Results-Based Management (RBM)
Managing and Accounting for Results

UNESCO United Nations Educational, Scientific and Cultural Organization

Guidelines for the formulation of 36 C/5 (2012-2013 biennium) levels (Major Programme to Main Line of Actions)

These guidelines are designed to assist responsible officers in formulating the information for the 36 C/5 (2012-2013) levels: Major Programme to Main Line of Action elements (levels 1 to 3) as well as for the Grouping element (level 4). Clarifications and specific examples are provided for the information requested in the template.

Bureau of Strategic Planning

The main direction to be followed by the Organization is stipulated in the programmatic documents: the Medium-Term Strategy and the Programme and Budget.

The Medium-Tem Strategy (C/4) presents the strategic vision and programmatic framework for UNESCO's action over six years in all its fields of competence. The roadmap laid out in this document is translated into three consecutive Programme and Budgets (C/5), which highlight the action to be fulfilled by the Organization for two years at the global and country level for the Direction, the Programmes and Programme-Related Services, the Support for Programme Execution and the Administration.

These guidelines are designed to assist responsible officers in completing in SISTER the information required at the Programme and Budget (36 C/5) levels. The 36 C/5, adopted at the 36th session of the General Conference, is aligned with the broader strategic and global priorities and objectives set out in the Medium-Term Strategy (34 C/4). SISTER not only encompasses the 36 C/5 information but also offers additional programming information such as performance indicators and associated benchmarks for each of the Expected results regarding the Global Priorities.

These guidelines also refer to the information required at the Grouping level (level 4), an intermediary level between the Biennial Programme and Budget and the operational level: Regular Programme Activities and Extrabudgetary Projects. It is an administrative level which is used to manage and group work plans according to Sectors specificities. Some Sectors group their work plans by region whereas others group them by thematic areas, C/5 expected results or according to the organizational structure. A new feature has been introduced in the 36 C/5 allowing to have two levels of Groupings. If a Sector decides to use this feature, the first level Grouping will correspond to a specific 36 C/5 Expected Result of the MLA to which it is associated. The second Grouping level (i.e. Regional/Thematic sub-Grouping) will enable the classification of these work plans by region or theme. Hence, work plans will de facto be grouped by C/5 Expected Result and sub-grouped by region or theme.

The different levels detailed in these guidelines correspond to Programme-related elements that is, the Major Programme (MP), the Biennial Sectoral Priority (BSP), the Main Line of Action (MLA), the Intersectoral Platform (IP) and the Grouping.

To be noted, for each of these levels, an equivalent is utilized for None-Programme related elements these are known as Office 1, Office 2, Office 3 and Office 4 (please refer to the table below).

Programme-related elements:	None-Programme related elements:
Major Programme	Office 1
Biennial Sectoral Priority/Institute 2	Office 2
Main Line of Action/Institute 3	Office 3
Grouping	Office 4

Note: Information relating to many of the fields mentioned below can be selected through drop-down menus.

To complete the template, responsible officers should access the following intranet address: http://sister.unesco.org. Should you require additional information and guidance, please contact SISTER@unesco.org.

1. Title:
The title of the Major Programme, Biennial Sectoral Priority or Main Line of Action levels should correspond to the ones defined in the Biennial Programme and Budget for 2012-2013. The title should set out the purpose and main thrust (topic/theme) in a **short** and action oriented manner, thereby providing its overall scope

2. Responsible Officer (Last name, first name)**:**
The responsible officer is the person accountable for the programming and implementation of the programmatic levels.
 Assistant (Last name, first name)**:**
The person selected will be able to enter the information on behalf of the responsible officer. This role does not entail a responsibility unlike the deputy.
Note: the officer designated "assistant" of the responsible officer cannot carry out actions in relation to the validation cycle (i.e. request validation, validate or invalidate).

3. Deputy (Last name, first name)**:**
The deputy seconds the responsible officer and acts as officer-in-charge in the absence of the responsible officer. Note: this person can be someone hierarchically above the responsible officer.

4. Implementing Field Office or HQ Division:
Select from the drop-down menu the Field Office or HQ Division responsible for implementing the concerned programmatic level (corresponding to the 3-letter acronym of this entity).
 Associated Field Office(s), Institute(s) or HQ Division(s) (as appropriate):
If another Field Office, Institute or HQ division is involved in the implementation, you may select the entity concerned from the drop-down list. This field highlights the collaboration between different UNESCO entities.

5. Overall presentation:
For the Programme Sectors, the overall presentation gives an overview of the global situation in each of UNESCO's areas of competence, underlining the challenges faced and the main priorities proposed to respond to them. It also includes the contribution of the Category 1 Centres and Institutes to this effort, as an essential instrument for implementation. It shows how the programmes build on the results achieved during the previous biennium and on the key programme priorities. It highlights the fundamental pillar of each Major Programme.
For programme-related and Support Sectors, the overall presentation indicates the main responsibilities, the actions to be taken and the domains in which a sustained effort is needed.

At the Biennial Sectoral Priority level, the overall presentation introduces the strategy of the priorities for each Major Programme.
It describes the structure of the Main Line of Action in order to emphasize its contribution to the Overarching Objectives of the Medium-Term Strategy.
At the Grouping level, the overall presentation focuses on the strategy adopted to manage Regular Programme Activities and Extrabudgetary Projects (level 5 elements).

6. Contribution to Overarching Objectives of C/4 and Expected Outcome(s):
In the Medium-Term Strategy, five Overarching Objectives (OO) have been defined to respond to the most important global challenges in UNESCO's field of competence and delineate areas for which UNESCO has a unique profile. For each of the 5 OOs, Expected Outcomes have been defined.
To respect the results chain between the Medium-Term Strategy and the biennial Programme and Budget, should be specified by the responsible officer at the Major Programme its contribution to the Overarching Objective(s) of the Medium-Term Strategy.

7. Contribution to Strategic Programme Objectives of C/4 and Expected Outcome(s):

In the Medium-Term Strategy, Strategic Programme Objectives (SPO) concretize the Overarching Objectives in programme-relevant and thematic terms; that combine both sectoral and intersectoral responses. For each of the 14 SPOs, Expected Outcomes have been defined.

To respect the results chain between the Medium-Term Strategy and the biennial Programme and Budget, should be specified by the responsible officer at the Major Programme and the Main Line of Action, their contribution to the Strategic Programme Objective(s) of the Medium-Term Strategy.

8. Global Priority Africa:

Priority Africa is one of two global priorities to which the Organization is committed. Each Programme Sector addresses this global priority by emphasizing specific programmes, and the main actions to be undertaken.

In the C/5, for each Programme Sector, expected results have been specified for this global priority. At the Major Programme, additional information such as performance indicators and related benchmarks are formulated emphasizing particular aspects and facilitating progress assessment during implementation.

9. Global Priority Gender Equality:

Priority Gender Equality is one of two global priorities to which the Organization is committed. In line with the Gender Equality Action Plan for 2008-2013, each Programme Sector needs to identify the strategy to mainstream the Gender perspective and approach in all its programmes.

At the Major Programme, expected results have been specified in the Biennial Programme and Budget for this global priority. Additional information such as performance indicators and related benchmarks are formulated emphasizing particular aspects and facilitating progress assessment during implementation.

10. International policy frameworks:

The international policy frameworks address initiatives undertaken by the United Nations such as Internationally Agreed Development Goals (IADGs), including the Millennium Development Goals (MDGs), international conferences, conventions and UN Decades or Years. It is important to identify how UNESCO is in line with, follows-up to, marks or contributes to the implementation of such international priorities. For the internationally agreed development goals and commitments, you may refer to the list provided for each Major Programme in the C/5.

The contribution to the International Policy Framework is to be specified at the Main Line of Action level. The information will automatically be displayed at the Major Programme in order to give a comprehensive overview across the Major Programme.

11. Relevant UNESCO Strategies or policy frameworks:

Each Programme Sector has developed its own specificities through the formulation of strategies or policy frameworks.

Specify at the Main Line of Action the UNESCO strategies or policy frameworks with which the element will be in line. The information will automatically be displayed at the Major Programme in order to give a comprehensive overview across the Major Programme

12. This Biennial Sectoral Priority/Institute 2/Office 2 will contribute to the following Major Programme/Office 1:

Specify to which Major Programme (or Office 1), the Biennial Sectoral Priority (or level 2) or Main Line of Action is linked.

13. This MLA/IP/Institute 3/Office 3 will contribute to the following Major Programme/Office 1 and Biennial Sectoral Priority/Office 2/Institute 2:

The Biennial Sectoral Priority (BSP) defines the profile of each Major Programme and is structured around Main Line of Actions, emphasizing the linkage between the Medium-Tem Strategy and the biennial Programme and Budget.

At the Main Line of Action, Intersectoral Platforms or Office 3, you may select the concerned Major Programme and BSP to emphasize the contribution of lower elements to higher results.

14. This Grouping/Office 4 will contribute to the following Major Programme/Office 1 and Main Line of Action/Office 3/Institute 3:

Every Major Programme is composed of several Main Line of Actions.

At the Grouping or Office 4 level, you may select the concerned Major Programme/Office 1 and Main Line of Action/Office 3/Institute 3 to emphasize the contribution of lower elements to higher results.

To be noted, if the new two-level Grouping feature (i.e. a MLA expected result Grouping and a Regional/Thematic sub-Grouping) is used by a Sector, the responsible officer of the Regional/Thematic sub-Grouping will also need to select the first level grouping (i.e. a MLA expected result Grouping) to which it will be attached.

15. This Grouping/Office 4 will contribute to the following MLA expected result(s):

Once the relevant MLA has been identified, select the MLA expected result(s) to which the Grouping contributes (e.g. "MLA 2, expected result 7: Member States assisted in engineering capacity-building and innovation as well as the development of relevant policies"). This ensures a cascading results chain from the policy (36 C/5) to the operational level (work plan). As such, it ensures that Groupings relate and contribute directly to the expected results approved by the General Conference and will facilitate reporting. This link established between the results at different programme levels ensures that the Organization focuses its resources on attaining the results defined at the highest levels.

Note: if the new two-level Grouping feature (i.e. a MLA expected result Grouping and a Regional/Thematic sub-Grouping) is used by a Sector, the MLA expected result to which the Groupings contribute will automatically appear in this section and will not be modifiable.

16. Implementation Strategy:

At the Main Line of Action, the implementation strategy represents the plan of action of Programme Sectors. It explains how the Sector intends to respond to the main aims of each MLA and presents the themes that require firm action in specific areas. It sharpens the programmatic focus for each thematic area, articulates the actions to be undertaken in order to respond to challenges identified. It shows how the Organization will be building on previous achievements, as a continuity of its work. It reflects the way the Programme Sector exploits its partnerships, including through the South-South and North-South-South cooperation.

For Category 1 institutes, the implementation strategy highlights the institute's action and the way it contributes to the achievement of the MLAs of the Programme Sectors.

At the Grouping level, the Implementation Strategy specifies how the Sector intends to respond to the main aims of the upper-level MLA that are relevant for this particular Grouping.

Note: if the new two-level Grouping feature (i.e. a MLA expected result Grouping and a Regional/Thematic sub-Grouping) is used by a Sector, the Implementation Strategy of the expected result Grouping should specify how the Sector intends to achieve this expected result, and the Implementation Strategy of the Regional/thematic sub-Grouping should describe the specificities for this region or theme in contributing to the attainment of this expected result.

In other words, an implementation strategy should be action-oriented specifying the:
- Major challenges to be addressed deriving from the current context and relevant baseline;
- Areas where UNESCO's intervention is needed with particular emphasis on the modalities of implementation required to respond to these areas;
- Rationale with the underlying assumptions and causal sequence of the interventions to be undertaken, the expected result(s) to be attained as well as the long-term result foreseen beyond the biennial timeframe providing the overall perspective;
- Contribution to the attainment of OO and SPO Expected Outcomes and international policy frameworks;
- Major beneficiaries and key partners involved and their expected roles;
- Key risks which could jeopardize the implementation along with the measures foreseen to mitigate the negative aspects of these risks;
- Exit or transition strategy is a statement indicating the way you intend to gradually phase out external support and have national partners take over; and the way you will change the modality of implementation. Once the foundations of the programme are established, the sustainability is driven by other players. UNESCO needs to ensure the smooth hand over of the programme, by ensuring the relevant skills transfer to (national) partners, or by building capacity to manage the programme for example.

17. Expected result(s):

Expected Result N° 1: The expected result (or "result statement") describes a concrete, visible and measurable change in state, induced by the intervention(s) to be undertaken. It expresses the change induced by the implementation of the Main Line of Action. 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.

Formulation of results should follow the "SMART" criteria ('Specific, Measurable, Achievable, Relevant and Time-bound'). Results are often formulated in the past tense, as they describe the end situation expected after the interventions have taken place.

Example:
1) Good quality comprehensive HIV and sexuality education delivered by Member States, promoting healthy lifestyles, gender equality and human rights.
2) Policies or strategies that support social inclusion, with particular reference to anti-discrimination, adopted by municipal authorities.
3) Indigenous women's movement and faith-based organizations engaged in reconciliation and peace building initiatives.

N°	Performance indicator(s) (a maximum of three):	Means of verification (data source) (Optional):	Programmed benchmark (on the basis of baseline data if available*[1]):
	Performance indicators provide indications of the change. They are used to measure progress related to an expected result or an aspect of it. There is a tendency to formulate process indicators referring to the different steps of the implementation (e.g. "Number of people and institutions trained" or "Number of countries benefiting from targeted technical assistance in curriculum design, development and reform"). It is better to define indicators of change rather than of process, referring to what you want the beneficiaries to do differently after the intervention (e.g. "Number of countries where HIV education is part of the curriculum in primary schools, secondary schools and teacher training" or "% of institutions which have adapted their material").	The data sources and methodologies used to measure and analyze performance (e.g. "Policy adopted reflecting the gender sensitive recommendations" or "Report summarizing the conclusion of a survey"). This field is optional.	UNESCO defines the term *benchmark* as a target associated to a performance indicator. The benchmark is ideally accompanied by baseline data describing the situation before the implementation. Baseline data is the starting point from which progress towards expected results will be measured, while the benchmark is the target expected to be achieved by the end of the biennium (e.g. "50% of Institutions (Baseline: 10%)").

*[1] The baseline is to be indicated next to the benchmark in brackets.

18. Budget synthesis (US$):
The budgetary figures reflect the total allocation and yearly allotments provided for the Direction, the Programmes and Programme-Related Services, the Support for Programme Execution and the Administration. These are broken down by Main Line of Actions. The amount appearing corresponds to the sum of all work plans under the respective level, broken down by regular programme and extrabudgetary resources.