

Results-Based Programming, Management and Monitoring (RBM) approach as applied at UNESCO

Guiding Principles

Bureau of Strategic Planning

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1) Preface

It is said that if you do not know where you are going, any road will take you there. This lack of direction is what Results-Based Management (RBM) is supposed to avoid. It is about choosing a direction and destination first, deciding on the route and intermediary stops required to get there, checking progress against a map and making course adjustments as required in order to realise the desired objectives.

In the “Programme for Reform”, presented by the former UN Secretary General to the UN General Assembly in 1997, Kofi Annan proposed that the UN place greater emphasis on results in its planning, budgeting and reporting: “*with the aim of shifting the United Nations programme budget from a system of input accounting to results-based accountability. [...] The secretariat would be held responsible for, and judged by, the extent of which the specified results are reached.*”¹ The focus of planning, budgeting, reporting and oversight thereby shifts from how things are done to what is accomplished. Since then, the notion of RBM became a central aspect within the UN system and a global trend among international organizations, reinforced by new commitments.

For many years, the international organization’s community has been working to deliver services and activities or projects and to achieve results in the most effective way. Traditionally, the emphasis was on managing inputs and interventions and it has not always been possible to demonstrate the results achieved in a credible way and to the full satisfaction of taxpayers, donors and other stakeholders. Their concerns are straightforward and legitimate: they want to know what use their resources are being put to and what difference these resources are making to the lives of people. In line with this trend towards results accountability, the principles of “*managing for results*” was especially highlighted in the 2005 Paris Declaration on Aid Effectiveness and reaffirmed in the Accra Agenda for Action in 2008 as part of the efforts to work together in a participatory approach to strengthen country capacities and to promote accountability of all major stakeholders in the pursuit of results.

It is usually argued that complex processes such as development are about social transformation, processes which are inherently uncertain, difficult, not totally controllable and - therefore - which one cannot be held responsible for. Nonetheless, these difficult questions require appropriate responses from the professional community and, in particular, from multilateral organizations to be able to report properly to stakeholders, and to learn from experience, identify good practices and understand what the areas for improvements are.

The RBM approach put in place by UNESCO aims at responding to these concerns by setting out clear expected results for programme activities and projects, by establishing performance indicators and associated benchmarks to monitor and assess progress towards achieving the expected results and by enhancing accountability of the Organization as a whole and of persons in charge. It helps to answer the “so what” question, recognizing that we cannot assume that successful implementation of programmes is necessarily equivalent to actual improvements in the development situation.

These guiding principles are intended to assist UNESCO staff in understanding and using the concepts and principles of the RBM approach as applied at UNESCO. These concepts and principles are applied to all actions of the Organization regardless of the funding source (regular programme and extrabudgetary resources).

¹ A/51/950 UN General Assembly 14 July 1997, Renewing the United Nations: A Programme for Reform, page 19.

2) Brief historical background

The concept of RBM is not really new. Its origins date back to the 1950's. In his book *The practice of Management*², Peter Drucker introduced for the first time the concept of "Management by Objectives" (MBO) and its principles:

- Cascading of organizational goals and objectives,
- Specific objectives for each member of the Organization,
- Participative decision-making,
- Explicit time period,
- Performance evaluation and feedback.

As we will see further on, these principles are very much in line with the RBM approach. MBO was first adopted by the private sector and then evolved into the Logical Framework (Logframe) for the public sector. Originally developed by the United States Department of Defense, and adopted by the United States Agency for International Development (USAID) in the late 1960s, the Logframe is an analytical tool used to plan, monitor, and evaluate activities and projects. It derives its name from the logical linkages set out by the planners to connect an activity or project's means with its ends.

During the 1990s, the public sector was undergoing extensive reforms in response to economic, social and political pressures. Public deficits, structural problems, growing competitiveness and globalization, a shrinking public confidence in government and growing demands for better and more responsive services as well as for more accountability were all contributing factors. In the process, the logical framework approach was gradually introduced in the public sector in many countries (mainly Member States of the Organization for Economic Co-operation and Development (OECD)). This morphed during the same decade in RBM as an aspect of the New Public Management, a label used to describe a management culture that emphasizes the centrality of the citizen or customer as well as the need for accountability for results.

This was followed by the establishment of the RBM in international organizations. Most of the United Nations system organizations were facing similar challenges and pressures from Member States to reform their management systems and to become more effective, transparent, accountable and results-oriented. A changeover to a results-based culture is however a lengthy and difficult process that calls for the introduction of new attitudes and practices as well as for sustainable capacity-building of staff.

UNESCO and its RBM approach

The introduction and application of Results-Based Management (RBM) has been one of the central elements of the Organization's reform process. This has been reinforced by the Medium-Term Strategy (34 C/4), which designates the RBM approach as essential for a culture of accountability expressed in terms of expected results, outcomes and impacts. The reform is aimed at shifting the focus from activities, projects and programmes linked in broad terms to UNESCO's mandate to the achievement of clear expected results derived from that mandate.

Where in the past it had sufficed to break down a domain into sub-domains down to a number of initiatives and activities or projects, it is now required to carefully determine what concrete results the Organization can achieve in an environment where many other and often competing actors operate, and to identify the most suitable means for that purpose.

² Peter F Drucker: *The practice of management*, Harper & Row, New York 1954.

The introduction of the RBM approach in UNESCO is marked by a number of milestones expressing the commitment to a progressive shift towards RBM:

Table A - Milestones of the introduction of RBM approach in UNESCO

YEARS	EVENTS
1997	UNESCO's Information Technology Master Plan is finalized and sets the stage for the design of SISTER (System of Information on Strategies, Tasks and Evaluation of Results).
1998	The Bureau of Planning and Evaluation (predecessor of the Bureau of Strategic Planning) starts developing SISTER to accompany the introduction of Results-Based Programming, Management, Monitoring and Reporting.
1999	The Director-General, upon taking office, officially introduces SISTER and launches a comprehensive programme of reforms of which RBM is one important pillar.
2000	UNESCO integrates all of its programming for the Programme and Budget 2000 – 2001 (30 C/5) to SISTER.
2000 – 2001	Substantive training on Logical framework and results formulation is provided to more than 300 professionals (provided inter alia by the University of Wolverhampton). UNESCO hires RTC Services and the Centre on Governance of the University of Ottawa to assess UNESCO within the context of RBM and to provide tools designed to improve internal capacity.
2001 – 2002	SISTER is used systematically for the first time to prepare and approve the work plans for the Programme and Budget 2002-2003 (31 C/5) and to integrate extrabudgetary projects.
2003 - 2007	A RBM team is created within BSP to develop and implement a UNESCO-wide results formulation training programme as a precondition for a meaningful RBM practice. The team delivers training at Headquarters and in the field responding to needs of Sectors, Bureaux as well as Field Offices.
2006 – onwards	Development and implementation of training on UNESCO's contribution to common country programming exercises.
2008 - onwards	Results formulation training expanded to include all aspects of the RBM approach as applied at UNESCO. Training is provided to colleagues at Headquarters, in Field Offices, in Category I Institutes and upon request to Permanent Delegations and National Commissions.

UNESCO's management systems

To support the Organization's transition to Results-Based Management, 3 major online tools, SISTER, FABS and STEPS have been developed in line with the principles of transparency and accountability. **SISTER** - *System of Information on Strategies, Tasks and the Evaluation of Results* - encompasses the Programme and Budget (C/5) and the work plans. The system manages the programming of the work plans build around the principles of the results chain. It is the Organization's unique entry point for sharing progress assessments on the results achieved against the results planned. **FABS** - *Finance and Budget System* - is used to record financial transactions, maintain accounts and provide data for budgetary and financial reporting. **STEPS** - *System to Enhance Personnel Services* - covers human resources management and payroll. The management tools underpin the key pillars of Results-Based Management, namely result, financial and human resource management.

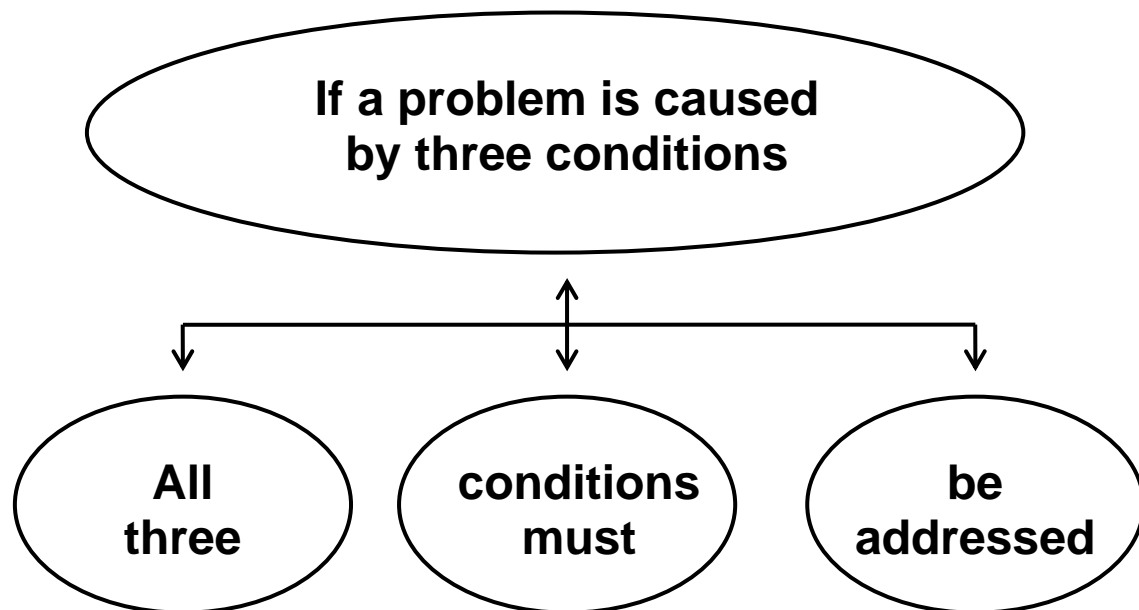
3) What is RBM?

RBM can mean different things to different people and organizations. A simple explanation is that RBM is a broad management strategy aimed at changing the way institutions operate, by improving performance, programmatic focus and delivery. It reflects the way an organization applies processes and resources to undertake interventions to achieve commonly agreed results.

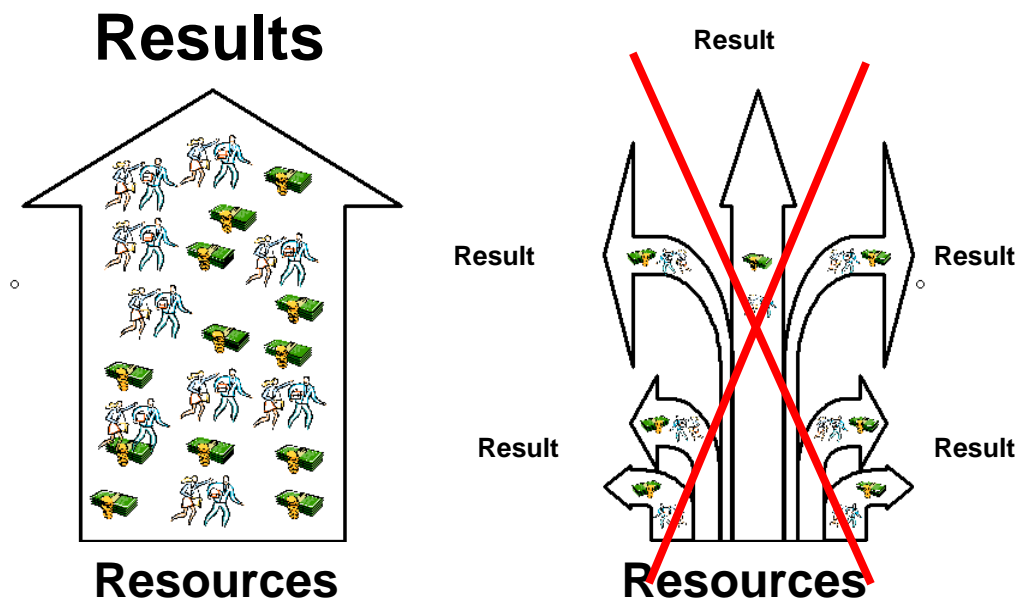
RBM is a participatory and team-based approach to programme planning and focuses on achieving defined and measurable results and impacts. It is designed to improve programme delivery and strengthen management effectiveness, efficiency and accountability.

RBM helps moving the focus of programming, managing and decision-making from inputs and processes to the objectives to be met. In **programming phase** it ensures that there is a necessary and sufficient sum of interventions to achieve an expected result.

During the **implementation phase** the RBM approach helps to ensure and monitor that all available financial, human and institutional resources continue to support the intended results.



In programming phase, the RBM approach ensures that the sum of interventions are necessary and sufficient to achieve an expected result



During the implementation phase the RBM approach helps to ensure that all available resources are invested in pursuit of intended results

To maximize relevance, the RBM approach must be applied, without exceptions, to all organizational units and programmes. Each is expected to define anticipated results for its own work, which in an aggregative manner contributes to the achievement of the overall or high-level expected outcomes for the Organization as a whole, irrespective of the scale, volume or complexity involved.

RBM seeks to overcome what is commonly called the “activity trap”, i.e. getting so involved in the nitty-gritty of day-to-day tasks that the ultimate purpose or objectives are being forgotten. This problem is pervasive in many organizations: activity/project/programme managers frequently describe the expected results of their activity/project/programme as “We provide policy advice to the Ministries of Education”, “We train journalists for the promotion of freedom of expression”, “We do research in the field of fresh water management” etc., focusing more on the type of interventions undertaken rather than on the ultimate changes that these interventions are supposed to induce, in relation to a certain group of beneficiaries.

An emphasis on results requires more than the adoption of new administrative and operational systems, it needs above all a performance-oriented management culture that supports and encourages the use of new management approaches. While from an institutional point of view, the primordial purpose of the RBM approach is to generate and use performance information for accountability reporting to external stakeholders and for decision-making, the first beneficiaries are the managers themselves. They will have much more control over the activities or projects they are responsible for, be in a better position to take well-informed decisions, be able to learn from their successes or failures and to share this experience with their colleagues and all other stakeholders.

The following **key concepts** are at the heart of the RBM approach applied at UNESCO:

- ***The results chain***: The purpose of the results chain is to build a logical relationship between the expected results at different programmatic levels, thereby ensuring that all resources of the Organization are invested in the pursuit of the intended results approved by the General Conference. At UNESCO, the results chain flows from the expected outcomes of the Medium-Term Strategy, down to the expected results defined in the biennial Programme and Budget to the expected results of the activities and projects, ensuring a seamless passage between the programmatic levels. It is built on the principle of aggregation of results, which implies that the aggregation of results at one level should make it possible to achieve the expected result of the higher level.
- ***“SMART” Results***: A result is the “raison d’être” of an activity, project or programme. It describes a concrete, visible and measurable change in state, induced by the activity or project to be undertaken. In other words, it should convey how a specific situation is expected

to be different from the current situation. For this reason, it should articulate what is to be different rather than what is to be done. In many cases, the expected result relates to the use of outputs by intended beneficiaries. Results are to be “SMART” (i.e. Specific, Measurable, Attainable, Relevant, Time-bound). When formulating expected results, it is useful to apply the “SMART” criteria to test their achievability and meaningfulness. This is often useful to narrow down the scope of the results to the essential and realistic change expected.

- **Specific**: It has to be exact, distinct and clearly stated. Vague language or generalities are not results. It should express the nature of expected changes, the beneficiaries, the region, etc. It should be as detailed as possible without being wordy.
- **Measurable**: It has to be measurable in some way, involving qualitative and/or quantitative characteristics.
- **Achievable**: It has to be realistic with the human, financial and institutional resources available.
- **Relevant**: It has to contribute to the attainment of the higher level results and respond to specific and recognized needs or challenges within the Organization’s mandate.
- **Time-bound**: It has to be achievable within a specific timeframe.
- **The Transformative process**: Inputs → Interventions → Outputs → results. The result is the last step of the transformative process, where inputs (human and financial and institutional resources) are used to undertake interventions (acts to be undertaken) leading to outputs which contribute to a desired change of situation.

4) RBM approach within UNESCO's management framework

This chapter focuses on how to apply the RBM approach within the specific UNESCO planning, management and monitoring framework.

UNESCO has two main sets of institutional planning documents: the Medium-Term Strategy (C/4 document) and the biennial Programme and Budget (C/5 document), which together constitute the programmatic and conceptual framework for all of UNESCO's action. The C/5 is translated into operational biennial work plans.

A) UNESCO'S Medium-Term Strategy – C/4 (6 years)

The Medium-Term Strategy is the overarching planning document of UNESCO. It is a 6-years rolling document determining the corporate strategy of the organization that can be revised by the General Conference, if so required. The 34 C/4 Medium-Term Strategy is built around the following mission statement for UNESCO, focusing on themes and areas where UNESCO can make a difference through purposeful, strategic action in all its fields of competence: *“As a specialized agency of the United Nations, UNESCO contributes to the building of peace, the eradication of poverty, sustainable development and intercultural dialogue through education, the sciences, culture, communication and information”*³. Throughout the strategy, two global priorities have been defined: Priority Africa and Priority Gender equality. Action in favour of Africa respects the priorities articulated by African countries, the African Union (AU), including through its New Partnership for Africa's Development (NEPAD) programme, and other organizations. The emphasis on Gender equality underpins the strong commitment by world leaders at the 2005 World Summit as well as the subsequent proposals that have arisen throughout the United Nations system in the context of the United Nations reform process. The pursuit of Gender equality through all of UNESCO's fields of competence is supported by a two-pronged approach pursuing both women's empowerment and gender mainstreaming in Member States and within the Organization.

During the 34 C/4 period, the Organization focuses on its core competencies to contribute to the attainment of Internationally Agreed Development Goals (IADGs), including the Millennium Development Goals (MDGs). One of UNESCO's comparative advantages within the United Nations system is its ability to respond to complex problems in a comprehensive and substantively appropriate manner through an intersectoral and interdisciplinary approach. The new Medium-Term Strategy is therefore structured around five programme-driven Overarching Objectives for the entire Organization designed to respond to specific global challenges, representing core competencies of UNESCO in the multilateral system:

- Attaining quality education for all and lifelong learning;
- Mobilizing science knowledge and policy for sustainable development;
- Addressing emerging social and ethical challenges;
- Fostering cultural diversity, intercultural dialogue and a culture of peace;
- Building inclusive knowledge societies through information and communication.

These Overarching Objectives respond to specific global challenges in UNESCO's domains and delineate areas for which UNESCO has a unique profile and competency in the UN system, indeed areas where, internationally, the Organization enjoys a comparative advantage. A limited number of Strategic Programme Objectives – 14 for the entire Programme - then concretize the Overarching Objectives in programme-relevant and thematic terms. For each Overarching Objective and for each Strategic Programme Objective, a limited number of expected outcomes have been identified for the six-year period, further clarifying and concretizing the scope of the action of the Organization. The Medium-Term Strategy therefore indicates how UNESCO sets about the task of meeting the dual requirement of:

- Concentrating the Organization's efforts on a limited number of priority areas in order to ensure that its action has lasting effect and is coherent with its role in the reforming United Nations system;
- Ensuring consistency of the global strategies and objectives pursued by the Organization.

³ UNESCO 2008, 34 C/4 Medium-Term Strategy 2008-2013: page 7.

B) UNESCO'S Programme and Budget – C/5 (2 years)

The roadmap laid out in the Medium-Term Strategy document is translated into three consecutive biennial Programme and Budget documents (C/5). C/5 documents are designed to cast UNESCO's action in response to the Overarching and Strategic Programme Objectives identified in the Medium-Term Strategy document, and form the basis for a limited set of Biennial Sectoral Priorities for each Major Programme, thereby ensuring a seamless transition between UNESCO's medium-term and biennial programme priorities and guaranteeing alignment between specific programme activities or projects and medium-term objectives. Biennial Sectoral Priorities contained in the C/5 specify a Sector's contribution to the achievement of document C/4 objectives, identifying critical areas of intersectoral and interdisciplinary engagement and commitment. These Biennial Sectoral Priorities are translated into a limited number of Main lines of Action (MLAs); of which the overall number has been significantly reduced since the 34 C/5 compared to previous C/5 documents in an effort to concentrate and focus on UNESCO's core strengths.

There are three programmatic levels at UNESCO:

Level: 1	Major Programme
Level: 2	Main line of Action
Level: 3	Activity and Extrabudgetary Project

Intersectorality and interdisciplinarity are given special emphasis in UNESCO's programme. A number of priority themes and challenges calling for a concerted and comprehensive response by the Organization across its Programme Sectors are accordingly identified and are summarized in a separate chapter of the C/5 on "Intersectoral Platforms". This chapter identifies the strategies and expected results for each of the Intersectoral Platforms. UNESCO's ability to combine the contributions of different Sectors and disciplines in a strategic manner will increase the relevance and impact of its action.

The Major Programme texts include Biennial Sectoral Priorities, with specific reference to Internationally Agreed Development Goals (IADGs), including the MDGs, and the main strategic approaches to be pursued for the attainment of the Strategic Programme Objectives drawing among others on action plans adopted by relevant international conferences and decades. These strategic approaches provide the rationale and framework for action to be pursued through the various MLAs.

As requested by the General Conference, the Programme and Budget is built on the principles of RBM. For each Major Programme, strategies are provided for the implementation of the MLAs. Furthermore, at this programmatic level, expected results and performance indicators and, where relevant, benchmarks are set. In its programme execution, UNESCO will continue to follow the SMART approach (specific, measurable, attainable, relevant and time-bound) for the development of results. This approach will be further developed in chapter 7.

Main line of action 1: Protecting and conserving immovable cultural properties and natural properties, in particular through the effective implementation of the World Heritage Convention

Expected result 3: Conservation for sustainable development strengthened, notably through capacity-building and training activities

Performance indicators	Benchmarks
■ Operational conservation projects implemented for properties on the Danger List	– 4 conservation projects
■ Successful implementation of corrective measures leading to the removal of properties from the Danger List	– removal of 4 properties from the Danger List
■ Operational conservation projects implemented to demonstrate the link between culture and development	– 2 projects on conservation and sustainable development
■ Operational conservation projects implemented especially in Africa, in countries in post-conflict or post-disaster situations, in SIDS and LDCs	– 6 conservation projects
■ Meetings of the International Coordination Committees (ICCs) and related technical experts meetings held	– at least 5 ICCs and 4 related experts meetings organized (depending on security situation)
■ States Parties officials, site managers and other stakeholders trained	– at least 300 people trained

Example of Expected Result, Performance Indicators and associated Benchmarks from the 35 C/5

C) Work plans

At UNESCO the term “work plan” refers to the Organization’s activities and projects. The MLAs of the C/5 document (level 2), are translated into work plans (level 3) outlining the operational activities and projects to be undertaken.



Seamless passage of UNESCO's programme and results cascading from the Medium-Term Strategy (C/4) over the Programme and Budget (C/5) to the work plans

5) UNESCO's results chain

The results chain ensures the linkages between the expected results at different programmatic levels. Each programmatic level has to be linked to the next one, indicating how the results of the lower level contribute to the attainment of the higher level results thus forming a chain of results. Therefore, each and every element should be designed in a way that makes it not only consistent in itself but also appropriate within the overall structure.

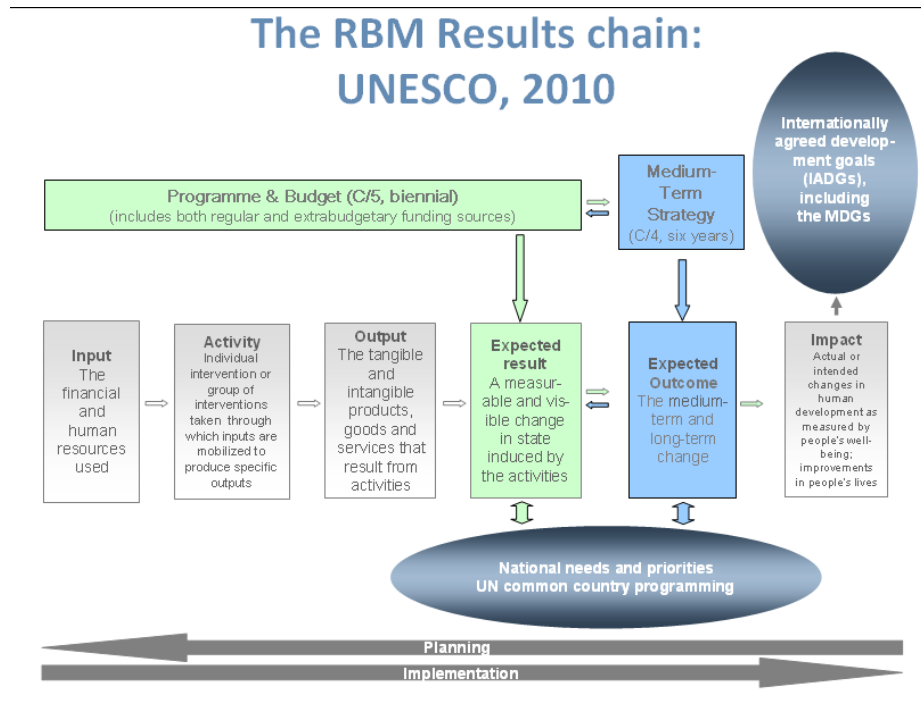
The nature, scope and form of results vary at different programmatic levels. To reflect this difference a distinct terminology is applied for the Medium-Term Strategy (C/4) and the Programme and Budget (C/5). Expected outcomes are defined for each of the Overarching Objectives and Strategic Programme Objectives in the Medium-Term Strategy and expected results are defined for each Main line of Action in the biennial Programme and Budget and for the work plans. The outcome thus refers to the mid-term results to be attained within a timeframe of 6 years whereas the expected results are to be attained within the biennial timeframe.

At all levels a result should express a change, not the process itself. The relationship between two results at different levels should be causal, that is, the achievement of one result is necessary for and contributes to the achievement of the expected result at the level above. The causal connection between two results should be direct. It should not be necessary to infer additional intermediate results to understand the linkage between two results. Similarly, it should not be necessary to accept many or broad assumptions to move from a "lower" to a "higher" result.

The relationship between results should not be categorical or definitional; that is, lower level results should not merely describe component parts of a related "higher" level result.

For example: if we consider the expected result "Biodiversity in critical ecosystems increased", a categorical relationship could be the one between the two results statements – "Biodiversity in marine ecosystems increased" and "Biodiversity in forest ecosystems increased". A results statement causally related would be, for example, "Population pressure on critical ecosystems reduced".

The definition of expected results within the UNESCO results chain is in this respect a top-down process resulting from appropriate bottom-up contribution from Member States and Field Offices consultations during the preparation of the C/4 and C/5 documents. When conceiving an activity or project, one has to start by considering the expected results defined at the level above and "plug-in" adequately to fully contribute through its own achievements to the broader expected result.



Comprehensive view of UNESCO's Results chain including reference to the International Agreed Development Goals (IADGs) and to National priorities

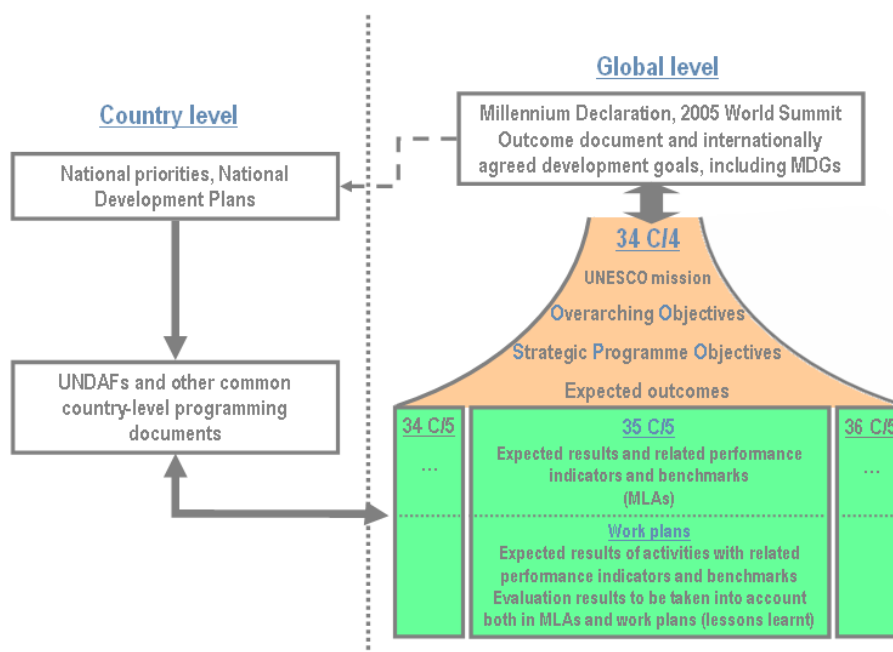
The above and below charts show UNESCO's established results chain cascading from the C/4 document over the C/5 Programme and Budget to the work plans, as it is applied for regular and extrabudgetary resources alike. It also puts in perspective the relation to the pursuit of national development plans through United Nations common country programming tools and result frameworks (e.g. UNDAF/One programme results matrices).

The UNDAF is the United Nations Development Assistance Framework. It is the strategic programming framework for the United Nations Country Team highlighting their collective response to National Development Priorities, with a common results matrix.

National priorities represent one or more priorities or goals from the national development framework relating to the Internationally Agreed Development Goals (IADGs), including the MDGs. The UNDAF results chain is derived from and linked to national strategies. It reflects the accountability and division of labour of individual agencies. The UNDAF outcomes, the Agency outcomes and the outputs represent the three different levels of the results matrix⁴, where UNESCO contribution is reflected under the Agency outcomes.

UNDAF and other common country-level programming documents can be perceived as collective strategic results of the UN system. In that regard the graph illustrates how UNESCO at the same time carries out its mandate and contributes to the wider UN framework at the global and the country level.

The UNESCO Country Programming document (UCPD) is a new tool launched to provide a better country-level perspective on its activities and projects. It is designed to capture in a single document UNESCO's activities and projects in a particular country, in a succinct and results-oriented comprehensive manner, whether funded from regular or extrabudgetary resources. The document is composed of a concise overview of pertinent developments relevant to UNESCO's areas of competence for a given country (situation analysis) as well as a succinct results-based description of all UNESCO's ongoing, recent and past support and activities and projects including cooperation with other United Nations partners and external donors. The UCPD is a programming tool of particular value as a starting point for articulating UNESCO's inputs and deliverables in the common country programming documents and suggest possible entry points for future cooperation and joint programming with other United Nations entities. It also provides a basis for a results-based, strategic approach to the mobilization of extrabudgetary funds.



UNESCO's results chain putting in perspective the interlinking between results at the global and country level

⁴ UNDAF Outcomes contribute to the achievement of the national priority or goal, with the efforts of two or more UN agencies and their partners. It relies on critical assumptions about the roles of partners outside the framework of the UNDAF. A UNDAF outcome is expressed as institutional and behavioural change at national or sub-national levels. Agency Outcomes reflect the institutional or behavioural changes expected from agency cooperation. Outputs are specific products, services, or changes in processes resulting from agency cooperation.

The previous two chapters set the overall framework for UNESCO's programme management and outlines how the RBM approach is applied at UNESCO. The following chapters will place focus on the tools and methodological aspects of the RBM approach, providing examples and techniques for programming, managing, monitoring and reporting in line with the principles of the RBM approach.

6) Key steps of the RBM approach

The essence of the RBM approach is to move from input and output accountability - that is how the resources have been spent and what has been done - and place focus on the results achieved for the resources invested. The RBM approach encompasses programme, financial and human resources management. The formulation of expected results and implementation strategy is part of an iterative process. The two concepts are closely linked and both have to be adjusted throughout the programming phase so as to obtain the best possible solution. At UNESCO the RBM approach can be cast in seven steps, of which the first four relate to **results-oriented programming**:

A) The seven steps

1. Defining the contribution to the higher level results in order to ensure coherence between the results at different programmatic levels and thereby forming a logical and coherent chain of results. The purpose of the results chain is to ensure an overall programmatic coherence where all resources are invested in the pursuit of the highest level results of the Organization. Please refer to chapters 5 and 7 for further information.

2. Analyzing the problems to be addressed and determining their causes and effects. Undertaking a situation analysis ensures a thorough appreciation of a specific context in order to identify strategic priorities of the Organization within the crossing of its mandate, the national priorities and the Internationally Agreed Development Goals (IADGs), including the MDGs. The purpose of the situation analysis is to identify the most crucial issues among the numerous ones that could be addressed in a specific area through a comprehensive understanding of UNESCO's comparative advantage in a specific context. In addition to identifying these issues, the situation analysis furthermore serves as baseline documentation of the situation prevailing before the implementation of the activity or project. This facilitates evidence-based assessment of the progress achieved during the implementation. Furthermore, it is an opportunity to mobilize and involve key stakeholders: partners and beneficiaries to ensure their involvement throughout the process including their contribution to the identification of issues to be tackled, the design of interventions and defining results that meet their needs in order to favour ownership and sustainability through a participatory approach. As a logic flow from the situation analysis, it is important throughout the process to have a clear vision of beneficiaries and partners involved along with their specific roles and engagements. Finally, considering the resources available (or which could be mobilized) is inevitable when formulating the results to be achieved. Resources encompass human, institutional and financial resources (regular programme and extrabudgetary) and are also referred to as inputs. The overall estimation for an activity or project equals the sum of costs assigned to the inputs required to achieve the expected results. When calculating the resources needed, it is important not only to focus on the resources required for the implementation but also include resources for programming, managing, monitoring, reporting and evaluation. The purpose of this assessment is to define the scope of the results to be attained.

3. Formulating expected results, in clear, measurable terms. Based on the conclusions of the situation analysis, expected results are formulated expressing how the situation is expected to be different after the interventions compared to the current situation. Detailed information on how to formulate results will be provided in chapter 6.

For each expected result, performance indicators and associated benchmarks need to be identified, specifying exactly what is to be measured along a scale or dimension. A result expresses the change to be induced by the interventions whereas the performance indicator provides indications of the change. They allow to assess the level/degree of the achievement. It is a parameter used to measure the progress related to an expected result or an aspect of it and to assess the effectiveness of the interventions. A benchmark is an achievable target or a measure associated to a performance indicator to be achieved over a biennium. It is a target to assess performance, ideally accompanied by baseline data describing the situation before the implementation of the activity or project. More information about performance indicators will be presented in chapter 9.

4. Developing an implementation strategy by providing the conceptual framework on how to move from the current situation to the one described in the result statement, identifying main modalities of action. It should be action-oriented specifying the major issues to be addressed and relevant baseline; the rationale of the interventions to be undertaken, outputs to be produced and results to be attained; indicating the role of the key stakeholders concerned. It should be reflective of the sustainability

beyond UNESCO's assistance as well as of uncertain events (risks) which may impact the performance of the programme delivery either positively (opportunities) or negatively (challenges) and measures foreseen to overcome the latter. When developing the implementation strategy it is important to ensure a balance between the strategy foreseen, the results, the reach (geographical scope and key stakeholders) and resources available. This often entails a process of adjustment in order to obtain a strong and balanced activity/project design.

5. Monitoring progress towards the expected results with appropriate performance monitoring drawing on data of actual results achieved. The purpose of monitoring is to compare the "planned" with the "actual" situation in order to keep track of implementation and progress towards the expected results and take corrective measures if necessary. It furthermore includes self-evaluation by the responsible officer who interprets the information and defines possible explanations to eventual discrepancies between the "expected" and the "achieved" leading to lessons learnt. Here again, it is an opportunity to mobilize and involve partners and beneficiaries to favour ownership and sustainability through a participatory approach by requesting their contribution to collect information and feedback for monitoring purposes. More information about monitoring is to be found in chapter 9.

6. Reporting to key stakeholders on progress achieved comparing the programmed results with the actual achievements, the beneficiaries impacted, partners involved, and resources invested. The purpose of reporting is to provide key stakeholders with transparent and results-oriented information on performance to inform decision-making and improve future programme and policy development; analyse eventual discrepancies between the "expected" and the "achieved" results; disseminate and discuss results and lessons learnt in a transparent and iterative way. This aspect will be further developed in chapter 10.

7. Evaluation moves beyond the assessment of progress as it seeks to examine whether the subject of the evaluation could be improved in terms of relevance, efficiency, effectiveness, impact and sustainability. Through evaluation UNESCO learns from both successful and less successful activities, projects or programmes. It is a critical tool for accountable, transparent and effective management – and so its findings will inform future programme development. Here again, it is an opportunity to mobilize and involve partners and beneficiaries to favour ownership and sustainability through a participatory approach by requesting to what extent they have been satisfied with the results attained. More information about Evaluation is to be found in chapter 11.

B) Transversal approaches

UNESCO is committed to programmes applying a Human Rights-based Approach including a Gender Equality perspective. They are to be taken into account throughout all steps of the RBM approach. Analysing and managing risk is similarly to be considered throughout the programming and implementation steps.

Human Right-Based Approach and Global Priority Gender equality

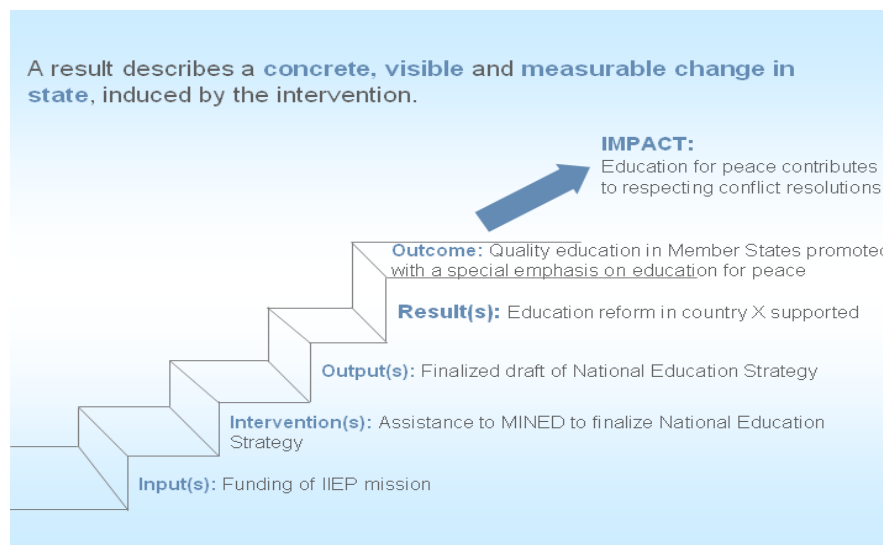
Gender Equality is a fundamental human right, thus gender analysis is an essential prerequisite of this approach. In the situation analysis it is important to identify the claims of rights-holders and the corresponding obligations of duty-bearers as well as the immediate, underlying, and structural causes of the non-realization of rights. Similarly, it is essential to identify any gaps or lack of capacity keeping gender equality from being attained. Based on the needs identified, the capacity of rights-holders to claim their rights, and of duty-bearers to fulfil their obligations should be assessed in order to develop strategies to reduce these gaps and to build the necessary capacities. This analysis feeds the formulation of results and performance indicators. The results should reflect change needed to ensure that right-holders can exercise their rights and to ensure equal opportunities among men and women, boys and girls. Performance indicators can give indications of this change placing focus for example on equal participation, on degree of gender responsiveness and using sex disaggregated data to measure progress. In the same manner right-holders, men and women, boys and girls should be mobilized both as beneficiaries and partners. For example, partnerships with women's groups and gender equality advocates ensure expertise concerning the implementation of gender equality dimensions of national laws, policies and strategies. The rationale and the conclusion of the considerations with regards to human rights and Gender Equality should be included as an integral part of the implementation strategy. These aspects shall continue to be reflected upon when implementing, monitoring and reporting.

Risk Management (RM)

In line with the Enterprise Risk Management (ERM) model adopted by UNESCO, identifying, assessing and acting on risks is to be considered throughout programming and monitoring. A risk is an uncertain event that may impact the performance of programme delivery either positively or negatively. Hence it can both be an opportunity and/or a threat. Applying risk management in a systematic manner enables to improve programme design and implementation. Risk analysis induces awareness of the causes, likelihood and impact of risks that may influence the performance of implementation, thereby informing decision-making and facilitating establishment of preventive measures such as controls and procedures in order to manage risks and mitigate their negative impact while seizing opportunities. When defining the contribution to the higher level result, the responsible officer needs to reflect upon the risks which could keep these achievements from contributing to the higher level result. In the same manner when identifying the beneficiaries of an intervention, it is important to consider whether it can have a negative impact on other groups of society than the one(s) targeted as these could jeopardise the implementation of the activity or project and attainment of results.

7) What is a result?

A result is the “raison d’être” of an activity, project or programme. A result can be defined as a describable and measurable change in state due to a cause and effect relationship induced by that activity, project or programme. Expected results are answers to problems identified and focus on changes that activity, project or programme are expected to bring about. A result is achieved when the outputs produced go beyond the purpose of the interventions. It is the last step of the transformative process, where inputs (human, institutional and financial resources) are used to undertake interventions which lead to outputs which contribute to a desired change of situation. The result expresses how a specific situation is expected to be different from the current situation. It often relates to the use of outputs by intended beneficiaries and is therefore usually not under full control of an implementation team.



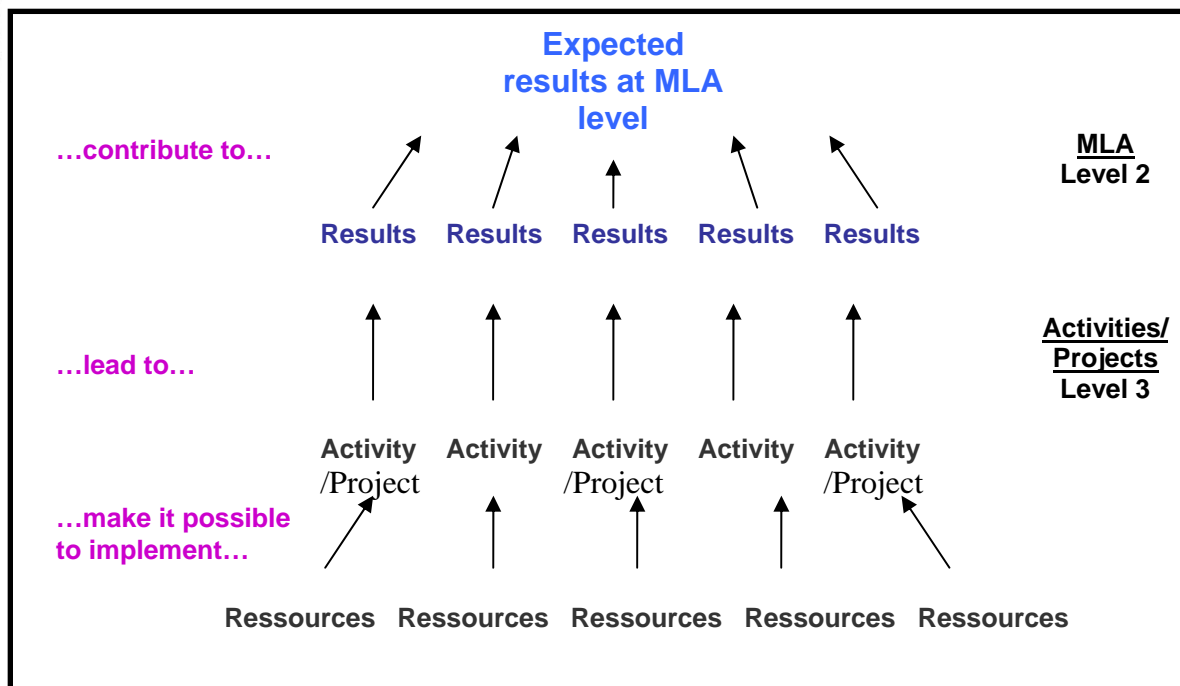
The results-chain builds on the transformative process

A) Defining your activity or project within UNESCO’s results chain

The starting point for developing an activity or project is to identify how its results will contribute to UNESCO’s results chain. The mechanism through which a results chain is formalized in UNESCO relies on the relationship between the respective levels. Expected results of the upstream programmatic element represent the starting point for conceiving your element. Each element must “plug” adequately in the level above to fully contribute, through its own achievements, to the broader expected result.

Therefore, a mutually agreeable arrangement has to be found between the responsible officers of two subsequent levels: the responsible officer of the level above who, in order to achieve his/her expected results, relies on the lower level results will agree to fund downstream elements once he/she will be confident that the aggregation of their expected results will make it possible to achieve the expected results of the programmatic element he/she is responsible for. While defining this relationship between the different programmatic levels, it is important to consider risks that may affect the performance of the implementation and thereby the contribution to the higher level results. The risk analysis induces awareness and enables informed management in order to mitigate the negative impact of risks.

The results of the elements attached to the same programmatic element combine to produce the results of the upstream element to which they relate. This mechanism swirls bottom up throughout the programmatic tree and is conceived to ensure the consistency among the programmatic levels. It is important to note that the result of an element must not be defined as the sum of the results of downstream elements: if this was the case, the results at the MLA level would be only a list of results of the activity or project level. The result of a programmatic element therefore relies on the results of downstream elements, but is not made of them.



UNESCO's results chain – MLA and below

Challenges in this process:

- *The nature of expected results:* it is obvious that the nature, magnitude, meaning of "expected results" cannot be the same among the different levels. Nevertheless, it is crucial that all these results build a chain of meaningful achievements, bridging the gap between the mandate and the medium-term objectives of UNESCO and what the Organization actually achieves in its daily operations.

- *Reconciling global and local dimensions:* RBM stresses results and greater focus; this should be done without sacrificing the Organization's global mandate and its commitment to decentralisation and responsiveness to country needs and priorities: a good balance has to be found between global and field-oriented approaches. UNESCO's intellectual, ethical and normative functions cannot be divorced from implementation and operational action to ensure an effective feedback loop between theory and practice.

- *Responding to specific requests of local stakeholders:* It often happens that staff in Field Offices receives official requests from Member States representatives concerning activities and projects to be implemented in the country. It has to be recalled that UNESCO Governing Bodies decide the areas of intervention of the Organization and it is important that ownership is reconciled with UNESCO objectives and priorities. A specific request at country level does not legitimize the use of resources in areas that did not receive the approval of the Organization's Governing Bodies.

B) Formulating expected results

Formulating expected results from the beneficiaries' perspective will facilitate focusing on the changes expected rather than on what is planned to be done or the outputs to be produced. This is particularly important at the country level, where UNESCO seeks to respond to the national development priorities of a country. The involvement of stakeholders, including both beneficiary groups and partners, is crucial throughout the process from planning to implementation to monitoring and evaluation. Participation is a key for improving the quality, effectiveness and sustainability of interventions. When defining interventions and related expected results one should therefore ask:

- Who participated in the definition of the expected results?

- Were key activity or project stakeholders (beneficiaries and partners) involved in defining the scope of the activity or project and implementation strategies?
- Is there ownership and commitment from activity or project stakeholders to work together to achieve identified expected results?

Use “change” language instead of “action” language

The expected result statement should express a concrete, visible, measurable change in state or a situation. It should focus on what is to be different rather than what is to be done and should express it as concretely as possible. Completed activities or projects are not results, results are the actual benefits or effects of completed activities or projects.

Action language	Change language
<p><u>... expresses results from the provider’s perspective:</u></p> <ul style="list-style-type: none"> • To promote literacy by providing schools and teaching material. <p><u>... can often be interpreted in many ways:</u></p> <ul style="list-style-type: none"> • To promote the use of computers. <p><u>... focuses on completion of activities and projects:</u></p> <ul style="list-style-type: none"> • To train teachers in participatory teaching. 	<p><u>... describes changes in the conditions of beneficiaries:</u></p> <ul style="list-style-type: none"> • Young children have access to school facilities and learn to read and write. <p><u>... sets precise criteria for success:</u></p> <ul style="list-style-type: none"> • People in undersupplied areas have increased knowledge of how to benefit from the use of a computer and have access to a computer. <p><u>... focuses on results, leaving options on how to achieve them (how this will be achieved will be clarified in the implementation strategy):</u></p> <ul style="list-style-type: none"> • Teachers know how to teach in a participatory way and use these techniques in their daily work.

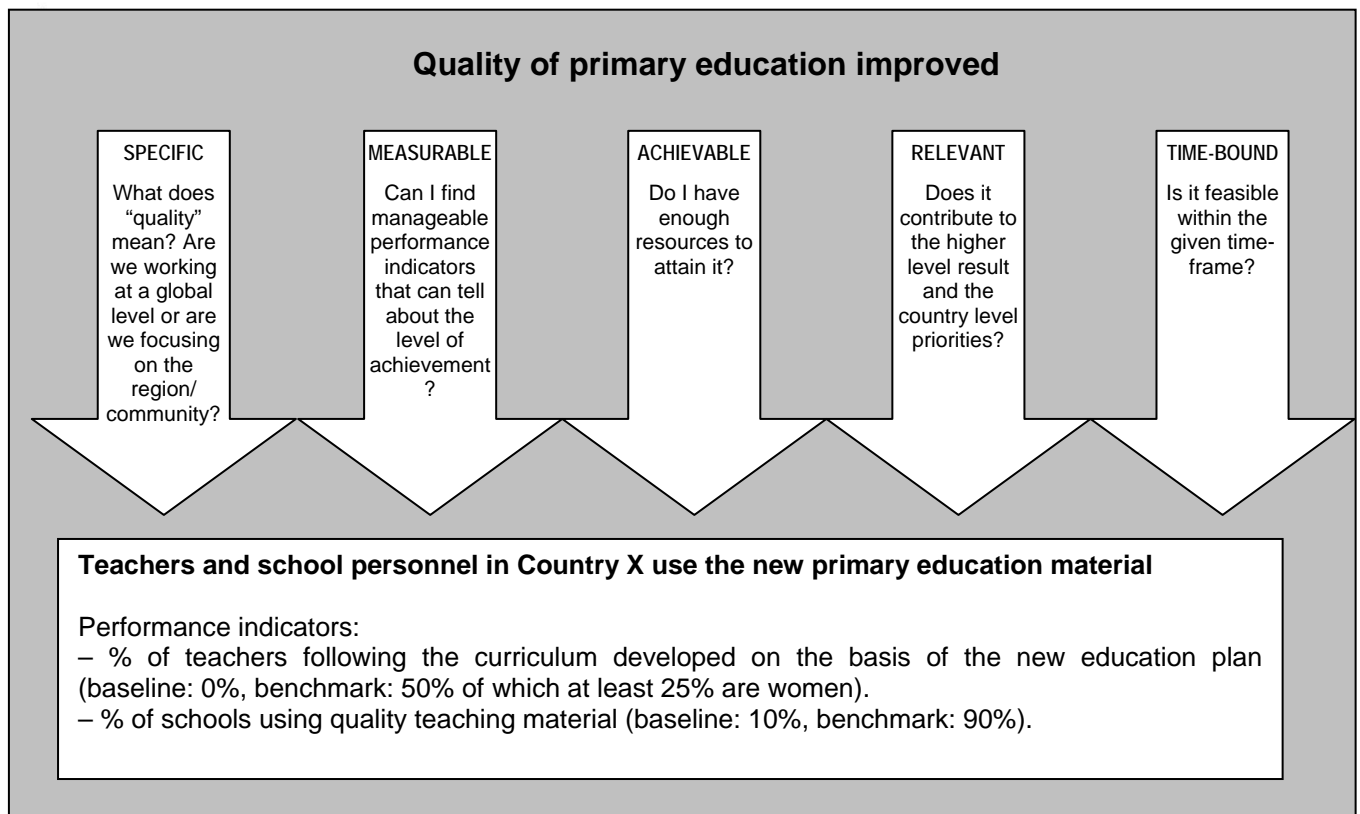
Make sure your expected results are SMART

Although the nature, scope and meaning of expected results differ considerably, an expected result should meet the following criteria (be “SMART”):

- **Specific:** It has to be exact, distinct and clearly stated. Vague language or generalities are not results. It should express the nature of expected changes, the beneficiaries, the region, etc. It should be as detailed as possible without being wordy.
- **Measurable:** It has to be measurable in some way, involving qualitative and/or quantitative characteristics.
- **Achievable:** It has to be realistic with the human, institutional and financial resources available.
- **Relevant:** It has to contribute to the attainment of the higher level results and respond to specific and recognized needs or challenges within the Organization’s mandate.
- **Time-bound:** It has to be achievable within a specific timeframe.

Once a draft expected results statement has been formulated, it is useful to test its formulation going through the SMART criteria. This process enhances the understanding of what is pursued, and is of assistance in refining an expected result in terms of their achievability and meaningfulness.

Improving the results formulation: the SMART process



Example: if we consider a work plan to be undertaken in a specific country that includes the expected results statement **"Quality of primary education improved"**, the application of the SMART questioning could be as follows:

1. Is it "Specific"?

What does "quality" actually mean in this context? What does an "improvement" of quality in primary education amount to concretely? Who are the relevant stakeholders involved? Are we working on a global level, or are we focusing on a particular region or country?

In responding to the need of being specific, a possible expected result formulation could be:

"National officers in the strategic planning unit of the Ministry of Education (MoE) in country X have developed an action plan for reform of the primary education level."

or

"Teachers and school personnel in country X use the new primary education material."

The formulation of the change expected always depends on the situation in the given context prior to the implementation of the activity or project.

2. Is it "Measurable"?

Can I find manageable performance indicators that can inform on the level of achievement?

Possible Performance Indicators for the second result could be:

- % of teachers following the curriculum developed on the basis of the new education plan (baseline: 0%, benchmark: 50% of which at least 25% are women).
- % of schools using quality teaching material (baseline: 10%, benchmark: 90%).

3. Is it "Achievable"?

Do I have enough resources available to attain the expected result? I need to consider financial, institutional and human resources. If the answer is negative, I have to either reconsider and adjust the scope of the activity or project or mobilize additional resources.

4. Is it "Relevant"?

Is the expected result coherent with and does it contribute to the attainment of the higher level results within UNESCO's results chain and with country/regional needs (e.g. CCA/UNDAF, One Plan/One Programme documents, PRSP, regional strategies)? Does it respond to the specific needs and challenges identified?

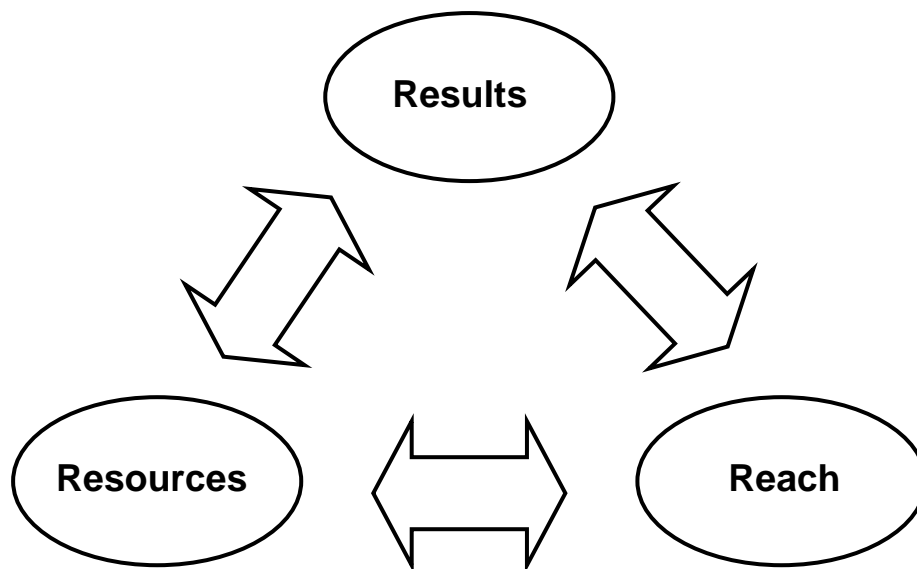
If the answer is negative, the activity or project should be dropped.

5. Is it "Time-bound"?

The given timeframe for regular programme activities at UNESCO is 2 years according to the timeframe of the Programme and Budget (C/5), however the timeframe of extrabudgetary project varies. What is important is that the expected result be achievable within a given timeframe.

Find a proper balance among the three Rs

Once an activity or project is formulated, it can be useful to check and improve its design against yet another concept – namely, establishing a balance between three variables **Results** (describable and measurable change in state that is derived from a cause and effect relationship), **Reach** (the geographical scope and aim, breadth and depth of influence and cooperation with stakeholders (beneficiaries and partners) and **Resources** (human, institutional and financial resources that are directly or indirectly invested in the interventions).



Find a good balance among the three 'R's

Unrealistic activity or project plans often suffer from a mismatch among these three key variables. It is generally useful to check the design of an activity or project by verifying the three Rs by moving back and forth along the activity or project structure and by ensuring that the logical links between the resources, results and the reach are respected.

It is rather difficult to construct a results-based design in one sitting. Designs usually come together progressively and assumptions and risks have to be checked carefully and constantly along the way.

C) Defining performance indicators, associated benchmarks and baseline for expected results

The definition of appropriate performance indicators and benchmarks associated to the expected results is crucial to define the scope of the result. During implementation it will be essential to guide the monitoring. Baseline data, when available, is furthermore an important factor to support the documentation of the progress achieved (evidence-based).

Selection and formulation of performance indicators

Monitoring is done through the use of appropriate performance indicators. When conceiving a programme/activity/project and its expected results, the responsible officer is also required to determine relevant performance indicators that will allow to track progress and to assess its effectiveness of the interventions, i.e. if the intended results were attained. Indicators support effectiveness throughout the processes of programming, implementation, managing, monitoring, reporting and evaluation.

When defining a performance indicator and associated benchmark, you need to assess if the data necessary to measure whether you are attaining the result or not will be easy to collect and if you have or will have access to baseline data. In that respect the following questions are worth raising:

- What will be the data sources? In other words what will be the Means of verification (i.e. Individuals, organizations, documents or reports from which the data is obtained)?
- Is your performance indicator reliable: is it a consistent measure over time?
- Is it simple: will it be easy to collect and analyse the information?
- Is it affordable: is it cost-effective, is it within your foreseen budget? You also need to envisage what method and technique you want to use to collect certain data and analyse them.
- Is the performance indicator valid: does it measure what it is intended? According to you what is the proper frequency to collect data? Who will collect the data (UIS, volunteers, Women/youth associations, NGOs, Category 2 Institutes)?

Indicators may be used at any point along the transformative process: inputs, interventions, outputs, results, but Results-Based Monitoring does not address compliance to the rate of expenditure or to the implementation plan (answering the question: “have we done it?”), but on the actual benefits that were actually brought to the beneficiaries (answering the question: “we have done it, so what?”). Performance indicators are aimed at giving indications of change caused or induced by the interventions. This core purpose does not require sophisticated statistical tools, but reliable signals that tell, directly or indirectly, about the real facts on which one undertakes to have leverage. A fair balance is to be sought between the cost - both in terms of time and money - to collect the information required and its capacity to reflect the desired changes. Even a carefully selected, clearly defined indicator is of little use unless it is actually put to use. A critical test of an indicator is how practical it is to monitor. Thinking about an indicator is one thing, actually finding, recording and presenting the data is another. Indicators need to be approached as a practical tool, not merely as a conceptual exercise.

Performance indicators are signposts of change. They enable us to verify the changes the programme/activity/project we are dealing with seek to achieve. The purpose of indicators is to support effective programme planning, management and reporting. Indicators not only make it possible to demonstrate results, but they can also help produce results by providing a reference point for monitoring, decision-making, stakeholder consultations and evaluation.

We should bear in mind, however, that indicators are only intended to indicate, and not to provide scientific “proof” or detailed explanations about change. In addition, we should avoid the temptation to transform the measurement of change into a major exercise with a burdensome workload. Measuring change should not take precedence over the implementation of activities/projects that generate the changes to be measured.

The critical issue in selecting good indicators is credibility, not the number of indicators, nor the volume of data or precision in measurement. The challenge is to meaningfully capture key changes by combining what is substantively relevant with what is practically feasible to monitor.

At the end of the day, it is better to have indicators that provide approximate answers to some important questions than to have exact answers to many unimportant issues.

Selecting substantively valid and practically possible performance indicators presupposes an in-depth understanding of the situation and of the mechanisms subtending change. Therefore, the use of pre-designed or standardised performance indicators is not recommended, as they often do not address the specificities of the situation in which the interventions are carried out. Performance indicators have to be designed on the basis of the ambition of an intervention, its scope and the environment they are implemented in.

Failing to design good indicators often means that the results are not clearly defined or that they are too wide-ranging. The process of selecting indicators can help identify the core issues of the intervention and translate often intangible concepts into more concrete and observable elements. A result and its performance indicator should not be mixed up. The result is the achievement. Performance indicators should tell about the achievement.

Performance indicators for “soft assistance”

A problem that programme specialists often refer to is that while support in the so-called "soft" areas of capacity⁵ building, policy advice, advocacy, etc. may well be the greatest comparative advantage of UNESCO, these areas may be the most difficult against which to assess results. The experience of a number of development cooperation agencies with the shift to a results-based approach has shown that, unless guarded against, there could be a tendency for country operations to focus more explicitly on quantifiable initiatives. It is therefore critical that UNESCO guard against the development of any disincentives that would prevent it from focusing on capacity-building and advocacy work, both of which are complex and long-term and against which it may be much more difficult to assess results than it is in other sectors.

Quantitative vs. qualitative performance indicators

Performance indicators can comprise a variety of types of “signals” such as numbers, ranking systems or changes in the level of user approval. A signal also features a benchmark as the “target” or “scale” of observation. For example, the indicator “*Percentage of enrolled students graduate primary school*” is accompanied by a benchmark “65 %” which signals the target to be reached.

Signals and scales lend themselves to indicators that express qualitative and/or quantitative information. Quantitative indicators are numerical. Qualitative indicators use categories of classification, based on individual perceptions.

The concept of quantitative versus qualitative indicators has been a subject of frequent discussion over the past few years. The common belief is that quantitative indicators are measurements that stick to cold and hard facts and rigid numbers and there is no question about their validity, truth and objectivity while qualitative indicators are seen as subjective, unreliable and difficult to verify. No type of indicator or observation is inherently better than another; its suitability depends on how it relates to the result it intends to describe. New UNESCO guidance indicates a shift away from the approach that indicators should be quantitative rather than qualitative. Programme specialists are expected to select the type of indicator that is most appropriate for the result being measured. If a qualitative indicator is determined to be most appropriate, one should clearly define each term used in the measure, make sure to document all definitions and find possible ways (such as using rating scales) to minimize subjectivity.

For example, if the result under consideration is in the area of improving the functioning of the government, in particular concerning its preparation to respond to local needs, we could measure the degree of results achievement through indicators measuring the change in levels of end-user approval (or client satisfaction).

Possible performance indicators could therefore be:

⁵ The term “capacity” in this framework refers to the abilities, skills, understandings, attitudes, values, relationships, knowledge, conditions and behaviours that enable organizations, groups and individuals in a society to generate benefits and achieve their objectives over time. Capacity also reflects the abilities of these actors to meet the needs and demands of the stakeholders for whom they were established or to whom they are accountable. These attributes cover formal, technical and organizational abilities and structures and also the more human, personal characteristics that allow people to make progress.

- Average rate of perceived responsiveness of the government to the needs of population, on a scale from 1 to 10 (Benchmark: average above 6).
- Proportion of people who perceive local government management as “very participatory” (Benchmark: proportion increases from 40% to 65%). This increase provides some measure of the degree of qualitative change. This kind of numerical expression of qualitative considerations may also be obtained through indicators that use rating systems that rank, order or score given categories of attributes.
- Proportion of people who rate central government adequateness to their own needs 6 or more (Benchmark: 60%).

For further examples kindly refer to the tables on pages 29-31.

Qualitative indicators are particularly helpful - for example - when the actions involve capacity development for service delivery. The perceptions of end-users regarding service delivery gets straight to the issue of whether the services are wanted, useful and effectively delivered. The satisfaction of end-users (or clients) has the advantage of some comparability. Results may be compared and data disaggregated by kind of service, location, time, etc.

This approach is not without its problems. The only way of getting this information may be through a survey that may reveal itself too costly, clients may not always be easy to identify, and their perceptions of satisfaction with services is subject to influences other than the service itself.

Types of Performance Indicators

Several types of performance indicators can be used to assess progress towards the achievement of results:

a) Direct Statistical Performance Indicators

Direct statistical indicators show progress when results are cast in terms of readily quantifiable short-term changes. For example, if the result is “Nominations of cultural and natural properties from regions or categories of heritage, currently under-represented or non-represented on the World Heritage List increased”, it should not be difficult to secure direct quantifiable data about the number of new nominations over the time period of a biennium (or less). Care must be taken to ensure that the time span of the result lends itself to the collection of such data for use in review.

b) Proxy Performance Indicators

Proxy indicators are normally quantitative, but do not directly relate to the result. A proxy is used to show progress. It should be used when getting the full data is too time-consuming, or when the timeliness of complete data would fall outside the need for review. However, there must be a prima facie connection between the proxy and the result. For example if the result is “Public recognition improved of the importance of the mathematical, physical, and chemical sciences for life and societal development”, a good Proxy Indicator might be the improvement of the media coverage concerning these issues.

c) Narrative Performance Indicators

When the results are not easily quantifiable (changing attitudes, building capacities, etc.) over the time period of the biennium, and the number of recipients is not too big, a non-statistical approach can be envisaged to develop an indication of “progress”. Narrative indicators largely focus on the “process of change”.

This technique works especially well in instances where capacity building, training, conferences, network development and workshops are the planned interventions. However, when dealing with stakeholders, care needs to be taken to avoid a focus simply on “satisfaction”. Rather, the focus should be on what happened (or at least on what the recipients have planned to do) as a result of the intervention/participation. For example if the expected result is “National capacities in educational planning and management strengthened”, then a valid narrative indicator might be a follow-up questionnaire to be circulated among those individuals who participated in training, or conferences or other interventions to ask them what they did (or what they have planned to do) in their countries as a result of UNESCO’s actions.

- Narrative indicators enable an organization to begin to explore complex interrelationships among factors without recourse to extremely expensive statistical research. In this way, UNESCO could demonstrate “partial success” even if other factors may have prevented the overall “enhancement of the national capacity”.
- Given the extent to which many of UNESCO’s results may seem to be intangible, narrative indicators offer the prospect of great utility. However, they should not be seen as a widespread substitute for data that can be quantified to some degree.

Risks when identifying performance indicators:

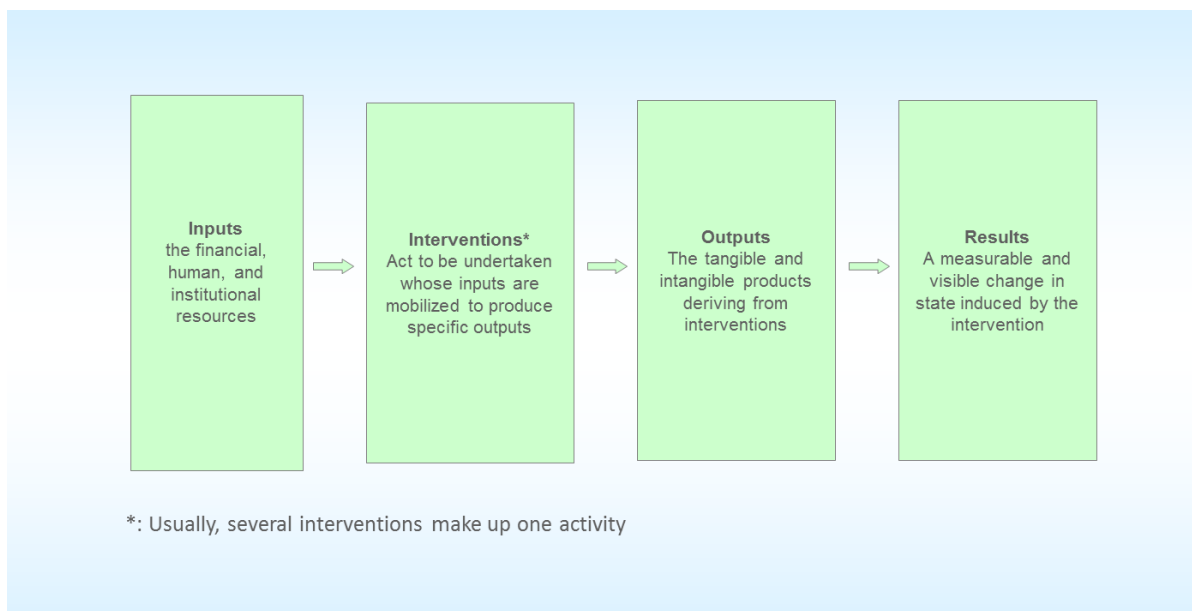
There are a number of risks when defining and using performance indicators. The most frequent are:

- Lack of data source preventing from collecting easily the necessary information in a cost-effective manner;
- Oversimplification and misunderstanding of how development results occur and confusion over accountability for results;
- Overemphasis on results that are easy to quantify at the expense of less tangible, but no less important results;
- Mechanical use of indicators for reporting purposes in ways that fail to feed into strategic thinking and organizational practices.

8) What is the relationship between Inputs, Interventions, Outputs and Results?

Inputs, Interventions, outputs and results are often misunderstood. **Inputs** refer to the resources available encompassing human, financial and institutional resources. **Interventions** describe what we do in order to attain the expected changes. The completion of interventions leads to the production of **outputs**. Hence, an output is the first effect of the intervention which contributes to the attainment of results. It is a tangible or intangible product deriving from the interventions. In general terms outputs can be considered as the new knowledge and skills the Organization builds and disseminates in collaboration with concerned stakeholders. It entails mutual building of capacities of stakeholders directly involved in the development of the new knowledge. To increase the chances of successful development and use of the knowledge, it is crucial to clearly identify the roles and responsibilities of all stakeholders concerned and to obtain their commitment⁶. **Results** are finally the effects of outputs on a group of beneficiaries, that is how the beneficiaries are using the outputs to do something differently which is often what leads to the change in situation – the result. The change in state is the last step of the transformative process.

For example, the implementation of a capacity building workshop in policy formulation (intervention) will lead to trainees with new knowledge, skills and abilities (outputs). The expected result identifies the behavioural change among the trainees leading to an improvement in the performance of, say, the institution they are working in. The latter is the ultimate purpose of the intervention.



The relationship between Inputs, Interventions, Outputs and Results

If we move our focus from what we do to what we want the beneficiaries to do differently as a consequence of the intervention, we may realize that additional types of interventions could be necessary to ensure that the expected results are achieved.

It is important that an activity/project is driven by results and not by interventions.

Defining expected results:

- Is not an exact science;
- Includes a solid understanding of the socio-economic, political and cultural context;
- Is influenced by available resources, the degree of beneficiaries reached and potential risk factors;
- Requires participation of key stakeholders (beneficiaries and partners).

⁶ To be noted, follow-up measures also need to be defined to ensure and favour that once the outputs are produced beneficiary groups actually use them to induce the desired change.

The following examples may help to understand the relationship between interventions, outputs, results and performance indicators, but should not be seen as a generally applicable master copy as every programme/activity/project is different in nature.

Capacity building for sustainable development in the field of water management

Interventions:

- Selection of good practices in the field of water information management.
- Development of Internet-based information systems/web pages and databases and other tools (software, guidelines, databases) to transfer and share water information.
- Organization of Water Information Summits.
- Organization of mission of experts for the provision of technical assistance.

Outputs:

- Good practices for management of water information collected and published.
- Water management software, guidelines, database, etc. available to the institutions concerned.
- Water Information Summits organised and attended by policy makers and representatives of institutions concerned.
- Recommendations for the provision of technical assistance submitted.

Result:

- Relevant institutions have adapted and implemented good practices for water information management.

Performance indicators:

- Number and "importance" of institutions represented at the Water Information Summits.
- "Profile" of representatives participating to the Water Information Summits.
- Number of institutions where there is evidence that good practices are being implemented.
- Access (disaggregated per country) to Internet-based information systems/web pages and databases, etc.
- Number of institutions officially requesting technical assistance for the implementation of good practices.

Contribution to a reconstruction programme for the education system in country X

Interventions:

- Analysing the needs and the local situation.
- Organization of workshops for decision-makers and experts to discuss and select a new education plan.
- Defining an education plan on the basis of the situation analysis.
- Organization of missions for provision of technical assistance.
- Development of teaching and learning material.
- Organization of training workshops for teachers and school personnel.

Outputs:

- Situation analysis report completed and submitted.
- Workshops organized and attended by relevant decision-makers and experts.
- Education plan developed.
- Teachers and school personnel trained.
- Teaching and learning materials delivered.

Results:

- Relevant authorities have adopted the new education plan and teachers and school personnel implement it accordingly.
- Implementation capacities of local counterparts improved.

Performance indicators:

- New education plan adopted
- Percentage of schools in country X where the new education plan is being implemented
- Attendance rates of schools implementing the new education plan

UNESCO Prize for the Promotion of Tolerance

Interventions:

- Selection of jury
- Preparation of brochures and information material.

Interventions:

- Organization of an Information campaign.
- Advertising the prize.
- Development of partnerships for the identification of a list of candidates.
- Organization of the award ceremony.
- Organization of press conferences.
- Follow-up and assessment of media coverage.

Outputs:

- Jury nominated and agreeable to main stakeholders.
- Brochures, leaflets, videos produced and disseminated.
- Information campaign implemented.
- List of candidates completed and agreeable to main stakeholders.
- Prize-winner nominated.
- Press Conference organized and attended by identified journalists.
- Media coverage of the event realized.
- Journalists/media briefed about the concepts of tolerance.

Result:

- Concept of tolerance spread among the general public and institutions in a country/region/globally.

Performance indicator:

- Media coverage of the event realized.

Promotion of the UNESCO Universal Declaration of Cultural Diversity

Interventions:

- Develop guidelines on the application of the Declaration in different fields.
- Inform about the Declaration.
- Organization of workshops on the Declaration for policy-makers and key decision-makers.

Outputs:

- Guidelines on the application of the Declaration in different fields produced.
- Workshops on the Declaration organized and guidelines on the Declaration distributed to persons attending the workshops.

Result:

- Decision-makers put to practice the guidelines on the application of the Declaration in different fields.

Performance indicators:

- "Profile" of persons attending the workshops on the declaration.
- Number of institutions officially requesting technical assistance for the implementation of the guidelines
- Countries where the guidelines have been put to practice (disaggregated by field).

Increasing opportunities for quality basic education for children through community learning centres

Interventions:

- Preliminary discussions with local stakeholders.
- Organization of sensitization seminars for local leaders and community members.
- Selection of training personnel among the local community.
- Adapting training material.
- Training of personnel.
- Producing of information material for local authorities.
- Meetings with local authorities for the replication of such centres.
- Provision of technical assistance to local authorities for replicating such centres in other communities.

Outputs:

- Principle agreement by local authorities and community leaders.
- Feasibility study of community-based learning centre in community X realised.
- Feasibility study of completed and gender analysis produced and disseminated.
- Principle agreement by community leaders.
- Community learning centre proposal completed and submitted to local authorities and community leaders.
- Community learning centre proposal completed and submitted to local stakeholders.
- Appropriate personnel within the community identified.
- Curriculum and training material for community-based learning centres developed.
- Managers and teachers have the necessary skills to implement their tasks.
- Brochures & videos developed and disseminated.
- Local leaders and community members informed and sensitized.

Results:

- Community members use the centres to improve their basic educational skills.
- Steps have been taken by local authorities for replicating this initiative in other communities.

Performance indicators:

- Pilot community learning centre operational on the basis of the curriculum developed.
- Number of community children benefiting from the centre.
- Attendance rates (disaggregated per gender).
- Budget allocated by local authorities for replicating the activity and project in other communities.

Contribution to the reinforcement of relations with Member State X

Intervention:

- Identifying the programme activities or projects which benefit the Member State and prepare a report on these.

Outputs:

- A briefing encompassing all information (political and programmatic) concerning the Member State has been prepared for the Director General.
- A cooperation agreement is signed between UNESCO and the Member State.
- The Director General has made an official visit to the Member State.

Result:

- Funds have been mobilised for Programme Sectors to implement new activities or projects in line with the Member State's priorities.
- The Member State is better integrated in UNESCO's functioning and enabled to partake in the Organization's decision making.

Contributing to the overall delivery of the Administration Sector's mandate

Interventions:

- To provide guidance and direction.
- Organization of meetings to prepare the strategy.

Outputs:

- An integrated strategy across the Sector created.
- Business processes updated.

Results:

- The Administrative Sector delivers in a more efficient and cost-effective manner.
- The strategy of the Administration Sector is applied internally.

Performance indicator:

- N° of audit recommendations implemented.

9) Monitoring

Monitoring can be described as “a continuing function that uses systematic collection of data on specified indicators to provide management and the main stakeholders of an ongoing [...] intervention with indications of the extent of progress and achievement of objectives and progress in the use of allocated funds”⁷.

Monitoring progress towards intended results serves a dual purpose. It informs management of programme implementation both at C/5 and work plan level. It also informs reporting on progress achieved towards the attainment of intended results to concerned stakeholders including the internal management of the Organization.

Monitoring is part of programme management and should therefore not be considered as an additional task serving only reporting purposes. It allows keeping track of progress, to ensure that the implementation is on the right track and to take corrective measure when required. It furthermore facilitates reporting to key stakeholders and management on the progress achieved in a transparent and results-oriented manner in order to inform decision-making and to improve future policy and programme design.

The function of monitoring is to compare the “*planned*” with the “*actual*” situation and make necessary changes when needed. What we are focusing on here is **Results-Based Monitoring**.

The importance of a proper balance between the **Result**, **Reach** and **Resources** in the programme design is highlighted in the previous chapter. These 3 variables are likewise key elements for monitoring the implementation. Thus, during implementation, the responsible officer needs to routinely review relevant and evidence-based data and information about the:

- Outputs produced,
- Results (or part of the results) achieved on the basis of the defined performance indicators and benchmarks,
- Appreciation of stakeholders (beneficiary groups and partners) and fulfilment of planned roles and responsibilities,
- Geographical area covered,
- Use of human and financial resources.

Results-Based Monitoring is relevant both at the activity/project level and at higher levels. Hence, the responsible officer for an MLA or of a Major Programme needs to routinely review if the results achieved at the activity/project level contribute in effect to the achievement of the higher-level results and thereafter to the outcomes thus ensuring the coherence of the results chain.

Involving stakeholders favours ownerships, capacity-building and sustainability of results and as such this involvement must be regular and is particularly relevant when monitoring, by:

- Keeping track of progress via routine review,
- Identifying jointly corrective actions when required and as such ensuring that these are comprehended and agreed upon,
- Ensuring that the expected results or those attained remain relevant when considering operational experience,
- Maintain an effective communication among those concerned favouring engagement, support and actions by the stakeholders as well as identifying emerging issues.

Monitoring is the responsibility of the responsible officer and must be undertaken within the budget foreseen (as a general rule of thumb, about 5% of the resources should be set aside for this purpose).

Key questions to be asked when monitoring:

- Has the result been partly or completely attained? (Achievements, expressed in relation to performance indicators and associated benchmarks and baseline).
- Is the implementation on the right track or do corrective measures need to be taken?

⁷ OECD/DAC RBM Glossary - 2002

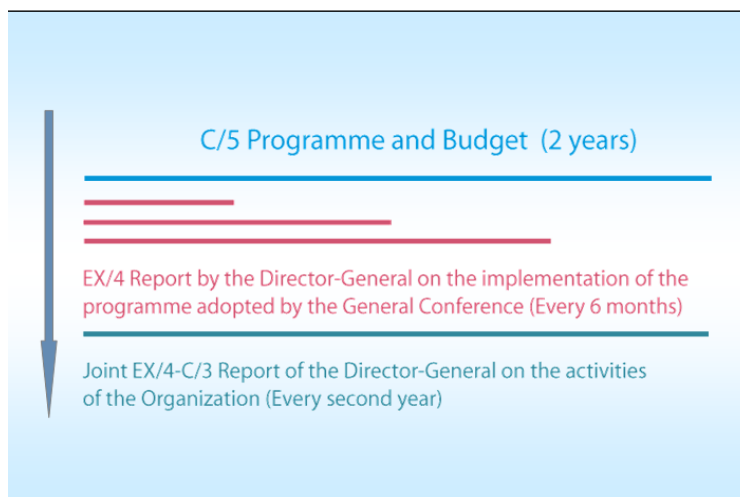
- What are the outputs produced so far? Are they produced as planned and efficiently? In what way, have they favoured the attainment of the result?
- What about the partners? Have any unplanned partners been involved? Are there any partners who have not been involved as planned? Are they involved as foreseen in the implementation?
- What are the challenges or risks encountered during the implementation? In what way did they impact the implementation of the activity? What measures can be undertaken to address or overcome these challenges or risks?
- Are the issues to be addressed the ones actually tackled?
- Who is actually benefiting from the implementation? Do the beneficiaries correspond to the ones planned? Are they involved as foreseen in the implementation?
- Were there any difficulties in collecting data on the performance indicators selected to assess the progress of the result(s) to be attained?
- How much was spent? Does it correspond to the planned estimation? Are more resources needed?
- Are the persons in the team enough to ensure the implementation? Should others be hired?
- Were there any opportunities that facilitated the implementation?
- What are the lessons learnt? How can these be taken into account in the future?
- In what way have the obtained results contributed to the attainment of the higher level/Global Priority Africa/Global Priority Gender Equality/Intersectoral Platform result(s) indicated during programming? Do the results foreseen remain relevant and effective for achieving the higher level results?
- If relevant, is the activity or project part of a common country programming document, as planned?
- If relevant, could the result(s) have been attained more effectively with an alternative delivery approach? (Cost-Effectiveness).
- If relevant, what conditions will be required to achieve or maintain the benefits of the Programme/activity/project beyond the Organization's assistance? (Sustainability).

10) Reporting

The information derived from monitoring informs reporting to key stakeholders on the progress achieved and the lessons learnt in a transparent, accountable and results-oriented manner to inform future policy and programme development and decision-making.

Statutory reports

UNESCO secretariat provides statutory reports to its Governing Bodies every six months on the progress achieved. The progress is measured against the results defined in the Programme and Budget (C/5) document. The **EX/4 “Report by the Director-General on the execution of the programme and budget adopted by the General Conference”** is submitted to the Executive Board. The EX/4 report highlights the salient points on the attainment towards the C/5 expected results. The last of the four EX/4 documents is produced along with the **C/3 “Report of the Director-General on the activities of the Organization”** constituting the joint EX/4-C/3 report. The C/3 report includes in addition to the EX/4, information on the progress achieved against the expected outcomes of the Medium-Term Strategy (C/4). Providing reports on the results achieved to Member States and other stakeholders is a way of accounting for the resources entrusted to the Organization in terms of results attained. It contributes to the development of the succeeding Programme and Budget (C/5) taking into consideration best practises and lessons learnt in order to improve management, policy development and programme delivery. The reports thereby inform decision-making by UNESCO’s Governing Bodies, internal management, national stakeholders and other constituencies.

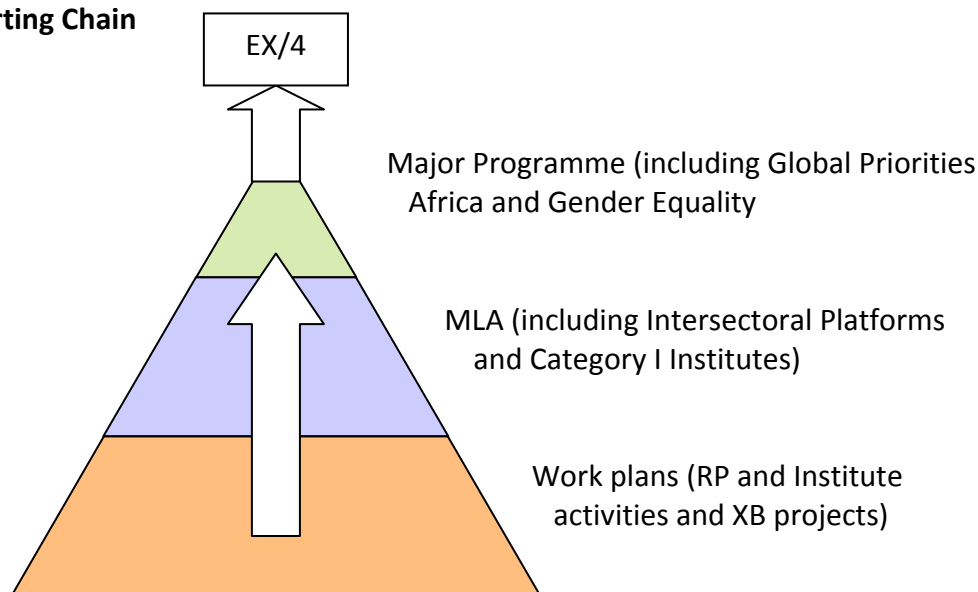


Timeframe for the statutory progress reports

The Reporting chain

Statutory reports are elaborated in line with the principles of the results chain as explained in chapters 5 and 7. The work plans of the Organization contribute to the attainment of the results defined in the Programme and Budget (C/5). In the same manner, the Programme and Budgets are elaborated to respond to the expected outcomes defined in the Medium-Term Strategy (C/4). The reporting is therefore built following a bottom-up approach as illustrated in the below graph. For example, the progress assessment of the various work plans (RP and XB) pertaining to a specific MLA informs the progress assessment against results of the MLA. In the same manner the progress assessments of the MLAs under a specific Programme Sector informs the elaboration of the EX/4 report for the Major Programme. This mechanism ensures that the progress assessment at the strategic policy levels encompasses results achieved at the global, regional and country level and that it reflects the use and impact of both regular budget and extrabudgetary resources.

The Reporting Chain



New format of the EX/4 reports

In line with the recommendations of the 34th General Conference, Member States have urged the Director-General to “continue improving the C/3 and EX/4 reports according to the guidelines in 34 C/Resolution 89, ensuring a more coherent and consistent report and paying special attention to the need for reporting on outcomes and on cost effectiveness and to the need for a functional programme monitoring system to include feed-back from stakeholders regarding the value of UNESCO’s activities”.⁸ To respond to this demand a revised format of the EX/4 report was introduced in 2008 in order to enhance the Results-Based reporting emphasizing a more strategic reporting with focus on achievements, challenges and lessons learnt, sustainability and cost-effectiveness. This report was composed of two separate components i) an online tabular form showing the progress attained against the results defined in the Programme and Budget (C/5) grouped per Main line of Action and Unit and ii) a printed report consisting of brief Strategic Assessments for each of the five Major Programmes and UIS, deriving from the tabular reports and the budgetary management chart prepared by the Bureau of Budget.

Although the quality and results-based accountability was enhanced, this type of reporting also implied a very heavy and costly process for its preparation every six months. Concerns on the cost-effectiveness in relation to the frequency of such process arose. On the basis of the lessons learnt from the two years of experience, the Secretariat made a proposal to the Executive Board in April 2010 to lighten the reporting by presenting comprehensive analytical EX/4 reports at the Executive Board’s spring session and to present more concise EX/4 reports at its autumn sessions. Thus, the detailed results reporting would be elaborated on an annual basis, complemented by a more succinct report at the other sessions to ensure that Member States would still be duly informed of key progress attained on a regular basis. In addition, at its 186th session, the Board requested a more detailed comprehensive on-line report on programme implementation to be made available again in a tabular format in SISTER.

Therefore the new EX/4 document consists of two reports: a printed document distributed to the Board and a more detailed comprehensive online report on the implementation status.⁹ The proposed format of the new reporting is summarized below:

Concise printed report (autumn sessions)

⁸ Decisions adopted by the Executive Board at its 179th session (179 EX/Decisions), Paris, 16 May 2008: page 2

⁹ Please refer to the RBM Monitoring and Reporting guidelines available on the BSP/RBM website at: http://portal.unesco.org/en/ev.php-URL_ID=36931&URL_DO=DO_TOPIC&URL_SECTION=201.html

The concise report will be composed of an overall strategic assessment including progress towards the expected results, major challenges/lessons learned and a brief account of cost-effectiveness/efficiency measures for each of the five Programme Sectors and UIS.

Comprehensive analytical printed report (spring sessions)

The comprehensive report will be composed of an overall strategic assessment including progress towards the expected results, major challenges/lessons learned and a brief account of cost-effectiveness/efficiency measures for each of the five Programme Sectors, UIS, the support Sectors and Corporate services.

The report will be complemented by an addendum containing analytical reports by Directors/Heads of Field Offices. This annual assessment will provide a strategic assessment of the major results achieved, challenges encountered and lessons learnt by country structured around broad sectoral and intersectoral areas including the two global priorities - Gender Equality and (as appropriate) Africa. It will also contain a brief assessment of the office's contribution to the UN Country team's (UNCT) activities and common country programming exercises, including in particular joint programmes and stand-alone UNESCO activities of a strategic and high impact.

Online tabular format: Implementation status for Regular Programme and Extrabudgetary Resources (all sessions)

The online tabular format shall present a review of progress made towards the attainment of each expected result for each Main line of Action/Intersectoral Platform/Chapter/Category 1 Institute and by Programme Sectors for the two Global Priorities of the Organization Africa and Gender Equality. The progress must be assessed using the related performance indicators and associated benchmarks and baselines. Challenges and lessons learned for each 35 C/5 expected results and cost-effectiveness/efficiency measures per MLA/Chapter shall also be provided. The assessments must be based on the contributions of Headquarters, Field offices and UNESCO Category 1 institutes.

This information will be completed at the MLA/Chapter level with budget and financial information regarding both Regular Programme and Extrabudgetary Resources.

This online report will be made available to Member States directly via SISTER and the BSP Internet site.

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Part II – Programmes and programme related services
II.A – Programmes

MAJOR PROGRAMME III- SOCIAL AND HUMAN SCIENCES

Biennial sectoral priority 1: Responding to critical global social challenges and the exigency of building a culture of peace and prompting intercultural dialogue, on the basis of human rights and philosophy

Paragraph 03010 - MLA 1: Promoting human rights within UNESCO's fields of competence, philosophy and philosophical dialogue on emerging social and human issues, as well as intercultural dialogue

Regular budget: Activities (rounded to \$ thousand)		Extrabudgetary resources: (rounded to \$ thousand)	
Allocation: \$ _____	Expenditures: \$ _____	Allocation: \$ _____	Expenditures: \$ _____

35 C/5 Expected Results	Achievement(s) including Challenges/Lessons learned
ER 1: Evidence-based policy recommendations to empower people deprived of their basic human rights formulated and disseminated.	Achievements: Challenges and Lessons learned:
ER 2: Philosophical exchanges reinforced with a view to addressing new challenges to democracy and a culture of peace.	

Cost-effectiveness/efficiency measures for this MLA:
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Example of the online tabular format for a MLA

The purpose of the introduction of the MLA template was to place focus on the progress achieved against the expected results defined in the Programme and Budget (C/5) in terms of achievements, challenges and lessons learnt. The cost-effectiveness/efficiency measures and sustainability need also to be elaborated per MLA/Chapter..

Achievements inform about major programmatic accomplishments. It is an assessment at a given point in time of the result (or part of the result) achieved in light of the performance indicators and the benchmarks. It includes information about the key outputs produced and how these contribute to the attainment of results. **Challenges and lessons learnt** constitute an assessment of success factors and critical difficulties encountered during the implementation which have affected the performance. The purpose is to propose, when feasible, measures to overcome the difficulties encountered and inform about lessons learnt and share considerations on how the Organization can benefit from these in order to improve future programme delivery. **Cost-effectiveness/efficiency** can be described as an assessment of whether interventions and outputs could have been delivered with fewer resources without reducing the quality and quantity of the achievements or whether the same (or greater) results could have been achieved at lower cost by considering alternative delivery approaches. A policy or a programme is effective when it achieves its result at the lowest cost possible, thus ensuring a maximum quality impact for the resources available. The purpose is to inform about the rational and measures taken to ensure the most cost-effective programme implementation and provide considerations on how cost-effectiveness can be improved in future programme implementation. **Sustainability** An activity or project can be described sustainable when the benefits derived from it are maintained over time and beyond the Organization's assistance. Involving beneficiaries and partners in the programme design and implementation favours ownership and represents one modality towards ensuring sustainability. The purpose is to report on the criteria or conditions put in place to assess prospects of the substantive, managerial and financial sustainability of an activity or project. In addition, indications about UNESCO's exit, transition or phasing out strategies can prove useful.

Country reports

In line with the UN reform process and the trend towards common country programming, UNESCO Member States are increasingly asking for information about the results achieved per country. In that regard Member States can extract reports from SISTER on activities or projects benefiting a specific country or region.

The transition towards managing for results is not specific to UNESCO it concerns the entire UN system. UNESCO contributes to inter-agency reviews of its RBM and evaluation approaches, the compatibility of its IT tools (SISTER, FABS and STEPS) with those of other agencies and, to the extent possible, common evaluation approaches. Even though different processes following the RBM approach have been established by different agencies, the principles behind Results-based management remain the same.

Currently terminology differences remain between UNESCO and the Funds and Programmes of the UN system:

UNESCO	United Nations
Interventions	activities
Benchmark	target
1st level or short term result	outputs

To be noted, the term outcomes formulated in the C/4 can be understood in the same way as in the UNDAF as it represents the medium-term result to be achieved within 6 years.

The UNDAF terminology vs. the UNESCO terminology in terms of results could be understood as follows:

UNESCO	United Nations
C/4 outcomes	Medium-term outcomes
C/5 expected results	Short-term outcomes
Work plan expected results	Outputs

11) Evaluation¹⁰

Evaluation is a critical tool for accountable, transparent and effective management – and so its findings will be built into the results chain in order to benefit from lessons learnt. Using both quantitative and qualitative techniques, evaluations are an essential source of data and information for the assessment of organizational performance in managing for and achieving results. In building a culture of evaluation, UNESCO particularly encourages evaluations which contribute to organizational learning and support accountability.

Evaluation is the systematic and objective assessment of an activity, project, programme, strategy, policy, topic, theme, Sector, operational area or institution. As an essential part of the policy development process, evaluation provides timely assessments of the relevance, efficiency, effectiveness, impact and sustainability of activities, projects or programmes. Evaluation is essentially about – *are we doing the right thing, are we doing it right and are there better ways of achieving the results?*

The function of monitoring and evaluation are often misunderstood. The function of evaluation moves beyond the assessment of progress while it seeks to examine whether the subject of the evaluation could be improved in terms of the following criteria:

- **Relevance:** The extent to which the results of an activity, project or programme are consistent with the Organization's programme framework set out in the Medium-Term Strategy and biennial Programme and Budget, beneficiaries' requirements, country needs and global priorities. Retrospectively, the question of relevance often becomes a question as to whether the results of an activity, project or programme or its design are still appropriate given changed circumstances.
- **Efficiency:** A measure of how economically inputs are transformed into results.
- **Effectiveness:** The extent to which the activity, project or programme's results were achieved, or are expected to be achieved, taking into account their relative importance. In this context, *cost-effectiveness* assesses whether the costs of an activity, project or programme can be justified by the results, outcomes and impacts attained. During the programming phase, the purpose is to identify the lowest cost alternative that will achieve intended results. During monitoring and evaluation, the purpose is to analyse and provide an assessment of the effectiveness of the activity, project or programme comparing the result and its cost.
- **Impact:** The primary and secondary, positive and negative, intended and unintended long-term effects of an activity, project or programme.
- **Sustainability:** The continuation of benefits from an activity/project after major assistance has been completed.

Monitoring and evaluation are also different from a management perspective. Monitoring is managed by the responsible officer in line with the principles of delegated authority and accountability. Whereas the evaluation function is structurally independent from the operational management and decision-making function to ensure uninfluenced assessment, to avoid conflict of interests and thereby striving for objective and independent evaluation recommendations. Thus, the two functions have essentially different purposes, methodologies and qualities and should therefore be perceived as complementary.

Through evaluation UNESCO learns from both successful and less successful activities, projects or programmes. This is important to improve activity, project or programme delivery by taking corrective action where necessary but also by ensuring that similar pitfalls are avoided in the future. Lessons learnt and cumulative experience and knowledge from evaluations are translated into improved policy development, decision-making processes, programming, management as well as more efficient programme delivery.

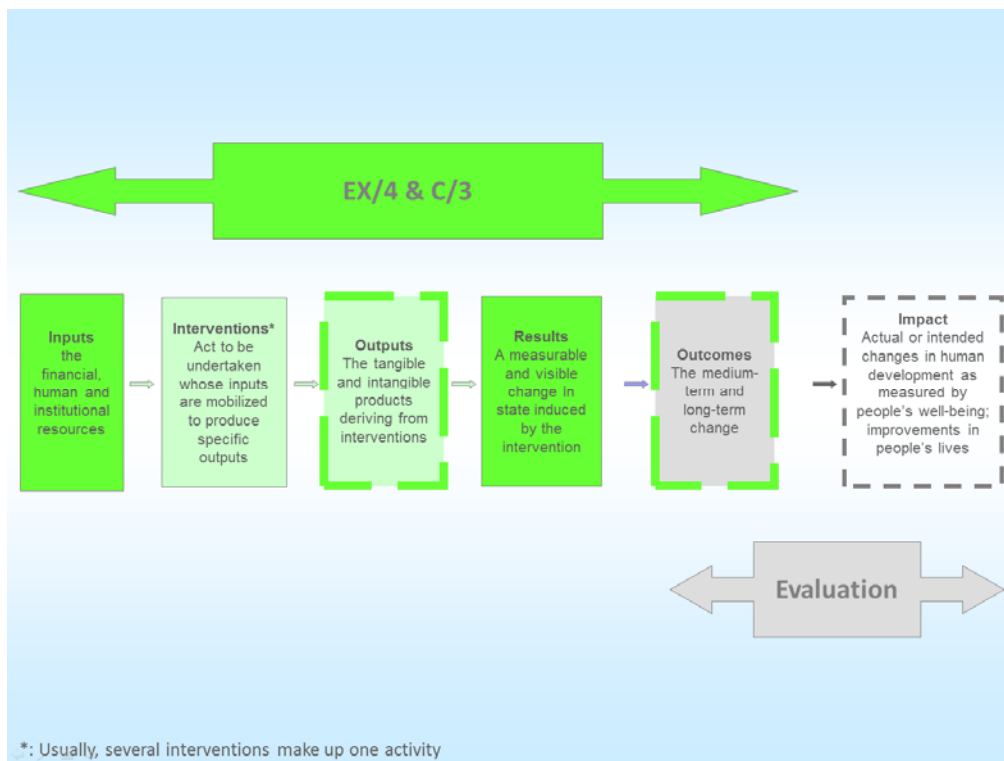
There is no specific timeframe for an evaluation. However, as per the 34 C/4 all fourteen Strategic Programme Objectives (SPOs) will be evaluated within the 6 years time frame of the Medium-Term Strategy. These evaluations are undertaken through a sampling of the regular programme activities and extrabudgetary projects contributing to the SPO being evaluated. Furthermore, some evaluations are programmed in the biennial Programme and Budget (C/5) and additional evaluations may be

¹⁰ This section is based on UNESCO's Evaluation Handbooks (<http://unesdoc.unesco.org/images/0015/001557/155748E.pdf>)

initiated by the Director-General or upon request from the Organization's Governing Bodies. UNESCO's programme delivery is evaluated at the end of the Medium-Term Strategy timeframe by the Organization. This task is undertaken by the Internal Oversight Service (IOS) in order to identify redundant, under-performing or non-priority programmes and to apply sunset clauses or exit/transition strategies where necessary. In line with the official terminology UNESCO refers to 3 types of evaluations:

- **Appraisal or ex ante assessment:** An assessment of a proposed activity, project or programme before a decision is made to implement it. The intention is to define results, identify options to achieve them and their likely impacts and costs, and ensure that later evaluation will be possible. This type of evaluation is very close to the principles of a situation analysis.
- **Mid-term evaluation:** An evaluation performed towards the middle of the period of implementation of the activity, project or programme. The intention is to learn from implementation carried out in order to improve subsequent design and delivery. Mid-term evaluations are a type of formative evaluation in that they are conducted during the implementation phase and are intended to improve performance.
- **Ex-post evaluation:** Evaluation of an activity, project or programme after it has been completed. It may be undertaken directly after or long after completion. The intention is to identify achievements and challenges encountered, to assess the sustainability of results and impacts, and to draw conclusions that may inform subsequent activity, project or programme. If the evaluation is undertaken immediately after implementation has finished, it is called a terminal evaluation. Ex-post evaluations that determine the extent to which anticipated results and outcomes were produced are called summative evaluations.

Evaluation must be undertaken within the budget foreseen (as a general rule of thumb, about 1% of the resources should be set aside for this purpose).



Results-based reporting (EX/4 & C/3) focuses on the inputs and the results achieved and their contribution to the outcomes. Within the timeframe of the Medium-Term Strategy (C/4), all outcomes of the Strategic Programme Objectives and their impact are to be evaluated at least once.

UNESCO RBM Glossary

<p>Definitions (alphabetical order)</p>
<p>Achievements: inform about major programmatic accomplishments. It is an assessment at a given point in time of the result or part of the result achieved in light of the performance indicators and the benchmarks. It includes information about the <u>key</u> outputs produced and how these contribute to the attainment of results.</p>
<p>Activity or project: The third and lowest level in UNESCO's programme structure. It is also referred to as work plans.</p>
<p>Baseline data: Data describing the situation before the implementation of the activity or project, related to each result, at each level. It is the starting point from which progress towards expected results will be measured.</p>
<p>Benchmark: In UNESCO the term "benchmark" is used as an achievable target or a measure to be achieved for a performance indicator over a biennium. It is a reference point or standard to assess performance, ideally accompanied by baseline data describing the situation before the implementation of the activity or project, useful for assessment or comparisons.</p>
<p>Beneficiaries and target groups: Individuals, groups, or organizations that benefit, directly or indirectly, from the intervention. (e.g. Disadvantaged and excluded groups, Most vulnerable segments of society including Indigenous peoples). Direct beneficiaries represent those for which the element is primarily organized. Indirect beneficiaries refer to those who are affected by the element.</p>
<p>Biennial Sectoral Priority: To ensure a seamless transition between the Medium-Term Strategy and the biennial Programme and Budget, the Strategic Programme Objectives of the C/4 are translated into a limited number of Biennial Sectoral Priorities, which determine the programmatic profile for each Major Programme.</p>
<p>C/3: 'Report of the Director General' on the implementation of the (previous) Programme and Budget.</p>
<p>C/4: UNESCO Medium-Term Strategy (six years)</p>
<p>C/5: UNESCO Programme and Budget (two years).</p>
<p>Challenges and lessons learnt: constitute an assessment of success factors and critical difficulties encountered during the implementation which have affected the performance. The purpose is to propose, when feasible, measures to overcome the difficulties encountered and inform about lessons learned and share considerations on how the Organization can benefit from these in order to improve future programme delivery.</p>
<p>Cost-Effectiveness/efficiency: can be described as an assessment of whether interventions and outputs could have been delivered with fewer resources without reducing the quality and quantity of the achievements or whether the same (or greater) results could have been achieved at lower cost by considering alternative delivery approaches. A policy or a programme is effective when it achieves its result at the lowest cost possible, thus ensuring a maximum quality impact for the resources available. The purpose is to inform about the rational and measures taken to ensure the most cost-effective programme implementation and provide considerations on how cost-effectiveness can be improved in future programme implementation..</p>
<p>Evaluation: The systematic and objective assessment of on-going or completed activity/project, programme or policy, in light its design, implementation approach and the achievement of results. It measures and assesses the outcomes and impacts rather than the delivery of outputs. The aim is to determine the relevance and fulfilment of results, efficiency, effectiveness, impact and sustainability.</p>
<p>EX/4 Report: Report by the Director-General on the execution of the Programme and Budget adopted by the General Conference.</p>
<p>Functions (UNESCO's functions in the C/4): The range of functions that UNESCO performs. These are: laboratory of ideas, standard setter, clearing house, capacity-builder in Member States and catalyst for international cooperation.</p>

Implementation strategy: The implementation strategy explains how to move from the current situation to the one described in the expected result (“result statement”). It should be action-oriented specifying the:

- Major issues to be addressed and relevant baseline;
- Rationale of the interventions to be undertaken, the key outputs deriving from them and the expected result(s) to be attained as well as the measures to follow up on them;
- Major beneficiaries and key partners and their expected roles;
- Conclusions of a risk analysis related to the implementation. An uncertain event may impact the performance of the programme delivery either positively or negatively. The measures foreseen to mitigate the negative impact of a threat should be formulated.

For activities that are expected to continue beyond the biennial timeframe, including the long-term result foreseen is recommended in order to provide the overall perspective of the activity. The reinforcement of an activity by an extrabudgetary project can also be specified when appropriate.

It is recalled that beneficiaries and partners should be involved from the planning/programming stage to favour ownership and sustainability of the activity.

Input(s): The financial (regular programme or extrabudgetary resources), human (the staff involved) and institutional resources (material resources available as the existing publications, toolkits etc...)

Intervention(s): Act to be undertaken whose inputs are mobilized to produce specific outputs.

Means of verification: The data sources and methodologies used to measure and analyze performance.

Monitoring: The function of Monitoring is to assess the actual situation compared to the programmed information originally defined and take corrective action when needed.

Overarching Objectives of the C/4 (OO): The Medium-Term Strategy is structured around five Overarching Objectives (OO) denoting areas where UNESCO has a unique profile and competency.

Output(s): The first effect of the interventions which contributes to the attainment of results. It is a tangible or intangible product (new knowledge and skills) deriving from the interventions.

Performance indicator(s): A parameter used to assess and measure the progress related to an expected result or an aspect of it and to identify to what extent beneficiaries/target groups have been reached. The combination of all performance indicators captures the essence of the expected result.

Result: (or “result statement”) describes a concrete, visible and measurable change in state, induced by the activity or project to be undertaken. It expresses the change induced by the implementation of the activity or project. In other words, it should convey how a specific situation is expected to be different from the current situation. For this reason, it should articulate what is to be different rather than what is to be done. In many cases, the expected result relates to the use of outputs by intended beneficiaries.

Results chain: The aggregation of the results at one level should make it possible to achieve the expected result of the higher level. This process constitutes the results chain. At UNESCO, the results chain flows from the expected outcomes of the Medium-Term Strategy, down to the expected results defined in the biennial Programme and Budget to the expected results of the activity/project level, ensuring a seamless passage between the programmatic levels. This link established between the results at different programmatic levels ensures that the Organization focuses its resources on attaining the results defined at the highest levels.

Strategic Programme Objectives of the C/4 (SPO): Fourteen Strategic Programme Objectives (SPO) translate the Overarching Objectives into programme-relevant and thematic terms. Each SPO builds in a linkage between normative and operational tasks.

Sustainability: An activity or project can be described sustainable when the benefits derived from it are maintained over time and beyond the Organization's assistance. Involving beneficiaries and partners in the programme design and implementation favours ownership and is one step which participates in ensuring sustainability. The purpose is to report on the criteria or conditions put in place to assess prospects of the substantive, managerial and financial sustainability of an activity or project. In addition, indications about UNESCO's exit, transition or phasing out strategies can prove useful.

UNESCO Country Programming Document (UCPD): It is designed to capture in a single document UNESCO's activities/projects in a particular country, in a succinct and results-oriented comprehensive manner, whether funded from regular or extrabudgetary resources. The document is composed of a concise overview of pertinent developments relevant to UNESCO's areas of competence for a given country (situation analysis) as well as a succinct results-based description of all UNESCO's ongoing, recent and past support and activities/projects including cooperation with other United Nations partners and external donors.