more remains to be done in this area.

The **organisation should root out and eradicate the behaviours that result in staff members believing they can't speak freely for fear of retaliation**. The 2018-19 Staff Survey highlighted the level of concern that existed amongst staff members regarding the issue and anecdotal feedback from staff demonstrates the need for further progress in this area. Again, this issue is closely linked to the previous two points and will require continued measurement of progress and conscious and conspicuous approach to resolution. It's vitally important that senior leaders are seen to be exemplary both in terms of their own behaviour and in challenging any examples of inappropriate behaviour in others, particularly other leaders. Such negative behaviours need to be made explicit such that all leaders know exactly which specific behaviours and actions are unacceptable.

Additional detailed recommendations on building leadership are found in the Annex.[6]

5.4   Deliberately and proactively engage in the Cultural Change Framework and related Cultural Dialogues

Related to the previous recommendation on leadership, the secretariat is encouraged to proactively discuss, assess, and define the culture it desires. The rationale for this process has been articulated in the N4C's Culture Change framework, which contains an extensive set of proposals. The initiative aligns closely with other initiatives being carried out within the UN System, and should contribute to building an environment where all personnel are able to be their best selves.

Undertaking such an initiative is not a simple process, and will require dedicated internal (and likely external) support to ensure a coordinated, systematic and organisation-wide approach to the initiative. In light of this, it will be important to define responsibilities for leadership of the programme as well as setting appropriate boundaries and resources for the initiative. In this context and as a first step for leaders to demonstrate support to cultural activities, the N4C is proposing to insert corresponding ePAS goals into the individual workplans allowing leadership and personnel to contribute in a supported manner to corresponding cultural initiatives.

5.5   Monitor and measure progress and continually adapt

The secretariat is working in a rapidly changing context that demands it continually assess its ways of working. This includes reviewing "what" it does, and "how" it works. In section four, a framework for measuring organisational change is outlined. **This is intended to be a framework for assessing the organisational change, but it must be supported by detailed metrics for assessing that change, these to be developed by teams.** The framework is only one part of the equation, however, as it is focused on the objectives of the organisational change programme; in addition, the secretariat must also review the work it does, and find ways to determine whether it is delivering value to its stakeholders in the most effective and efficient ways.

In this context, the N4C has initiated the development of the **UNFCCC Organizational Culture Matrix** that complements the OKR framework as highlighted in **Section 4 Framing and measuring change**, which should be a tool for monitoring change in organizational culture.[7]

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[6] Refer to Annex C: Building and sustaining leadership change

[7] Refer to Annex B: UNFCCC Organizational Culture Matrix

These various types of monitoring and evaluation requires a planned approach and systematic application. ODO should play a key role in setting up these approaches, in close coordination with leaders across the organisation so that there is a well-defined methodology for assessing and refining what the organisation does and how it delivers value to all stakeholders.

Annex A: Overview of key outputs of the SRIT

Structural change

1. Functional organisational chart

- Functional organisational chart published, including functional descriptions for Divisions, Sub-divisions and Units, during the week of 11 November 2019 (**completed**)

  - *Functional org charts*
  - *Internal (UNFCCC) Guidelines for the 2019-2020 Organisational Restructuring*
  - *Status update on the new functional organisational structure* (21 Oct 2019)
  - *Progress toward defining the new functional organisational structure* (8 Oct 2019)

2. Job descriptions

- Job descriptions are being developed, led by HR and with the support of a Senior HR Consultant and three additional HR consultants, and sent to OneHR for classification. (started Nov 2019, **in-progress**)

3. Transition to the new structure

- Transitioning tools, systems and processes including Umoja, Active Directory, Sia, Email, Records Management and the public website (**completed**)
- Designation of Transition Focal Points for each division (and sub-divisions and clusters, as needed): **completed** (21 January 2020)
- Implementation of new structure: 31 March 2020 (**completed**) This means that staff are performing functions and making decisions according to the new structure, but without pre-judging the outcomes of the mapping process.

4. Staff Management Group

- Publication of Terms of Reference for the SMG and call for participants launched: 27 January 2020 (completed) Publication of the SMG members: 20 February 2020 (**completed**)
- SMG starts working: 24 April 2020 (**completed**)
- SMG sends recommendations to the ES: 26 Aug 2020 (**completed**)
- Mapping decisions by the ES: 5 Oct (**completed**)

5. Mutual Separation Agreement (MSA)

- The initial period to request a Mutual Separation Agreement was from 3 to 17 February 2020. In response to a request from staff and the Staff Association ExCom, the window to request an MSA was re-opened from 9 to 13 March 2020, with the clarification that where the structure review guidelines refer to "the UN" in Section 7.3 d, this should be read as "the UNFCCC". In other words, the limitation to staff members accepting an MSA to work under any type of contractual arrangements for a period of three years after the separation date, will be applicable for the UNFCCC only and not for the entire UN system (**completed**)

6. Advertising new and vacant positions

- Advertisement of new Director-level positions (**completed**)
- Advertisement of 1st wave of additional new and vacant positions (**completed**)
- Second batch of vacancy announcements (15 Dec 2020, **in progress**)

Non-structural change

1. Performance Management

- Establish **Working Group on Performance Management**: 23 September 2019 (**completed**)
- First set of recommendations to MT finalized: 4 November 2019 (**completed**)
- Final set of recommendations to MT finalized: 14 Dec 2019 (**completed**)
- Staff consultation on recommendations: Nov 2020 (**completed**)

2. Leadership Development

- Create a new Leadership Development Programme, launching with:

  ○ Six workshops on supervisory skills and change management delivered to all supervisors, managers and Directors: 8 November 2019 (**completed**)
  ○ Management Team Leadership Retreat: 22-23 October 2019 and June 2020 (**completed**)

- Launch of the **Leadership Community**: a face-to-face and online community for all supervisors and managers focused on keeping alive the lessons learnt from the Leadership Development Programme, sharing best practices and tools and fostering leadership collaboration (31 January 2020) (**launch completed**), activities ongoing

25

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- ○ Launch of the Leadership Action Plan including refresher webinars on Situational Leadership, Feedback and Coaching, Facilitating Expectations of Each Other sessions and focusing on establishing Peer Coaching and Leadership Community Online Discussions; as well as facilitating self-reflection on a Leadership Development Checklist and receiving corresponding feedback from staff (Nov 2020, **launch completed**), activities ongoing

3. Staff Development

- Creation of a new **Staff Development Programme**, launching with ten one-day workshops for all non-supervisors in February and March 2020 (**completed**)

4. Cultural and behavioural change

- Focus group discussions on organisational values and behaviours: 10-11 Sept 2019 (**completed**)
- Launch of the **Network4Change**, a community of cross-functional change agents working together to collaboratively create solutions for the organisation to embrace change, consisting of:

  - ○ A core working team: established
  - ○ An initial set of thematic working groups: established

    - ▪ Organisational culture
    - ▪ Collaboration
    - ▪ Climate data
    - ▪ Well-being
    - ▪ Events and processes
    - ▪ Modern Workplace
    - ▪ Resource Mobilization
- Pilot Network4Change Sep 2019 – Jan 2020 (completed)
- Launch of the Network4Change workspace: 5 Feb 2020 (ongoing maintenance)

Core achievements of the Network4Change

Campaign
• Appreciation Campaign
Centralized tools
• Climate Data Assets

- Focal Point list
- Glossary
- List an initiative

Concept notes

- Climate360
- Well-being at the Workplace

Framework

- Cultural Change reflection material
- Cultural Change Framework

Information notes

- A Modern Workplace for the Secretariat
- A Data Strategy for the Secretariat

UNFCCC Matrix

- Cutural Matrix

Sharing divisions assets

- Golden Rules (Mitigation)
- Online Registration System (Transparency)

Annex B: UNFCCC Organizational Culture Matrix

The UNFCCC Organizational Culture Matrix is a useful starting point for defining OKRs for the organization, as well as a resource for responding to recommendations in this report's Section 5 The path forward. Detail on the UNFCCC organizational culture matrix provided in this annex is from the Culture Change Framework (paragraphs 88-89).

The N4C Organizational Culture Working Group recently (2020) undertook a qualitative analysis and developed an organizational cultural matrix using multiple sources, such as the staff satisfaction surveys and the System Wide Action Plan (SWAP) reports generated over the past three years.[8] The analysis revealed 57 characteristics most regularly cited by staff as "positive" or "negative" aspects of working within the secretariat. Seventeen of the characteristics identified were positive and 40 were negative. The top 8 positive and negative characteristics are shown in the image below.

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[8] Recent Staff Association and Gender surveys undertaken in 2020 are not yet included.

Positive and negative characteristics most cited by staff

+ Adaptability
+ Career development
+ Feedback openness
+ Flexible working arrangements
+ Gender awareness
+ Gender policies
+ Job engagement
+ Managing gender

- Abuse of power
- Job dissatisfaction
- Lack of changes at UNFCCC
- Lack of respect
- Lack of transparency
- Low level of ethics
- Lack of professional development
- Poor leadership

(*Note: A full list of positive and negative characteristics is shown in appendix VI of the Cultural Change Framework*).

The preliminary analysis confirmed that the staff satisfaction surveys and the SWAP reports are vital tools to identify the root causes of cultural issues and reduced well-being and the characteristics that support a positive culture and well-being. The analysis also demonstrated that there is a concerning imbalance of positive and negative cultural characteristics. Therefore, the positive characteristics are planned to be used to identify the good practices (e.g. through storytelling approaches) for secretariat-wide use and analyse the negative characteristics to transform challenging issues.

Sustainable habits

- Maintain and develop further the organizational cultural matrix, including advancing on further mechanisms for information management, analysis and measurement.

- Continue to conduct the Staff Satisfaction and Gender surveys on a regular basis.
- Conduct pulse surveys on specific topics, in form of campaigns.

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Annex C: Building and sustaining leadership change

The following are key activities and behaviours managers and the MT need to focus on going forward. Doing these things with much greater intensity, will have a massive impact on the culture

Managers need to:

Focus on delivering, and getting feedback from their staff about, the 10 Leadership Criteria identified as part of the Leadership Action Plan:

- I work with my staff members to diagnose their readiness level in their key task areas.
- I consciously match my leadership style and approach to my staff member's readiness levels.
- I make a conscious effort to listen to my staff members and to communicate clearly and effectively.
- I engage my staff members in coaching conversations to help in problem solving and performance development.
- I give regular performance related feedback relating to both tasks and behaviours.
- I encourage staff members to give me feedback on my performance as a leader.
- I work with my team to agree our expectations of each other in how we work together.
- I make a conscious effort to inspire and motivate my staff members.
- I balance functional, management and leadership activities appropriately.
- I continue to develop my skills as a leader.

Get feedback from their staff members on how effectively they are delivering on these.

The Management Team needs to:

Create time for Leadership – for themselves and their Supervisors. This will take a leap of faith for many from 'doing' to 'leading through delegating, developing, monitoring'. Some have already made this leap and understand the power of leading rather than doing. Until the MT consistently demonstrate and communicate the importance of shifting this emphasis, things will remain unchanged as they are reinforcing the wrong message.

Many managers currently feel 'delegating' is 'not allowed' / part of the UNFCCC culture – because everything needs to be signed off at senior level. They need to decide which business critical things do need to be signed off and those that don't – so that decisions can be made at the 'lowest' level.

Role model new leadership behaviours – all the time. In the communications cascade sessions, the MT presented to all their managers and staff what leaders will do going forward – so it's out there and people now have an expectation:

- In the future our leaders will:

  - Role model behaviours for the future.
  - Value and trust us.
  - Care about our well-being.
  - Communicate, with one voice, an inspiring vision
  - Match their leadership style to our needs.
  - Accurately diagnose our 'readiness levels'.
  - Invest time daily in great feedback, coaching and development conversations.
  - Delegate responsibility to help us grow.
  - Recognise excellent performance.
  - Engage us positively in on-going change.
  - Reward creativity and support mistakes.

- Be Visible (these principles also considered a core component of the Cultural Change Framework):

  - Promote great leadership by actively talking about it.
  - Be seen to be leading – the ES / DES / MT members need to walk 'the factory floor' every day / week to connect with people, find out what's going really well, what's getting in the way of being successful at the moment, what's demotivating people and then do what's necessary to sort it out via the appropriate Director / Supervisor.
  - Initiate, listen and be present in conversations about leadership with Supervisors
  - Signal change through 'signposting'
  - Get involved in the Leadership Community – read the postings, comment on them, generate a debate, encourage Supervisors to read / debate / share best leadership practice.
  - Sign up to coaching and encourage Supervisors to sign up to Pairs Coaching to discuss leadership challenges.
  - Ask Supervisors 'How are you getting on with Coaching, Situational Leadership, Sharing expectations, Giving and Asking for Feedback.
  - Stop / call out inappropriate behaviours. These need to be clearly defined – particularly the less obvious ones that escalate conflict and cause demotivation and fear.
  - Support N4C meetings through engagement with the N4C, and by supporting personnel engagement in the N4C.