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

Results-Based Programming, Management, Monitoring and Reporting (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, management, monitoring, 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 organizations' community has been working to deliver services and programmes, 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 and in the Busan Partnership for Effective Development Cooperation in 2011 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 programmes, activities and projects, by establishing performance indicators and associated baselines as well as quantitative and/or qualitative targets to monitor and assess progress towards achieving the outputs and 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).

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[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 programmes, activities and projects. It derives its name from the logical linkages set out by the planners to connect a programme, 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 complex 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 (37 C/4), which designates the RBM approach as essential for a culture of accountability expressed in terms of expected results and impacts. The reform is aimed at shifting the focus from programmes, activities and projects 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.

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[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 Workplans 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 1 Institutes and upon request to Permanent Delegations and National Commissions. Advanced training and RBM for Managers workshops provided to improve results-based monitoring and reporting.
2013	Introduction of Results Frameworks for 37 C/5 Expected Results and associated Workplans.

UNESCO's management systems

To support the Organization's transition to Results-Based Management, 3 major online tools, SISTER, FABS and STEPS (MyTalent) have been developed in line with the principles of transparency and accountability. **SISTER** - *System of Information on Strategies, Tasks and the Evaluation of Results* – is the Organization's knowledge management and decision-making IT-based management tool, which follows and supports RBM and RBB approaches. It covers the preparation (that is programming, budgeting) of the Programme and Budget

(C/5), of the Workplans and their implementation (that is management, monitoring, reporting and evaluation). The system manages the programming of the Workplans 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 (MyTalent)** - *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.
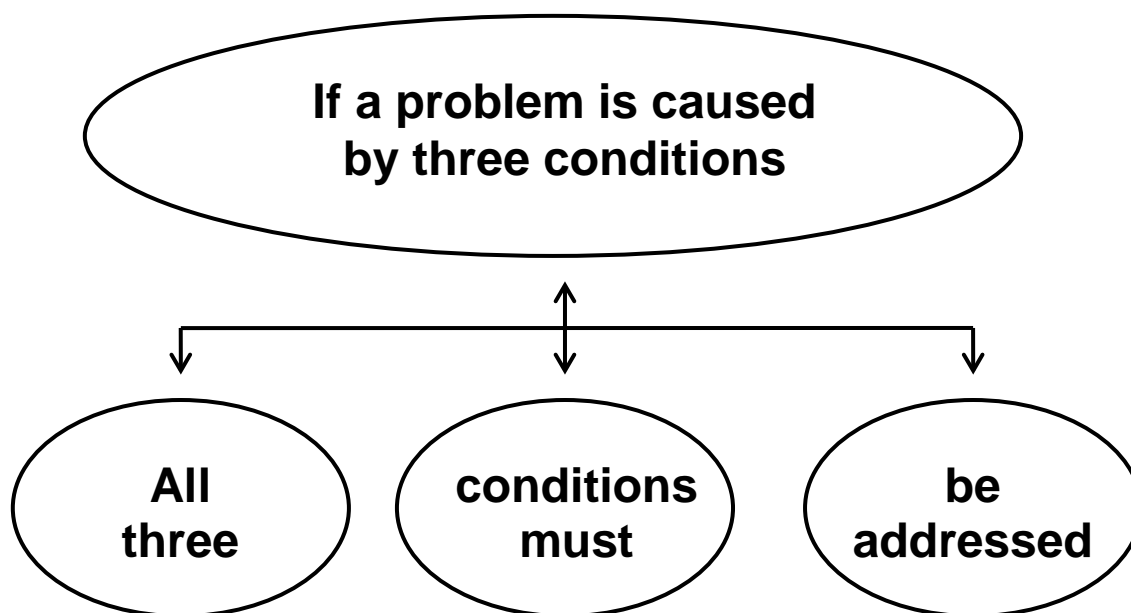
3) What is RBM?

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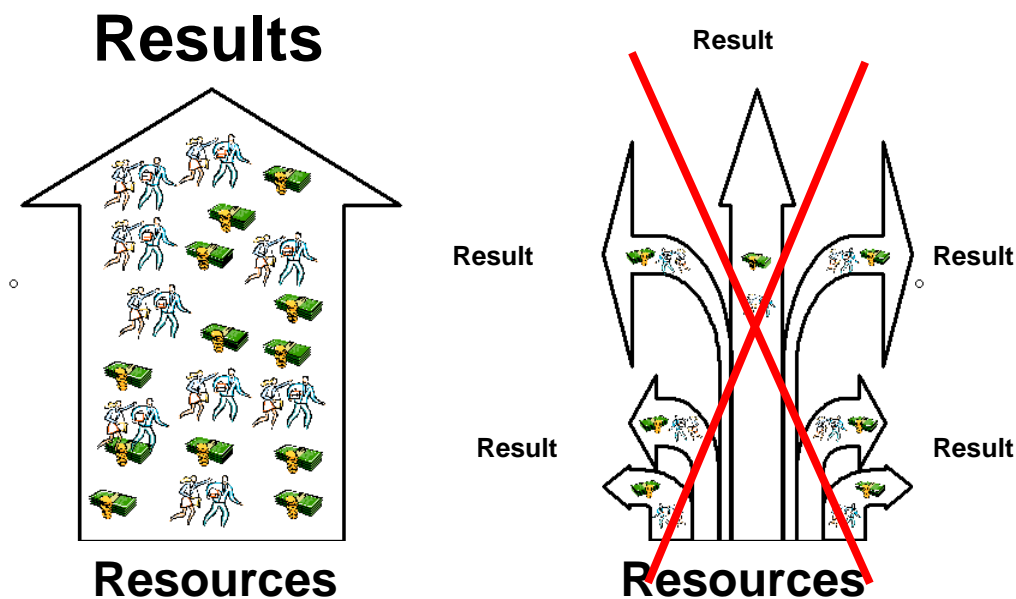
RBM is a participatory and team-based management approach to programme planning that focuses on **performance** and achieving **results** and **impacts**. It is designed to improve programme delivery and strengthen management **effectiveness**, **efficiency** and **accountability**.

RBM helps moving the focus of programming, managing and decision-making from inputs and processes to the results to be achieved. 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

Results

Result

Result   Result

Result   Result

Resources

Resources

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 requested to define expected results for its own work, which in an aggregative manner contributes to the achievement of the overall or high-level expected results 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 objective are being forgotten. This problem is pervasive in many organizations: programme, activity, project managers frequently describe the expected results of their programme, activity, project 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 direct 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 and impact 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 programmes, activities, 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:*
  At UNESCO, the Results Chain flows from the expected Strategic Objectives of the Medium-Term Strategy (C/4), down to the expected results defined in the Programme and Budget (C/5) to the expected results of the quadrennial Workplans (regular programme and extrabudgetary), ensuring a seamless passage between the programme levels. Each programme level has to be linked to the next one, indicating

"why/how" the expected results of the lower-level contribute to the attainment of the higher-level expected results thus forming a Chain of results, based on the principles of alignment and aggregation. In other words, the achievement of one result is necessary for and contributes to the achievement of the result at the level above, via a causal connection. This link established between the expected results at different programme levels ensures that the Organization focuses its resources on attaining the expected results defined at the highest levels approved by the General Conference.

- *"SMART" Results*:

    Results are changes in a state or condition that derive from a cause-and-effect relationship. They can be intended or unintended, positive and/or negative. An expected result is the "raison d'être" of a programme, activity, project. It expresses the "desired" change which is expected to be induced by the implementation of programmes, activities or projects carried out in the context of the Programme and Budget (C/5 document). 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. It often relates to the use of outputs by intended direct beneficiaries and is therefore not under the full control of an implementation team. Performance in achieving results will be measured by both quantitative and qualitative indicators.

    Results are to be "SMART" (i.e. Specific, Measurable, Achievable, 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 expected results to the essential and realistic change expected.

    - **Specific:** It has to be exact, distinct and clearly stated. Vague language or generalities are not expected results. It should express the nature of expected changes, the direct beneficiaries, the region, etc. It should be as detailed as possible without being wordy.

    - **Measurable:** It has to be measurable in some way, involving quantitative and/or qualitative characteristics.

    - **Achievable:** It has to be realistic with the financial, human and institutional resources available.

    - **Relevant:** It has to contribute to the attainment of the higher-level expected result(s) 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 Intervention logic (or Transformative process)*:

    Inputs ☞ Interventions ☞ Outputs ☞ Results.

    A framework of causal relationships linking inputs to outputs, results and eventually impacts. It is a tool that facilitates the process of making sense of how a programme, activity, project works and is intended to lead to change. The expected result is the last step of the intervention logic, where inputs (financial, human, material, technological and information resources) are used to undertake interventions (actions taken or work performed) leading to outputs which contribute to a desired change in state or condition – the expected result.

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 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 quadrennial Workplans (Regular Programme and extrabudgetary).

A) UNESCO'S Medium-Term Strategy – C/4 (8 years)

The Medium-Term Strategy is the overarching planning document of UNESCO. It is an 8-year rolling document determining the corporate strategy of the Organization that can be revised by the General Conference, if so required. The 37 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 – pursuant to its Constitution – contributes to the building of peace, the eradication of poverty, and 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.

UNESCO's operational strategy for Priority Africa sets out a forward-looking vision for the continent, by paying attention to trends and to the germs of change that will influence its development in the decade ahead. 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 focusing on women's and men's social, political and economic empowerment as well as transforming norms of masculinity and femininity; and mainstreaming gender equality considerations in its policies, programmes and initiatives. UNESCO's second Priority Gender Equality Action Plan for 2014-2021 (GEAP II), provides a roadmap to translate the Organization's commitment into specific actions and outcomes for each Programme by adopting a concerted and systematic gender equality perspective.

During the 37 C/4 period, the Organization focuses on its core competencies to contribute:

- To an accelerated achievement of the Internationally Agreed Development Goals (IADGs), including the Millennium Development Goals (MDGs) by 2015;
- Towards shaping the post-2015 development agenda;
- To the achievement of the Sustainable Development Goals (SDGs).

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 two programme-driven Overarching Objectives of relevance for the entire Organization designed to respond to specific global challenges, representing core competencies of UNESCO in the multilateral system:

- Peace – Contributing to lasting peace;

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[3] UNESCO 2014, 37 C/4 Medium-Term Strategy 2014-2021: page 13.

- Equitable and sustainable development – Contributing to sustainable development and the eradication of poverty.

These Overarching Objectives respond to the most important global challenges in UNESCO's field of competence and delineate areas for which UNESCO has a unique profile and competency in the multilateral system, indeed areas where, internationally, the Organization enjoys a comparative advantage. A limited number of Strategic Objectives – 9 for the entire Programme - then translate the Overarching Objectives in programme-relevant and thematic terms, combining both intra and intersectoral responses to the identified global challenges. Each Strategic Objective builds in a linkage between normative and operational tasks. 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.

B) UNESCO'S Programme and Budget – C/5 (four-year Programme; 2 Regular Programme biennial Budgets**)**

The strategic orientations laid out in the Medium-Term Strategy document is translated into two consecutive Programme and Budget documents (C/5), each covering a four-year cycle, while the budget allocation to the programmes is appropriated biennially. C/5 documents are designed to cast UNESCO's action in response to the Overarching and Strategic Objectives identified in the Medium-Term Strategy document, and form the basis for a limited set of Main lines of Action (MLAs) for each Major Programme, thereby ensuring a seamless transition between UNESCO's medium-term and quadrennial programme priorities and guaranteeing alignment between specific programmes, activities or projects and medium-term objectives. Main lines of Action (MLAs) 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.

There are three programme levels at UNESCO:

Level 1:   Major Programme (MP)
Level 2:   C/5 expected result
Level 3:   Workplan (WP): Regular Programme/Extrabudgetary

Intersectorality and interdisciplinarity are given special emphasis in UNESCO's programme. 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 specific reference to Internationally Agreed Development Goals (IADGs), including the MDGs and SDGs, to the contribution to the Post-2015 UN Development agenda and to the main strategic approaches to be pursued for the attainment of the Strategic 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 and progressively Result-Based Budgeting (RBB). For each C/5 expected result is provided the strategy to be pursued for its attainment. Furthermore, at this programme level, performance indicators and associated baseline as well as quantitative

and/or qualitative targets are set. In its programme execution, UNESCO will continue to follow the "SMART" approach (i.e. Specific, Measurable, Achievable, Relevant and Time-bound) for the development of expected results. This approach will be further developed in chapter 7.

Main line of action 2: Supporting and promoting the diversity of cultural expressions, the safeguarding of the intangible cultural heritage, and the development of cultural and creative industries
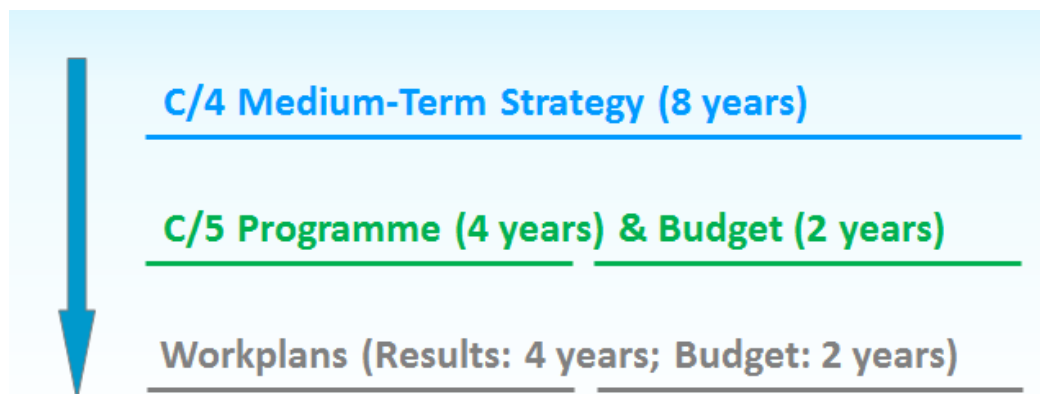
Expected result 5: National capacities strengthened and utilized to safeguard the intangible cultural heritage, including indigenous and endangered languages, through the effective implementation of the 2003 Convention

Performance indicators	Targets 2014-2017 (Expenditure Plans)
1. Governing bodies of the 2003 Convention exercise sound governance thanks to effective organization of their statutory meetings	- Decisions taken providing strategic guidance and/or financial support for the implementation of the Convention - 200 safeguarding plans for intangible cultural heritage, including indigenous and endangered languages, developed and/or implemented by Member States - 60 international assistance requests submitted and 10 effectively implemented by Member States, 130 nominations submitted by Member States and processed, out of which one best safeguarding practice promoted and disseminated
2. Number of supported Member States utilizing strengthened human and institutional resources for intangible cultural heritage and integrating ICH into national policies	- Policies developed or revised in 30 States and human and institutional resources strengthened in 55 States - 2 regions pilot the integrated heritage education programme developed in collaboration with ERs 1, 2, 3 and 4 (extrabudgetary) - 15% of UNESCO-trained female cultural professionals contributing to national-level decision-making processes in the field of culture
3. Number of periodic reports on the implementation of the Convention at the national levels submitted by States Parties and examined by Committee, and number addressing gender issues and describing policies promoting equal access to and participation in cultural life	- 105 reports, of which 50 address gender issues
4. Number of States Parties to the Convention increased	- 15 new States Parties of which 4 from Africa
5. Number of organizations within and outside the United Nations system, civil society, and the private sector contributing to programme delivery	- 30 NGOs accredited - 40 NGOs renewed - At least 7 category 2 centres fully contributing to supporting UNESCO's programme for effective implementation of the 2003 Convention

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

C) Workplans

At UNESCO the term "Workplan" refers to the Organization's Regular Programme activities and Extrabudgetary projects. The expected results of the C/5 document (level 2), are translated into Workplans (level 3) outlining the operational Regular Programme activities and extrabudgetary projects to be undertaken.

C/4 Medium-Term Strategy (8 years)

C/5 Programme (4 years) & Budget (2 years)

Workplans (Results: 4 years; Budget: 2 years)

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

5) UNESCO's Results Chain

The Results Chain ensures the linkages between the expected results at different programme levels. Each programme level has to be linked to the next one, indicating "why/how" the expected results of the lower-level contribute to the attainment of the higher-level expected results thus forming a chain of results. Therefore, each and every programme, activity, project 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 expected results vary at different programme levels. Expected results are defined for each Main line of Action/Chapter in the Programme and Budget and for the Workplans. The expected results are to be achieved within the quadrennial timeframe.
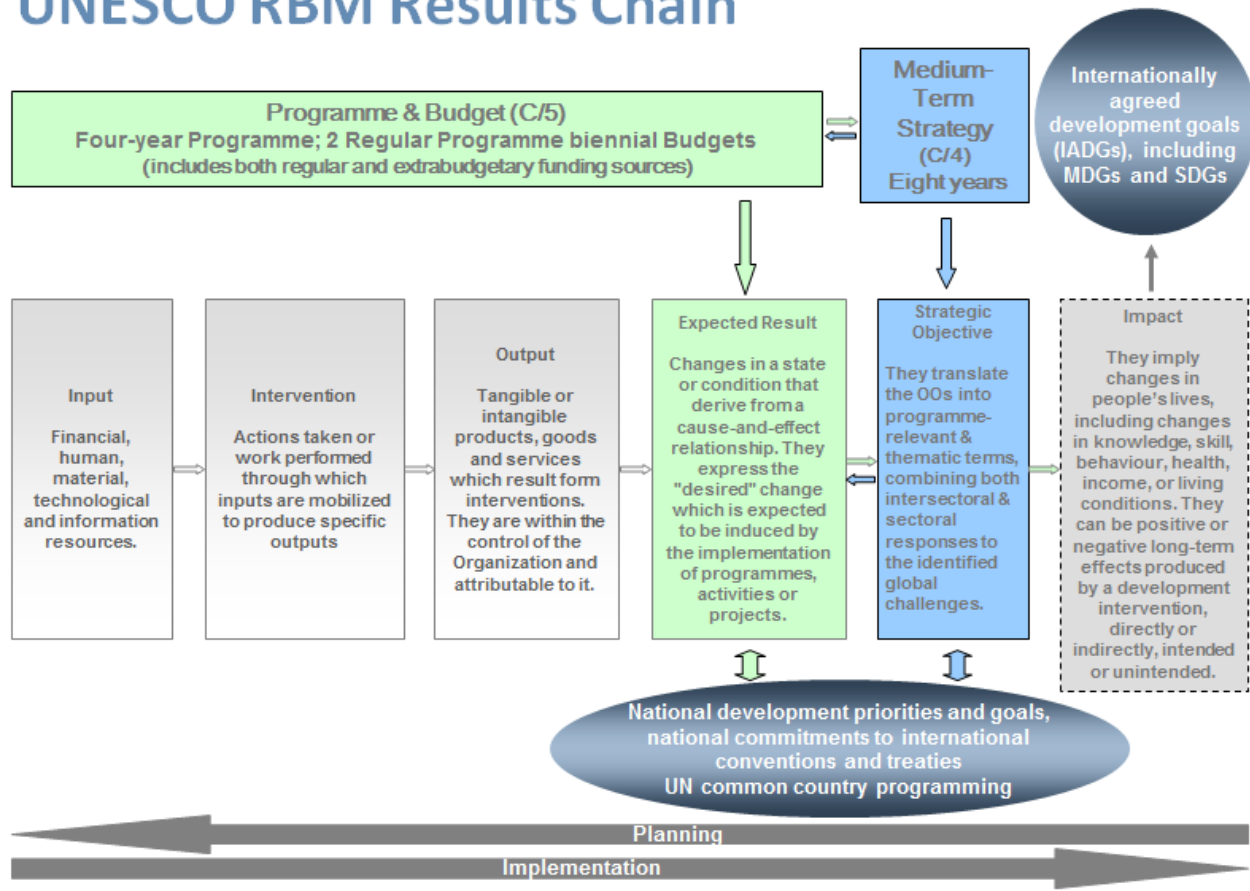
At all levels an expected result should express a change, not the process itself. The relationship between two expected results at different levels should be causal, that is, the achievement of one expected result is necessary for and contributes to the achievement of the expected result at the level above. The causal connection between two expected results should be direct. It should not be necessary to infer additional intermediate expected results to understand the linkage between two expected results. Similarly, it should not be necessary to accept many or broad assumptions to move from a "lower" to a "higher" expected result.

The relationship between expected results should not be categorical or definitional; that is, lower-level expected results should not merely describe component parts of a related higher-level expected result.
For example: if we consider the expected result "Biodiversity in critical ecosystems increased", a categorical relationship could be the one between the two expected results statements – "Biodiversity in marine ecosystems increased" and "Biodiversity in forest ecosystems increased". An expected 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, outputs and associated information defined at the level above and "plug-in" adequately to fully contribute through its own achievements to the broader expected result and outputs.

UNESCO RBM Results Chain

| Programme & Budget (C/5) Four-year Programme; 2 Regular Programme biennial Budgets (includes both regular and extrabudgetary funding sources) | Medium-Term Strategy (C/4) Eight years | Internationally agreed development goals (IADGs), including MDGs and SDGs |

Input	Intervention	Output	Expected Result	Strategic Objective	Impact
Financial, human, material, technological and information resources.	Actions taken or work performed through which inputs are mobilized to produce specific outputs	Tangible or intangible products, goods and services which result form interventions. They are within the control of the Organization and attributable to it.	Changes in a state or condition that derive from a cause-and-effect relationship. They express the "desired" change which is expected to be induced by the implementation of programmes, activities or projects.	They translate the OOs into programme-relevant & thematic terms, combining both intersectoral & sectoral responses to the identified global challenges.	They imply changes in people's lives, including changes in knowledge, skill, behaviour, health, income, or living conditions. They can be positive or negative long-term effects produced by a development intervention, directly or indirectly, intended or unintended.

National development priorities and goals, national commitments to international conventions and treaties UN common country programming

Planning

Implementation

Comprehensive view of UNESCO's Results Chain comprising reference to the International Agreed Development Goals (IADGs), including MDGs and SDGs as well as to National priorities and goals

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 Workplans, 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, mostly at outcome-level, often complemented through joint Workplans at output-level (sometimes, the UNDAF results matrix already contains outputs).
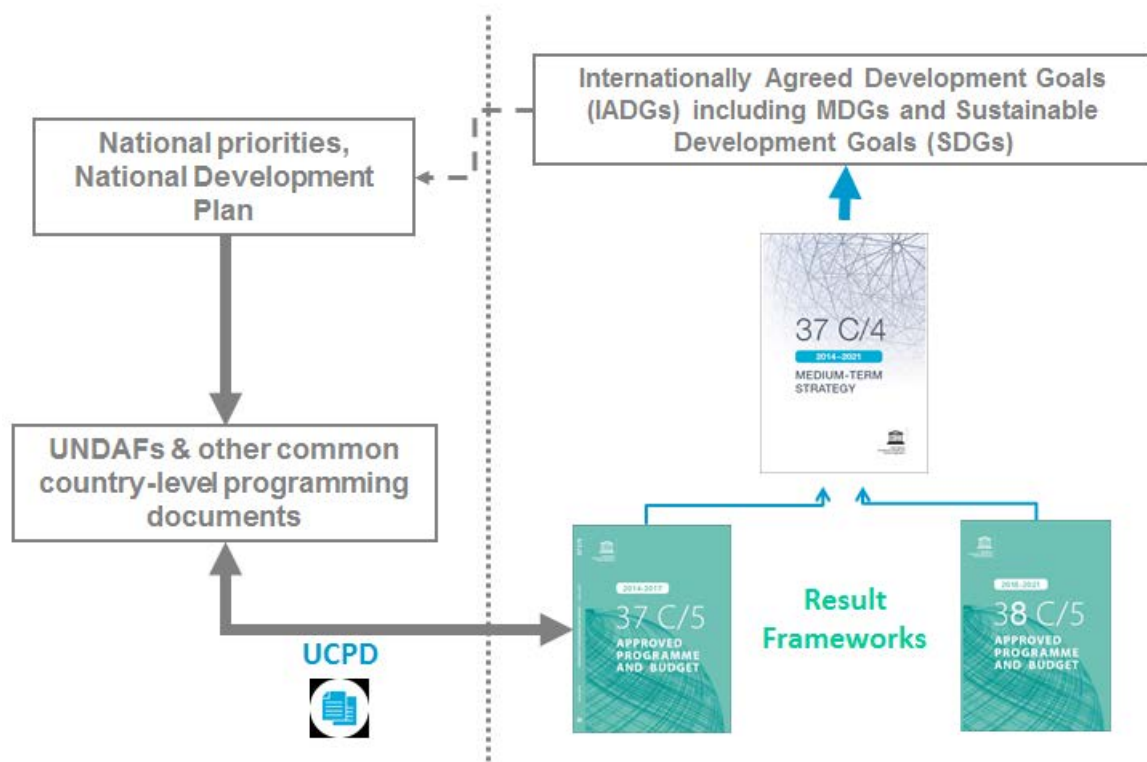
National priorities represent one or more priorities or goals from the national development framework relating also to the Internationally Agreed Development Goals (IADGs), including the MDGs and SDGs. The UNDAF results chain is derived from and linked to national priorities, and aims at detailing the contribution of the UNCT to those national priorities. 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 matrix[4].

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[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. For the definition of UNDAF-related RBM terms, Kindly refer to the UNDG handbook under: http://www.undg.org/docs/12316/UNDG-RBM%20Handbook-2012.pdf

UNDAFs and related equivalent common country-level programming documents (such as "One Programme" documents, including as defined under the UNDG Standard Operating Procedures for Delivering as One) represent the 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 programming tool designed to capture in a single document UNESCO's past and future activities and projects in a given country, in a succinct and results-oriented comprehensive manner. Starting with a concise overview of national development issues relevant to UNESCO's areas of competence and building on UNESCO's past and more recent cooperation and achievements, the UCPD proposes the outlines of the future cooperation framework with a given country and possible entry points for joint collaboration and programming with sister United Nations agencies and other partners. The UCPD results-matrix shows also the available resources as well as the funding gap needed to achieve the expected results. [More details: http://www.unesco.org/new/index.php?id=61877]]

UN and UNESCO RBM Results Chain

UNESCO's Results Chain putting in perspective the interlinking between expected results at the global and country level

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 expected results in order to ensure coherence between the expected results at different programme 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 expected results of the Organization. Please refer to chapters 5 and 7 for further information.

2. Analysing the needs to be addressed and issues to be tackled 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 and SDGs. The purpose of the situation analysis is to identify the most crucial issues among the numerous ones that could be tackled 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 implementation. Furthermore, it is an opportunity to favour ownership and sustainability by mobilizing and involving key stakeholders (partners and beneficiaries) through a participatory approach throughout the process, by requesting their contribution when identifying needs to be addressed and issues to be tackled, designing interventions and defining expected results that meet their needs. As a logic flow from the situation analysis, it is important throughout the process to have a clear vision of direct beneficiaries and key 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 financial (regular programme and extrabudgetary), human and institutional (material, technological and information) resources 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 produce the outputs and achieve the expected results. When calculating the resources needed, it is important not only to focus on the resources required for implementation but also include resources for programming, managing, monitoring, reporting and evaluation.
The purpose of this assessment is to define the scope of the expected results to be achieved.

3. Designing Results Frameworks and in particular 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 proceed are provided in chapter 7.
For each expected result, performance indicators and associated baselines as well as quantitative and/or qualitative targets need to be identified, specifying exactly what is to be

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measured along a scale or dimension. An expected result expresses the change to be induced by the interventions whereas the performance indicator of an expected result provides indications of the change. It allows to assess the level/degree of the achievement. A performance indicator is a unit of measurement along a specified scale or dimension. While a target is a measure associated to a performance indicator to be attained during a specific period with available resources. Assessments of baseline and target values of performance indicators allow for monitoring of progress towards the achievements of the outputs and expected results. More information about performance indicators will be presented in chapters 7 and 8.

4. Developing an implementation strategy by providing the conceptual framework on how to move from the current situation to the one described in the expected result(s) statement. It should be action-oriented specifying the:

- Major needs to be addressed and issues to be tackled as well as corresponding baseline;

- Intervention logic: Rationale with the underlying assumptions and causal sequence of the interventions to be undertaken, the key outputs deriving from them, the expected result(s) to be achieved and measures to follow-up on them as well as the long-term expected result foreseen beyond the timeframe providing the overall perspective. In other words, specify "why/how" key outputs will lead to the expected result(s) and thereafter "why/how" the latter will contribute to the long-term expected result foreseen;

- Direct beneficiaries and key partners and their expected roles.

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 (threats) and measures foreseen to mitigate the negative impact of 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 programme, activity, project design.

5. Monitoring progress towards the expected results with appropriate performance and impact monitoring drawing on data of actual outputs produced and results achieved. The purpose of monitoring is to assess the *actual* situation compared to the programmed information originally defined in order to keep track of implementation and progress towards the expected results and take remedial actions when needed. 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 favour ownership and sustainability by mobilizing and involving key partners and direct beneficiaries 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 expected results with the actual achievements, the beneficiaries impacted, partners involved, and resources invested. The purpose of results-based reporting is to provide key stakeholders with evidence-based information on performance and impact analysing eventual discrepancies between the "expected" and the "achieved" results to inform internal management and the Donor; to facilitate decision-making (including on remedial actions required); to inform future programme design and policy development and to disseminate and discuss results and lessons learnt in a transparent and iterative way. This aspect will be further developed in chapter 10.

7. Evaluation provides timely assessments of the relevance, impact, effectiveness, efficiency and sustainability of programmes, activities or projects. Through evaluation UNESCO learns

from both successful and less successful programmes, activities and projects. It is a critical tool for accountable, transparent and effective management led by evidence-informed decision making that uses lessons from experience and incorporates them into future planning and programming. Here again, it is an opportunity to mobilize and involve partners and beneficiaries to favour ownership and sustainability through a participatory approach. Considering views and perspectives for all stakeholders and requesting to what extent they have been satisfied with the results achieved are among the quality criteria for an evaluation. 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 (HRBA) and Global Priority Gender equality (GE)

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 and exercise 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 expected results, performance indicators and associated targets. The expected 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 a representation and active participation of women and men, 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 rational 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.

Regarding specifically GE, a new tool has been integrated in SISTER entitled the Gender Equality Marker (GEM) which is a coding or classification system intended to measure the extent to which activities, projects contribute directly or indirectly to the promotion of Gender Equality and/or the empowerment of girls and women, thus representing a first step towards gender budgeting. As determining the exact financial contribution of each input of different activities, projects to Gender Equality and women's empowerment has proven to be a complex task, the Gender Marker is based on a coding system. The Marker therefore provides only indicative figures of resource allocation, which should not be viewed as a precise budgetary figure. Despite this limitation, the marker represents a big improvement over the previous situation where we had no or highly estimative data.
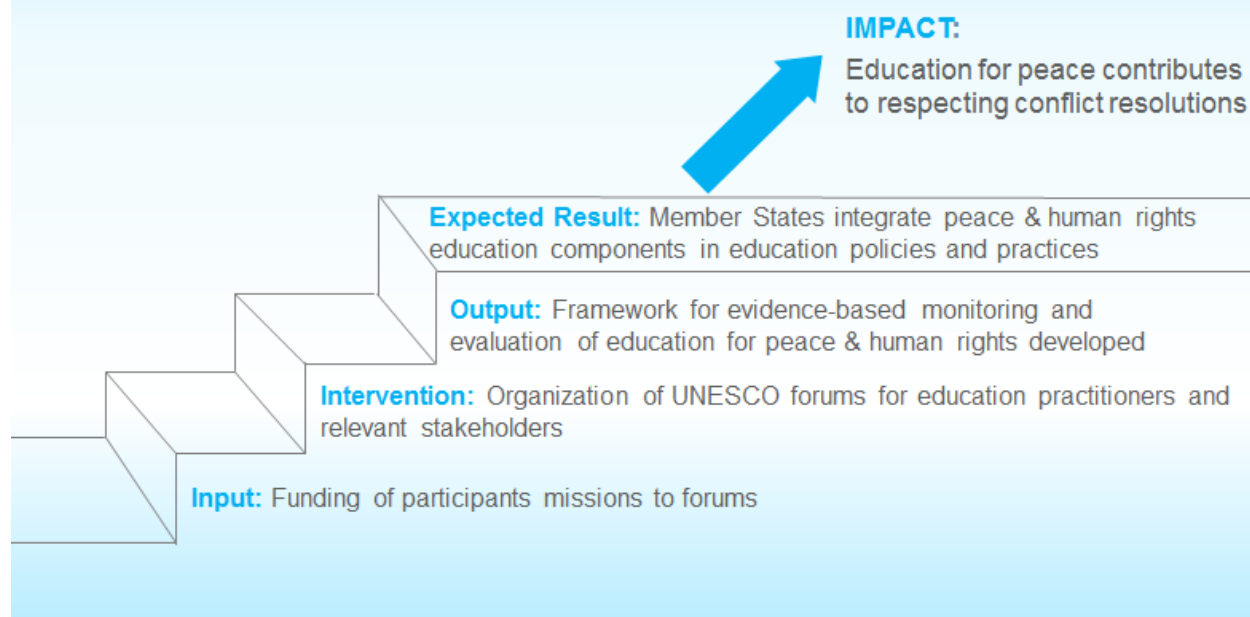
Risk Management (RM) [5]

UNESCO's risk management framework, first developed at the strategic level, is progressively being embedded in our own management practices at the operational level. A risk is the possibility of an event occurring that will have an impact on the achievement of results, either positive or negative. It can therefore be an opportunity or a threat. Risk management is a process to help identify and assess what elements can prevent (or support) the results to be achieved, to understand their causes, likelihood and consequences and to take all necessary measures to reduce a risk and to seize an opportunity. A risk analysis should be formalized in the Workplan throughout programming and monitoring in order to ultimately improve programme performance within budget and specified timeline.

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[5] Kindly refer to the RM Training Handbook under: http://unesdoc.unesco.org/images/0019/001906/190604e.pdf

7) What is a result?

A result can be defined as a change in state or condition that derives from a cause-and-effect relationship. It can be intended or unintended, positive and/or negative. An expected result is the "raison d'être" of a programme, activity, project. It expresses the "desired" change which is expected to be induced by the implementation of programmes, activities or projects carried out in the context of the Programme and Budget (C/5 document). 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. It often relates to the use of outputs by intended direct beneficiaries and is therefore not under the full control of an implementation team. An expected result is achieved when the outputs produced go beyond the purpose of the interventions. It is the last step of the intervention logic (or transformative process), where inputs (financial, human and material, technological and information resources) are used to undertake interventions which lead to outputs which contribute to a desired change in state or condition – the expected result.

The Results Chain builds on the intervention logic (transformative process)
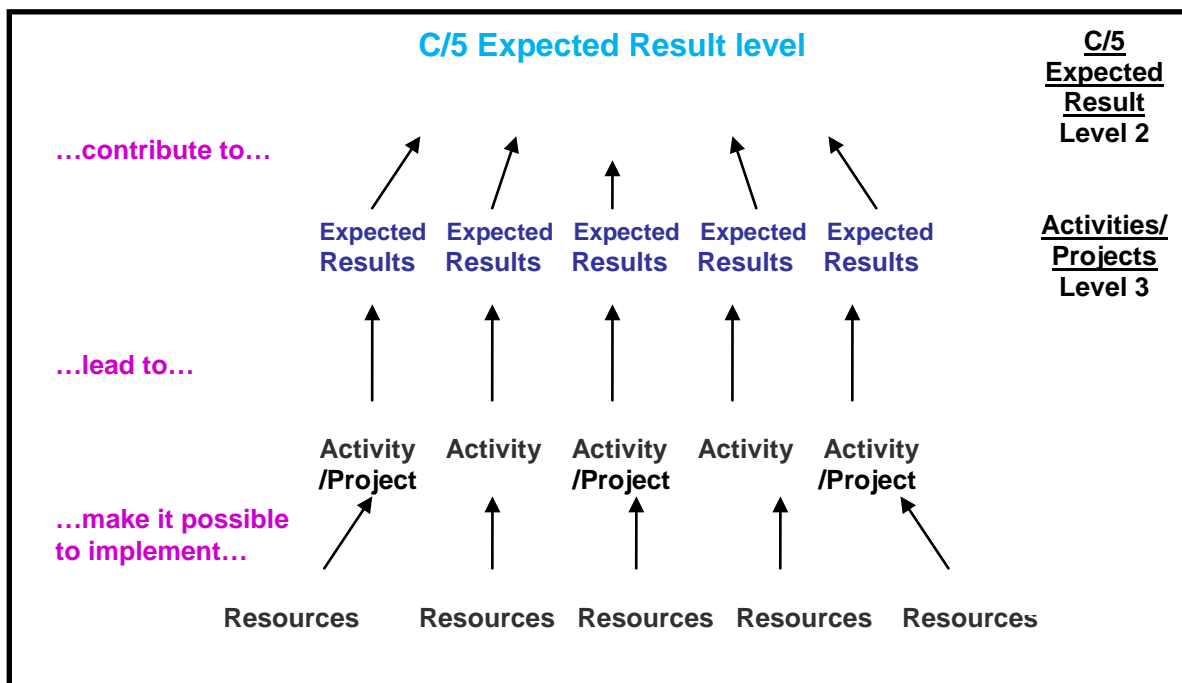
A) Defining your activity or project within UNESCO's Results Chain

The starting point for developing an activity or project is to identify how its expected 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 programme level represent the starting point for conceiving your programme, activity, project. Each 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 expected results, will agree to fund downstream programmes, activities, projects once s/he will be confident that the aggregation

of their outputs and expected results will make it possible to achieve the outputs and expected results of the programme element s/he is responsible for. While defining this relationship between the different programme levels, it is important to consider risks that may affect the performance of the implementation and thereby the contribution to the higher-level outputs and expected results. The risk analysis induces awareness and enables informed management in order to mitigate the negative impact of risks.

The expected results of the elements attached to the same programme element combine to produce the expected results of the upstream element to which they relate. This mechanism swirls bottom up throughout the programme tree and is conceived to ensure the consistency among the programme levels. It is important to note that the expected result of an element must not be defined as the sum of the expected results of downstream elements: if this was the case, the C/5 expected results would only correspond to the list of expected results of the activity or project level. The C/5 expected result therefore relies on the expected results of downstream elements, but is not made of them.

UNESCO's Results Chain – C/5 expected results 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 expected 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 expected 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 priorities and expected results. A specific request at country level does not legitimize the use of resources in areas, priorities and towards expected result(s) that did not receive the approval of the Organization's Governing Bodies.

B) Formulating expected results

Formulating expected results from the direct 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 direct beneficiary groups and key partners, is crucial throughout the process from planning to implementation to monitoring and evaluation. Participation is key for improving the quality, effectiveness, efficiency 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 key stakeholders to work together to achieve identified expected results?

Use "change" language instead of "action" language

The expected result statement should express a change in state or condition. 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.

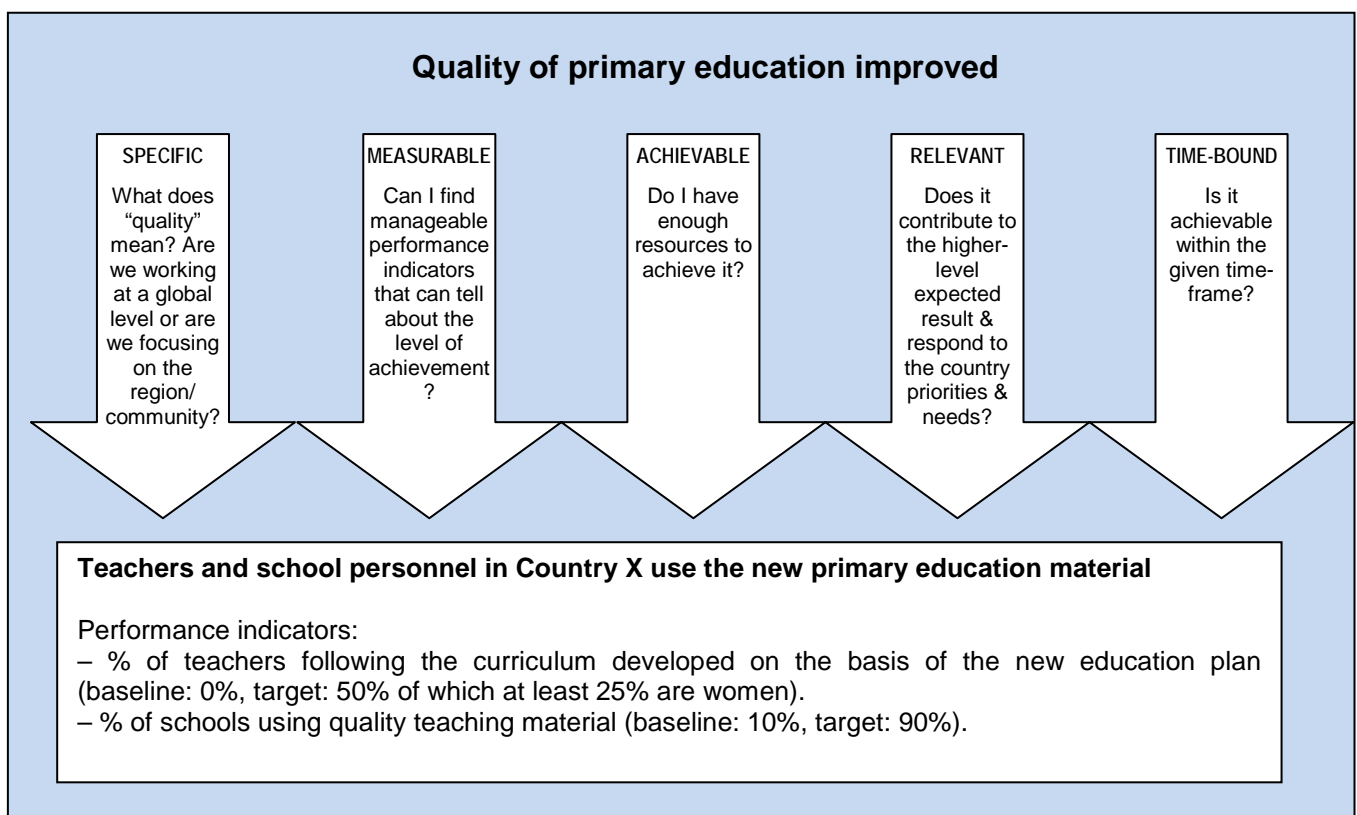| Action language	Change language
… expresses expected results from the provider's perspective: • To promote literacy by providing schools and teaching material.	... describes changes in the conditions of beneficiaries: • Young children have access to school facilities and learn to read and write.
… can often be interpreted in many ways: • To promote the use of computers.	... sets precise criteria for success: • People in undersupplied areas have increased knowledge of how to benefit from the use of a computer and have access to a computer.
… focuses on completion of activities and projects: • To train teachers in participatory teaching.	... focuses on expected results, leaving options on how to achieve them (how this will be achieved will be clarified in the implementation strategy): • 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 expected results. It should express the nature of expected changes, the direct beneficiaries, the region, etc. It should be as detailed as possible without being wordy.

- **Measurable:** It has to be measurable in some way, involving quantitative and/or qualitative characteristics.

- **Achievable:** It has to be realistic with the financial, human and institutional resources available.

- **Relevant:** It has to contribute to the attainment of the higher-level expected result(s) 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 result 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 its achievability and meaningfulness.

Improving the expected results formulation: the "SMART" process

Quality of primary education improved

SPECIFIC	MEASURABLE	ACHIEVABLE	RELEVANT	TIME-BOUND
What does "quality" mean? Are we working at a global level or are we focusing on the region/ community?	Can I find manageable performance indicators that can tell about the level of achievement?	Do I have enough resources to achieve it?	Does it contribute to the higher-level expected result & respond to the country priorities & needs?	Is it achievable within the given time-frame?

Teachers and school personnel in Country X use the new primary education material

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

Example: if we consider a Workplan to be undertaken in a specific country that includes the expected result 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 key 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 expected result could be:

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

3. Is it "Achievable"?

Do I have enough resources available to achieve the expected result? I need to consider financial, human and institutional 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 expected result(s) within UNESCO's Results Chain and with country/regional needs (e.g. CCA/UNDAF, One Programme documents, PRSP, regional strategies)? Does it respond to the specific needs and issues identified?
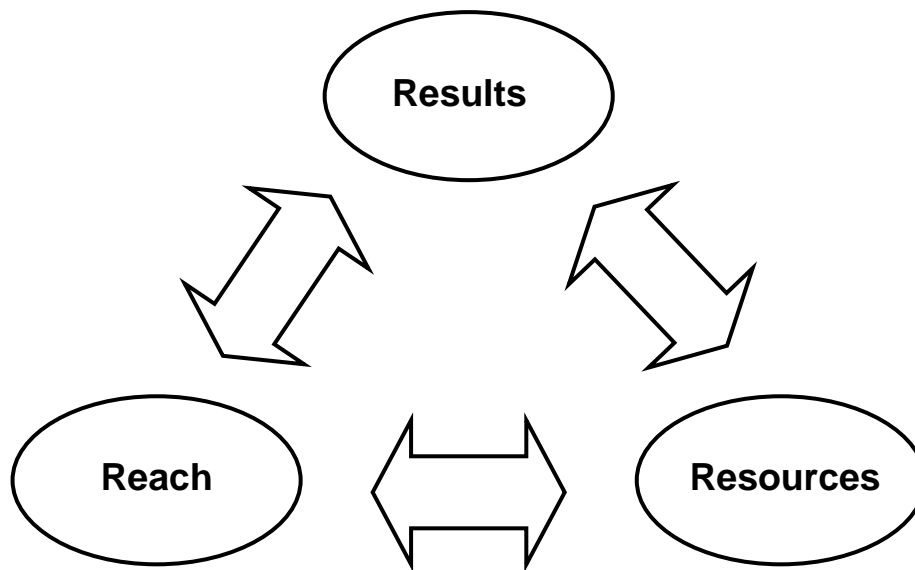
If the answer is negative, the activity or project should be dropped.

5. Is it "Time-bound"?

The given timeframe for Regular Programme activities at UNESCO is 4 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** (change in state or condition that is derived from a cause-and-effect relationship), **Reach** (the geographical scope and aim, breadth and depth of influence and cooperation with key stakeholders (beneficiaries and partners)) and **Resources** (financial, human and institutional resources that are directly or indirectly invested in the interventions).

Find a good balance among the three Rs

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 results, reach and resources 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 baseline as well as quantitative and/or qualitative targets for expected results

When programming the definition of appropriate performance indicators and associated baselines, means of verification and targets for each expected result is crucial to define its scope. During implementation these will be essential to guide monitoring.

Let us review each of these notions. A **performance indicator** is a unit of measurement along a specified scale or dimension. They are a qualitative or quantitative means of measuring an output or outcome, with the intention of gauging the performance of a programme or investment. Performance indicators of expected results refer to what the direct beneficiaries are to do differently after the intervention. They allow to identify to what extent direct beneficiaries/target groups have been reached and hence provide indications of the change allowing to assess the level/degree of the achievement. Depending on the way they are conceived and used, performance indicators can be objective or subjective.

Whereas the **baseline** provides the starting point or the status of the performance indicator at the beginning of a programme or project that acts as a reference point against which progress or achievements of expected results or outputs can be assessed.

The **means of verification** correspond to the sources of information (documents, methods of data collection, persons, or organizations) which will be used to inform initial baselines and to measure, in quantitative and/or qualitative terms, progress achieved against targets.

Finally, the **target** is a measure associated to a performance indicator to be attained during a specific period with available resources (4 years for the C/5 and Workplans on the basis of all resources at hand) while a **benchmark** is a reference point or standard, including norms, against which progress or achievements can be assessed.

Performance indicators and their associated information are like snapshots as they reflect one dimension of the problem. Combining all performance indicators and their associated targets should allow you to capture the essence of the output or expected result, as well as monitor progress towards their achievement and either ensure that it is achieved or understand the reasons why it is not.

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 result(s), the responsible officer is also required to determine relevant performance indicators that will allow to track progress and to assess the effectiveness of the interventions, i.e. if the intended results were achieved. Performance indicators support effectiveness throughout the processes of programming, implementation, managing, monitoring, reporting and evaluation.

When defining a performance indicator and associated baseline as well as quantitative and/or qualitative target, you need to assess if the data necessary to measure whether you are attaining the expected result or not will be easy to collect and if you have or will have access to baseline data. In that respect the first question to raise is: What will be the data sources? In other words what will be the means of verification?

Performance indicators may be used at any point along the intervention logic: inputs, interventions, outputs, results. Results-Based Monitoring does not only address compliance to the rate of expenditure or to the implementation plan (answering the question: "Have we done it?"), but goes beyond to the actual benefits that were actually brought to the beneficiaries (answering the question: "We have done it, so what?"). Hence, performance indicators of expected results 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 performance indicator is of little use unless it is actually put to use. A critical test for a performance indicator is how practical it is to monitor. Thinking about a performance indicator is one thing, actually finding, recording and presenting the data is another. Performance 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 performance indicators is to support effective programme planning, management, monitoring and reporting. Performance indicators make it possible to demonstrate results by providing a reference point for monitoring, decision-making, stakeholder consultations and evaluation.

We should bear in mind, however, that performance 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 performance indicators is credibility, not the number of performance 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 performance indicators that provide approximate answers to some important questions than to have exact answers to many unimportant issues.

The following six criteria can be used to test the relevance of a performance indicator:

- Is your performance indicator <u>reliable</u>: is it a consistent measure over time?
- Is it <u>simple</u>: will it be easy to collect and analyse the information?
- Is it <u>affordable</u>: 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. Who will collect the data (e.g. UNESCO Institute for Statistics, UN volunteers, Women/youth associations, NGOs, Category 2 Institutes and Centres)?
- Is the performance indicator <u>valid</u>: does it measure what it is intended? According to you what is the proper frequency to collect data?
- Is the performance indicator <u>sensitive</u>: when situation changes will it be sensitive to these changes?
- <u>Utility</u> of the performance indicator: Will the information be useful for decision-making and learning?

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 performance indicators often means that the expected results are not clearly defined or that they are too wide-ranging. The process of selecting performance indicators can help identify the core issues of the intervention and translate often intangible concepts into more concrete and observable elements.

An expected result and its performance indicator should not be mixed up. The expected result is the change or achievement. Performance indicators and targets should tell about the achievement and hence provide indications of the change (or level of attainment) allowing to assess the level/degree of 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 awareness raising, reinforcement of capacity[6], technical assistance, 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 reinforcing capacity 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 target as the "measure" or "scale" of observation. For example, the performance indicator "*Percentage of*

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[6] 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.

enrolled students graduate primary school" is accompanied by a target "*65 %*" which signals the level to be attained.

Signals and scales can express qualitative and/or quantitative information.

"Quantitative" is based on statistical measures, numbers, percentages, frequency, ratios while "qualitative" seeks to measure quality and is often based on judgment, perception, opinion and level of satisfaction. It is usually defined through 2-3 specific criteria allowing to assess the quality of the target attained.

The concept of quantitative versus qualitative performance indicators and associated targets has been a subject of frequent discussion over the past few years. The common belief is that quantitative performance indicators and associated targets 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 performance indicators and associated targets are seen as subjective, unreliable and difficult to verify. No type of performance indicator and associated targets or observation is inherently better than another; its suitability depends on how it relates to the expected result it intends to describe. UNESCO guidance indicates a shift away from the approach that performance indicators and associated targets should be quantitative rather than qualitative. Programme specialists are expected to select the type of performance indicator and associated targets that is most appropriate for the expected result being measured. Often, it is a mixture of quantitative and qualitative which is specified through the target information as without quantitative data, we don't know the scale and extent and without qualitative data there is not the context through which to interpret quantitative data. If a qualitative performance indicator and associated targets are determined to be most appropriate, one should clearly define each term used in the unit of measurement and/or measure, make sure to document all definitions and find possible ways (such as using rating scales) to minimize subjectivity.

For example, if the expected 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 performance indicators measuring the change in levels of end-user approval (or client satisfaction).

Possible performance indicators could therefore be:
- Average rate of perceived responsiveness of the government to the needs of population, on a scale from 1 to 10 (Target: average above 6).
- Proportion of people who perceive local government management as "very participatory" (Target: 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 performance indicators and associated targets 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 (Target: 60%).

For further examples kindly refer to the Result Framework on page 35.

Qualitative performance indicators and associated targets 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 performance indicators show progress when expected results are cast in terms of readily quantifiable short-term changes. For example, if the performance indicator 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 quadrennium (or less). Care must be taken to ensure that the time span of the expected result lends itself to the collection of such data for use in review.

b) Proxy Performance Indicators

Proxy performance indicators are normally quantitative, but do not directly relate to the expected 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 expected result. For example if the expected result is "Public acknowledged the importance of the mathematical, physical, and chemical sciences for life and societal development", a good Proxy performance indicator might be the improvement of the media coverage concerning these issues.

c) Narrative Performance Indicators

When the expected results are not easily quantifiable (e.g. changed attitudes and behaviours) over the time period of the quadrennium, and the number of recipients is not too big, a non-statistical approach can be envisaged to develop an indication of "progress". Narrative performance indicators largely focus on the "process of change".

This technique works especially well in instances where, training, publications, action plans and workshops are the planned interventions. However, when dealing with key 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 "Scientific understanding of ocean and coastal processes bolstered and used by Member States to improve the management of the human relationship with the ocean", then a valid narrative indicator might be a follow-up questionnaire to be circulated among those individuals who participated in training, 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 performance 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 "improvement of the management of the human relationship with the ocean".

Given the extent to which many of UNESCO's expected results may seem to be intangible, narrative performance 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 and associated targets. 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 expected results that are easy to quantify at the expense of less tangible, but no less important expected results;
- Mechanical use of performance indicators for reporting purposes in ways that fail to feed into strategic thinking and organizational practices.

8) Intervention logic and Result Framework:

Intervention logic: Inputs ☞ Interventions ☞ Outputs ☞ Results

It is a framework of causal relationships linking inputs to outputs, results and eventually impacts. It is a tool that facilitates the process of making sense of how a programme, activity, project works and is intended to lead to change.
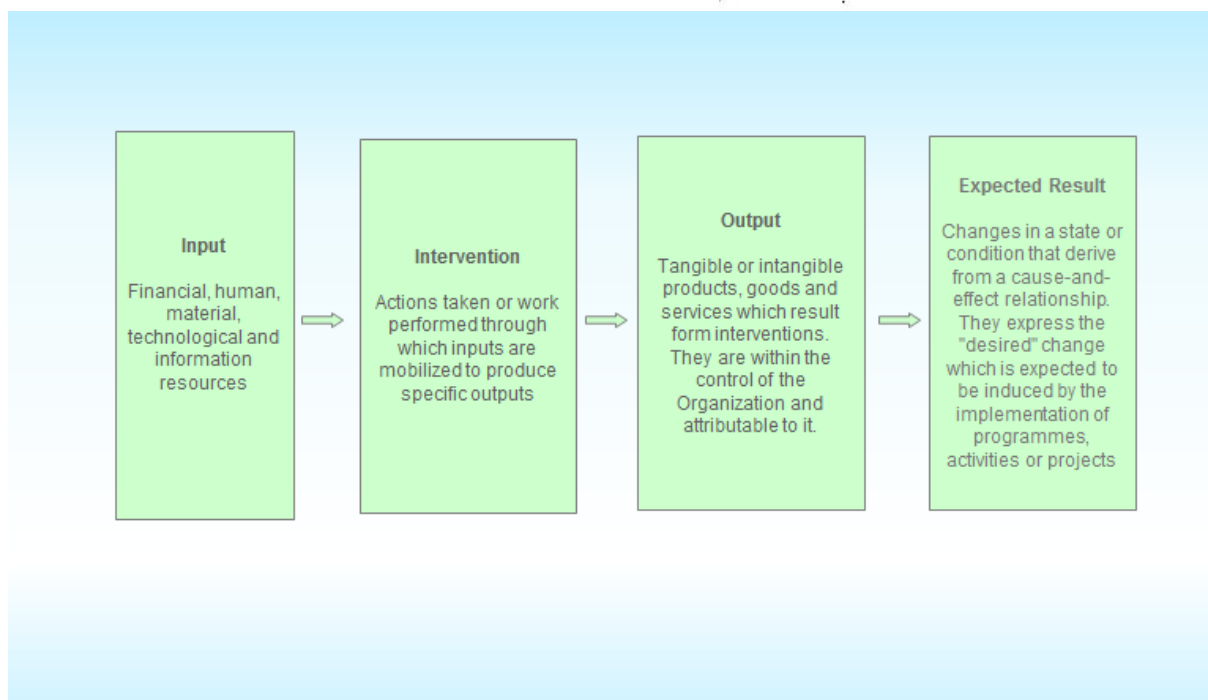
Inputs, Interventions, outputs and results are often misunderstood. **Inputs** refer to the resources available encompassing financial, human, material, technological and information resources. **Interventions** describe actions taken or work performed through which inputs are mobilized to produce **outputs**. These are the products, goods and services which result from a development intervention. They are within the control of the Organization and attributable to it. Hence, an output is the first effect of the intervention which contributes to the attainment of result(s). It can be tangible or intangible. In general terms outputs can be considered as the new knowledge and skills the Organization develops and disseminates in collaboration with concerned stakeholders. It entails mutual reinforcement 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 key stakeholders concerned and to obtain their commitment[7]. Due to UNESCO's line of work, area of expertise and its five functions, most programmes, activities, projects involve the following key outputs:

- Awareness raised;
- Knowledge developed, Major conferences organized (e.g. CONFINTEA), global Reports produced (e.g. Global Monitoring Report (GMR));
- Capacities and skills reinforced;
- Technical assistance/policy advice provided;
- Partnerships and networks established, strengthened or fostered;
- Policy analysis, monitoring and benchmarking ensured.

Results are finally the effects of outputs on a group of beneficiaries, that is how the direct beneficiaries are using the outputs to do something differently which is often what leads to the desired change in state or condition – the expected result. It is the last step of the intervention logic.

For example, the implementation of a capacity reinforcement 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 activity, project.

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

The relationship between Inputs, Interventions, Outputs and Expected Result

If we move our focus from what we do to what we want the direct beneficiaries to do differently as a consequence of the activity, project, 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 expected results and not by outputs.

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 direct beneficiaries reached and potential risk factors;
- Requires participation of key stakeholders (beneficiaries and partners).

Designing a Result Framework:

The Result Framework is designed to guide the planning/programming, monitoring, reporting and evaluation at all levels of the Organization. It is defined for all C/5 expected results as well as all activity or project. It provides the internal logic, ensures that it is consistent in itself thereby favouring the quality of the programme, activity, project by linking the outputs to the results that are to be achieved through its implementation. For both of these it presents performance indicators and associated information such as baselines as well as quantitative and/or qualitative targets allowing to measure both achievements towards results: or impact and to measure outputs produced: or performance. Regarding exclusively C/5 Result Frameworks appears under the Quantitative and/or qualitative target section a third column entitled "CAP" in which is indicated the target to be attained if the targeted extrabudgetary resources is mobilized successfully. It is recalled that under the first two columns of this section, the target is defined considering both the Regular Programme resources and the extrabudgetary resources at hand and/or firmly pledged.

As it also provides a Framework for contributing lower programme levels, it ensures consistency and coherence of the Organization's Results Chain, while allowing tailoring to specific needs, issues and contexts. Therefore, each and every programme, activity, project should be designed in a way that makes it not only consistent in itself but also appropriate within the overall structure. Furthermore, contributing lower programme level need to specify not only to which higher-level expected result(s) and specific associated performance indicator(s) but also and most importantly how it will contribute to these. This not only further strengthens the consistency and coherence of the Results Chain, it also allows the inception of the aggregation of performance indicators and associated targets of outputs and expected result(s) of Workplans to the outputs and expected result of the C/5 to which they contributes. Along the same lines as the aggregation mechanism regarding the performance indicators and associated information, by aggregating the resources of the Workplans contributing to a C/5 expected result can be defined the budgets and expenditures required to achieve a C/5 expected result, assisting the Organization in advancing towards Results-Based Budgeting (RBB).

As the Result Framework specifies on one hand the expected result(s) which depend on the actions of the direct beneficiary/target groups (e.g. Member States) and on the other hand the key expected outputs which are under the control of the Organization it also facilitates communication and exchanges among all concerned key stakeholders. It assists in ensuring that informed agreement is reached on the result(s) to be achieved, the outputs to be undertaken for attaining the result(s) as well as the responsibilities of all key stakeholders involved (including accountability of the Secretariat).

The following examples for an activity, project may help to understand further the relationship between outputs, expected results and associated information as well as how these find their place in the Result Framework. However it should not be seen as a generally applicable master copy as every programme, activity, project is different in nature.

Examples of Expected Results:

1) Local authorities in provinces Y and Z are executing the action plan for the implementation of the Teacher policy and strategy enhancing the quality of education and promoting gender equality.

2) Science and Technology Strategic Plan, in line with European standards and responding to the EU accession requirements elaborated, adopted and implemented by national authorities in country X.

3) Policy makers, youth associations and concerned civil society actors pledge for and develop an inclusive and fair public policy on youth.

4) Integrated heritage policies, plans and strategies of countries X, Y and Z developed in line with international conventions and implemented.

5) Children use the Community Learning Centres to improve their basic education skills.

N	Performance indicator (PI) (a maximum of three):	Baseline (B):	Quantitative and/or qualitative Target (T):	
			2014-2015	2014-2017
1	Regarding the first expected Result indicated above a performance indicator could be "% of recommendations in the action plan implemented by local authorities".	An associated baseline could be "10% and indications of which and how these recommendations were implemented."	An associated quantitative target for 2015 could be "30%" and an associated qualitative target could be "2-3 criteria to assess which and how the recommendations are being implemented".	An associated quantitative target for 2017 could be "50%" and an associated qualitative target could be "2-3 criteria to assess which and how the recommendations are being implemented".
2	Regarding the third expected Result indicated above a performance indicator could be "Number of youth participating actively in the network established" or "Number of initiatives undertaken by youth participating actively in the network established".	An associated baseline could be "25" with 50% young women present but not actively participating".	An associated quantitative target for 2015 could be "50". In addition and depending on the context, could prove pertinent to define a qualitative target; that is "2-3 criteria to assess if young women are in effect "actively" participating".	An associated quantitative target for 2017 could be "100". In addition and depending on the context, could prove pertinent to define a qualitative target; that is "2-3 criteria to assess if young women are in effect "actively" participating".
3				

Examples of Key outputs linked to expected result N°1 indicated above:

1) Awareness raised among local authorities on the implementation of the teacher policy and strategy and/or

2) Capacities reinforced of local authorities to implement the action plan and/or

3) Technical assistance provided to local authorities to identify challenges encountered in implementing the action plan.

Output N°1: Awareness raised among local authorities on the implementation of the teacher policy and strategy

N	Performance indicator (PI) (a maximum of three):	Baseline (B):	Quantitative and/or qualitative Target (T):	
			2014-2015	2014-2017
1	A performance indicator could be "N° of sensitisation seminars held by UNESCO to which local authorities are attending".	An associated baseline could be "0" (if a new initiative) or "5 seminars with 100 participants of community A.	An associated quantitative target for 2015 could be "5 seminars with overall 150 participants of community B and C."	An associated quantitative target for 2017 could be "15 workshops with overall 450 participants from all communities."

2	A performance indicator could be "Brochures, leaflets, videos produced and disseminated."	Brochures, leaflets, videos in 1 local language.	An associated quantitative target for 2015 could be "Brochures, leaflets, videos translated in 2 local languages and produced with participation of members of community B and C."	An associated quantitative target for 2017 could be "Brochures, leaflets, videos translated in all local languages and produced with participation of members of all communities."
3				

Output N°2: Capacities reinforced of local authorities to implement the action plan

N	Performance indicator (PI) (a maximum of three):	Baseline (B):	Quantitative and/or qualitative Target (T):	
			2014-2015	2014-2017
1	A performance indicator could be "N° of training workshops, of participants and their profile (disaggregated by sex)" and/or "% of participants which would recommend the workshop".	An associated baseline could be "5 workshops with 50% women present but not with the appropriate profile" and/or "80% of participants would fully recommend this workshop".	An associated quantitative target for 2015 could be "5 workshops with overall 50 participants of which 50% women" and/or "90% of participants would fully recommend this workshop". In addition and depending on the context, could prove pertinent to define a qualitative target; that is "2-3 criteria defining the appropriate profile of participants".	An associated quantitative target for 2017 could be "10 workshops with overall 120 participants of which 50% women" and/or "90% of participants would fully recommend this workshop". In addition and depending on the context, could prove pertinent to define a qualitative target; that is "2-3 criteria defining the appropriate profile of participants".
2	A performance indicator could be "Good practices on the implementation of the teacher policy and strategy produced and disseminated."	None.	From Community A.	From Communities B and C.
3				

Key questions to be asked when programming

Hereunder a list of key questions which will assist responsible officers and their teams when designing a programme, activity, project.

- To which expected result of the Main line of Action/Chapter will the programme, activity, project contribute? Will the programme, activity, project contribute to Priority Africa or Priority Gender Equality? If so, to which expected result(s)?

- What are the issues that need to be tackled through the programme, activity, project? Have the claims of rights-holders and the corresponding obligations of duty-bearers as well as any gaps or lack of capacity keeping gender equality from being attained been identified?

- What are the opportunities that will ease up the implementation of the programme, activity, project?

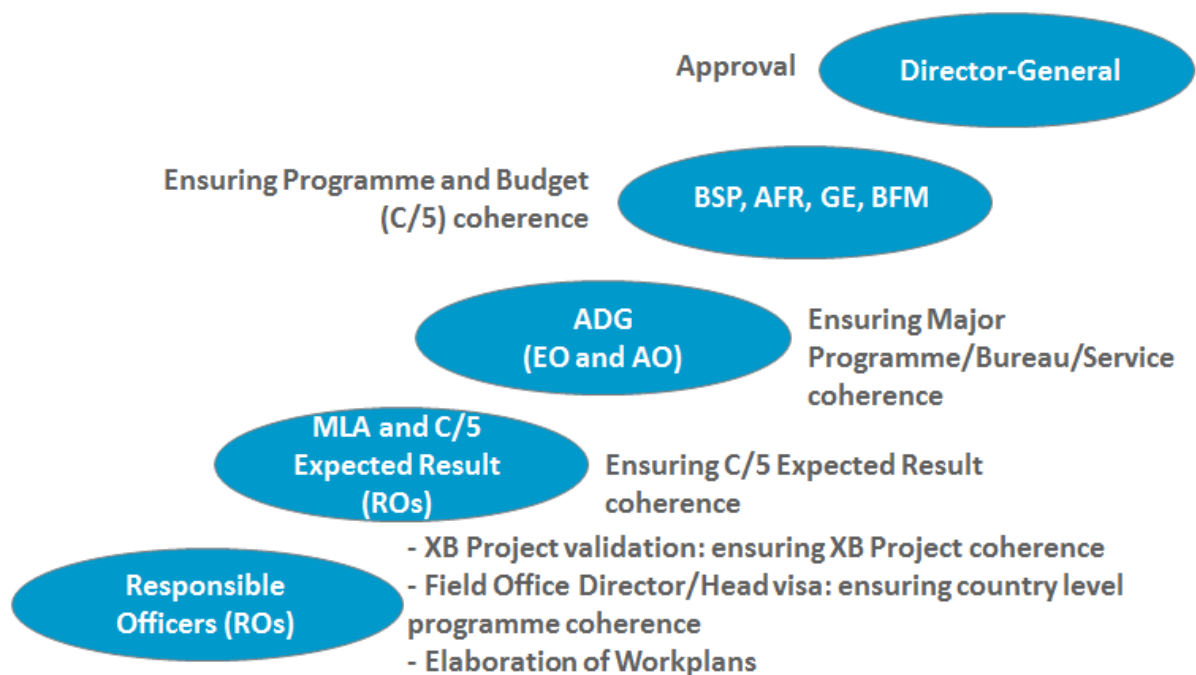- Are there opportunities for intersectoral cooperation?

- What are the risks that might be faced when implementing the programme, activity, project? How will they be overcomed?

- Who are the direct beneficiaries of the programme, activity, project: individuals, groups or organizations? Are the direct beneficiaries part of one of UNESCO Priorities? Have these been involved in the planning process to favour ownership? How will their feedback and assessments regarding progress towards outputs and achievement of expected result(s) be collected and analysed?

- Who are the beneficiaries which will benefit indirectly from the implementation of the programme, activity, project? Are there any beneficiaries who could feel impacted negatively by the programme, activity, project?

- Which country or countries will benefit from the programme, activity, project?

- Who are the key partners which will contribute: NGOs, other International organizations, universities, women/youth associations Category 2 Institutes and Centres? In what way will these partners contribute to the activity, project?

- Who will be the team members participating in the implementation of the programme, activity, project? Will other staff members (e.g. other Sectors; from other duty stations), consultants etc. be involved? Will specific external expertise be required?

- What are the resources required to achieve the expected result(s)? Are there enough financial resources? Will additional funds need to be mobilized?

- What are the key outputs to be produced? Can at least one performance indicator and associated baseline along with a quantitative and/or qualitative target to be attained at the end of the quadrennium be defined per output? If not, why?

- What is the result(s) to be achieved? What will enable to assess if part or all of the result(s) has been achieved? Can at least one performance indicator and associated baseline along with a quantitative and/or qualitative target to be attained at the end of the quadrennium be defined per expected result? If not, why?

- Who, when and how will the data be collected and analysed?

- How will outputs favour attaining the expected result(s)? In other words what is the Intervention logic that is the rationale with the underlying assumptions and causal sequence of the interventions to be undertaken, the key outputs deriving from them, the expected result(s) to be attained and measures to follow-up on them?

- What is the strategy which will be followed to achieve the expected result(s)?

- Are there other activities, projects being implemented in the same field of competence from which good practices, publications, training material etc. can be used?

- Are there a logical relationship, synergy and complementarily between the programme, activity, project and other activities, projects carried out in the same field of competence?

- Will this activity, project be part of a common country programming document? If so, which one?

- Has sunset clauses and/or exit or transition strategy been defined?

- What conditions will be required to achieve or maintain the benefits of the programme, activity, project beyond the Organization's assistance? (Sustainability).

From Programming to Implementation: Chain of responsibility

The Organization moves from Planning/Programming to Implementation by first defining the information and then entering it in SISTER for each programme, activity, project. Upon its completion the Validation Cycle begins. It is a bottom-up process from the Workplans to the Major Programmes, Bureaux, Services thereby beginning with the request for validation of

the Workplans responsible officers and finishing by the approval of the Director-General. It is composed of the following key milestones and involves the following actors:

- The Responsible Officer designs his/her activity, project, then s/he submits it to the responsible officer at the level above. In the case of activities, projects to be implemented by a Field Office, the Field Office Director/Head will first need to Grant hers/his visa thus ensuring the programmatic coherence at the country level and that the RBM approach is applied.

- At the C/5 expected result level, the responsible officer ensures that the activity, project follows the RBM approach and that it will contribute to the attainment of the C/5 Result.

- Upon approval of the C/5 expected result, the responsible officers at the MLA/Chapter requests approval from the ADGs of Sectors and Directors of Bureaux/Services.

- These are analysed by the Executive Office colleagues of the Sectors, Bureaux, Services who make recommendations to the ADGs of Sectors and Directors of Bureaux/Services. On the basis of these recommendations, the ADG or Director approves them.

- Upon this approval, the Workplans are analysed by BSP, Africa Department, Gender Equality Division and BFM. They provide their recommendations to the Director-General.

- On the basis of these recommendations, the Director-General approves the Workplans.

Programming to Implementation: Chain of responsibility

Hence, the Validation Cycle induces **co-responsibility** between responsible officers on the basis of **transparency** and ensures that **all stakeholders** are **involved** from **inception** and **throughout planning/programming**.

This Chain of responsibility ensures not only the **internal quality** and **coherence** of the programme, activity, project in particular through its Results Framework and implementation

strategy; but also the **consistency** and **coherence** of the Results Chain that is in particular the validity of the:

- Causal linkages between the expected results at different programme levels;
- Balance and coherence among Regular Programme activities and extrabudgetary projects;
- Mutual agreement among responsible officers and managers and their teams independently of their duty station.

Upon approval of the Workplans by the Director-General and on the first day of the biennial budget the funds are released in the financial system FABS, ending the Programming Phase and starting the Implementation Phase. This phase includes monitoring, reprogramming, reporting and evaluation.

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*"[8].

Monitoring of programmes, activities, projects of the Organization is a vital component of the Results-Based Management approach. It allows to interpret the information collected and determine whether the intervention is "On track", "Partly on track" or "Not on track"; to assess whether or not the expected results are being achieved and if backstopping or support is required.

Monitoring progress towards expected results serves a dual purpose. It informs management on the assessment of the implementation both at C/5 and Workplan level. It also informs reporting on progress achieved towards the attainment of expected results to concerned key stakeholders, including internal management of the Organization, Governing Bodies and the Donor. Reporting in a transparent and results-oriented manner facilitates decision-making (including on remedial actions required) and informs future policy development and programme design. It is therefore crucial for the Organization to continue its efforts to improve **evidence-based result-oriented monitoring** and **reporting** in order to better articulate, communicate and demonstrate progress and results achieved.

The function of monitoring is to assess the "actual" situation compared to the programmed information originally defined and take remedial actions when needed. Distinction can be made between implementation monitoring (i.e. progress in undertaking an activity or project) and results monitoring (i.e. the results achieved by the activity or project) in relation to plans.

The importance of a proper balance between the **Result**, **Reach** and **Resources** in the programme design is highlighted in the previous chapters. 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 to assess performance and impact. This implies to assess at least:

- Outputs produced on the basis of the defined performance indicators and associated targets and how these have contributed to the attainment of expected result(s);
- Expected result(s) (or part of the results) achieved on the basis of the defined performance indicators and associated targets;
- Implementation Strategy:
    - Appreciation of key stakeholders (beneficiary groups and partners) and fulfilment of planned roles and responsibilities;
    - Geographical area covered;
    - Risks and mitigating measures;
    - Sunset clauses and/or exit or transition strategy.
- Use of financial, human and institutional resources.

Results-Based Monitoring is relevant both at the activity, project level and at higher-levels. In addition to the above, the responsible officer for a C/5 expected result needs to routinely review if the results achieved at the activity, project level contribute in effect to the achievement of the C/5 expected result. Thereafter the responsible officer of an MLA/Chapter or of a Major Programme needs to routinely review if the results achieved at the C/5 level contribute in effect to the achievement of the Strategic objective(s) thus ensuring the

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[8] OECD/DAC RBM Glossary - 2002

coherence of the Results Chain. Hence, it is important to ensure adequate monitoring of the implementation of the C/5 and of all Workplans[9].

Involving key stakeholders favours ownerships, reinforcement of capacity 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, collecting and analysing their feedback and assessments regarding progress towards outputs and achievement of expected result(s);
- Identifying jointly remedial actions when required and as such ensuring that these are comprehended and agreed upon:
- Ensuring that the expected results or those achieved remain relevant when considering operational experience:
- Maintain an effective communication among those concerned favouring engagement, support and actions by the key stakeholders as well as identifying emerging issues.

Collecting and analysing monitoring information is an integral part of implementation and programme management. It should therefore not be considered as an additional task serving only reporting purposes. Monitoring is the responsibility of the responsible officer and must be undertaken within the budget foreseen. S/he has to ensure that the costs of the necessary time and resources are earmarked for this purpose, as no additional resources are attributed for monitoring (as a general rule of thumb, about 5% of the resources should be set aside for this purpose). To that effect, it is recalled that the quality and costs of monitoring expected results depends on:

- The selection of performance indicators and associated targets;
- The data sources defined;
- The method and technique of collection and analysis;
- The frequency of data collection;
- The roles and responsibilities for each of these tasks.

Key questions to be asked when monitoring

Hereunder a list of key questions which will assist responsible officers and their teams when monitoring a programme, activity, project. While monitoring the progress towards outputs and achievement of expected result(s), the responsible officer should ensure that the programming information defined initially remains valid. If this is not the case, the relevant information will need to be revised accordingly.

- Are the issues identified the ones actually tackled?
- Is the implementation on the right track or do remedial actions need to be taken?
- What are the outputs produced so far? Were there any difficulties in collecting data on the associated performance indicators? Are they produced as planned and efficiently? In what way, have they favoured the attainment of the result(s)?
- Regarding the Intervention logic, is the rationale with the underlying assumptions and causal sequence of the interventions to be undertaken, the key outputs deriving from them, the expected result(s) to be attained and measures to follow-up on them still valid?

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[9] Workplans encompass Regular Programme and Category 1 Institute activities as well as Extrabudgetary Projects.

- What about the key partners? Are they involved as foreseen in the implementation? Have any unplanned partners been involved? Are there any partners who have not been involved as planned?

- Who is actually benefiting from the implementation? Do the direct beneficiaries correspond to the ones planned? Are they involved as foreseen in the implementation? Has their feedback and assessments regarding progress towards outputs and achievement of expected result(s) been collected and analysed?

- If relevant, is the programme, activity, project part of a common country programming document? If so, which ones and how?

- Has the expected result been partly or completely achieved? (Achievements, expressed in relation to performance indicators and associated baselines and targets). Were there any difficulties in collecting data on the performance indicators selected to assess progress towards achievement of the expected result(s)?

- In what way have the achieved results contributed to the attainment of the higher-level Global Priority Africa/Global Priority Gender Equality result(s) indicated during programming? Do the results foreseen remain relevant and effective for achieving the higher-level expected result(s)?

- How much was spent? Does it correspond to the planned estimation? Have the targeted extrabudgetary resources been mobilized successfully? Are more resources needed?

- Are the persons in the team enough to ensure the implementation? Should others be involved/hired?

- Were there any opportunities that facilitated the implementation?

- What are the challenges or risks encountered during the implementation? In what way did they impact the implementation of the programme, activity, project? What measures can be undertaken to address or overcome these challenges or risks?

- What are the lessons learnt? How can these be taken into account in the future?

- If relevant, could the result(s) have been achieved more effectively and/or efficiently with an alternative delivery approach? (Cost-Effectiveness/efficiency).

- Should sunsets clauses and/or exit or transition strategy be applied?

- If relevant, are the conditions met to achieve or maintain the benefits of the Programme, activity, project beyond the Organization's assistance? (Sustainability).

Hence, monitoring against the plan of implementation allows to know if the assumptions in the Programming Framework remain valid or not. As this will inform its further management and implementation, it is important to monitor regularly. Often, certain aspects will turn out as planned and others will not. If an event hinders the implementation of a programme, activity, project to the point that it is no longer realistic to achieve the expected results or that these will not contribute to the attainment of the higher-level result(s) reprogramming will require to be undertaken. **Reprogramming** implies reviewing, adjusting the Result Framework and/or Results Chain information to the new situation and being accountable for it along with all other concerned information in particular the Implementation Strategy.

When undertaking the reprogramming of an activity, project, the validation from the Responsible Officer at the higher-level or visa from the Field Office Director/Head (when decentralised) is necessary to ensure that the agreement and overall programme coherence is maintained; in other words this ensures that the revised activity, project is still in line with and contributes to the expected result(s) defined at the higher-level. It also ensures that the established co-responsibility with the higher programme level is upheld.

10) Reporting

The information derived from monitoring informs reporting to key stakeholders on the progress achieved against the expected results in terms of achievements; challenges, remedial actions and lessons learnt; cost-effectiveness/efficiency and sustainability.

The purpose of **results-based reporting** is to provide key stakeholders with evidence-based information on performance and impact, analysing eventual discrepancies between the "expected" and "achieved" results to:

- Inform internal management and the Donor;
- Facilitate decision-making (including on remedial actions required);
- Inform future programme design and policy development;
- Disseminate and discuss results and lessons learnt in a transparent and iterative way.

For these statutory reports to be useful, it is essential that this information serves as the basis for the Secretariat's analysis and decisions. Consequently, periodic programme implementation reviews are carried out by Sector ADGs and Bureau/Service Directors, with particular attention paid to low performing programmes, activities, projects. Reviews may entail reprogramming actions as well as the reallocation of funds where performance is low and/or the development of exit strategies.

In addition, Sector ADGs, Bureau/Service Directors and BSP in the framework of the regular Workplan review exercise monitor low performing programmes, activities, projects and put forward recommendations in this regard to the Director-General. The information provided through SISTER (the Organization's knowledge management and decision-making tool), serves as the basis for these reviews as well as for other analysis ensuring Secretariat's informed decision-making.

Statutory reports

UNESCO Secretariat submits statutory reports to its Governing Bodies every six months on progress achieved. Progress is assessed against the expected results in light of the performance indicators and associated baselines as wells as quantitative and/or qualitative targets defined in the Programme and Budget (C/5) document. Providing reports to Member States and other stakeholders is a way of accounting for the resources entrusted to the Organization in terms of results achieved. It contributes to the development of the succeeding Programme and Budget (C/5) by taking into consideration good practices and lessons learnt. The reports thereby inform decision-making by UNESCO's internal management, Governing Bodies, Donors, national stakeholders and other concerned constituencies.
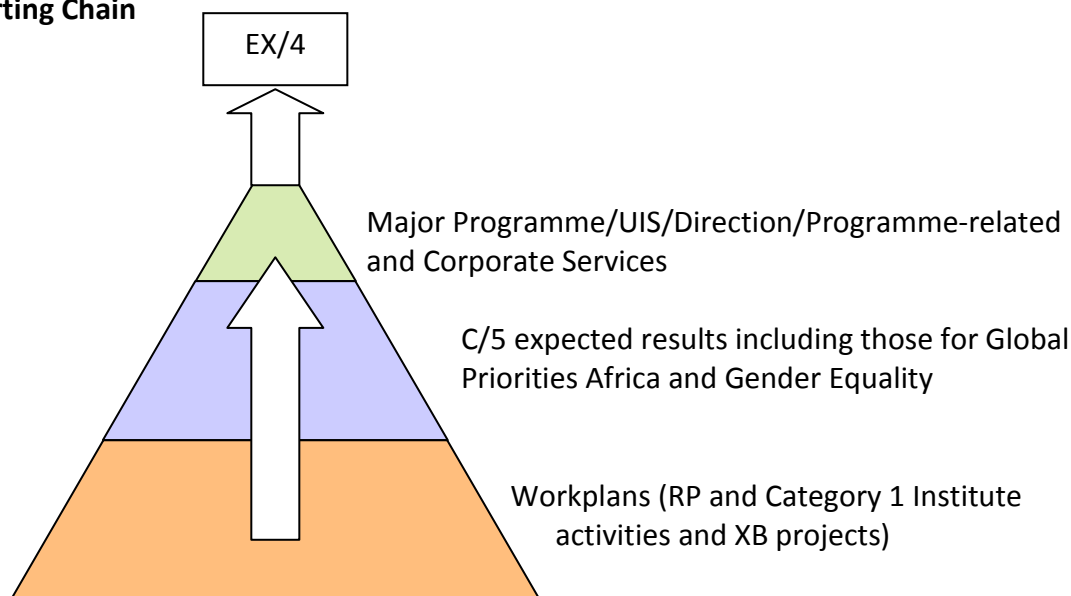
C/5 Programme (4 years) & Budget (2 years)

EX/4 report by the Director-General on the implementation of the programme adopted by the General Conference (Every six months: cumulative reporting)

Joint EX/4-C/3 report of the Director-General on the implementation of the activities (Every four years)

Timeframe for the statutory progress reports

The Reporting Chain

Statutory reports are elaborated in line with the principles of the Results Chain (explained in chapters 5 and 7). The Workplans 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 Strategic Objectives defined in the Medium-Term Strategy (C/4).

Progress assessments at the respective programme levels and associated reporting are therefore built through a bottom-up approach as illustrated in the below diagram. For example, the progress assessment of the various Workplans (Regular Programme, extrabudgetary and Category 1 Institute as well as Category 2) informs the progress assessment against the specific C/5 expected result to which they contribute. Hence, the latter will include contributions from Field Offices, Category 1 Institutes (as well as Category 2) and Headquarters. In the same manner the progress assessments of the C/5 expected results informs the elaboration of the strategic assessment of the Major Programme/UIS/Direction/Programme-related and Corporate Service to which they contribute. This mechanism ensures that the progress assessments at the strategic policy levels encompasses results achieved at the global, regional and country level and reflects the use and impact of both Regular Programme and extrabudgetary resources including of Category 1 Institutes.

The Reporting Chain

EX/4

Major Programme/UIS/Direction/Programme-related and Corporate Services

C/5 expected results including those for Global Priorities Africa and Gender Equality

Workplans (RP and Category 1 Institute activities and XB projects)

New format of the EX/4 reports

The EX/4 report is composed of two parts, Part I regarding Programme and Part II referred to as the "Management Chart" regarding financial information.

According to the decision adopted by the Executive Board at its 195th session and endorsed by the 38th General Conference, the Director-General is to present:

Part I printed Report (spring session)

- A **Programme Implementation Report (PIR)** for each spring session (e.g. 196th, 199th, 201st sessions).

This report informs the Executive Board whether implementation is achieved within given time, quantity, quality and budget constraints. It presents, per C/5 Expected Result, a concise analytical assessment of programme performance in terms of progress towards the ***delivery of activities and outputs,*** including trends, geographical distribution and challenges in key programme areas.

Key questions to be answered: Are we on track for achieving the outputs? What are the challenges in implementation? Which options for concrete remedial actions can the Secretariat propose to the Executive Board?

- An **Analytical Programme Implementation Report (APIR)** to the spring session of the first year of each quadrennium (e.g. 204th session).

This report will cover the status of programme implementation over the entire quadrennium. It will present the implementation status in a more analytical format including *inter alia* trends, aggregated information per sector and per region, covering the preceding quadrennium. The challenges shall be dealt within a comprehensive section where they can be addressed with a comprehensive and coherent set of concrete proposals for solutions.

- A **Strategic Results Report (SRR)** to the third spring session of each quadrennium (e.g. 199th session).

This report will aim at facilitating strategic decision-making and future planning by the Executive Board. This report will be strategic and analytical. It will be retrospective and forward looking. Retrospectively it will present the causal effects UNESCO's work has
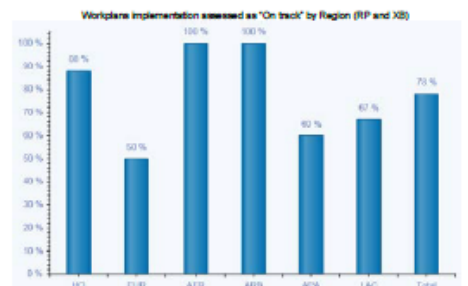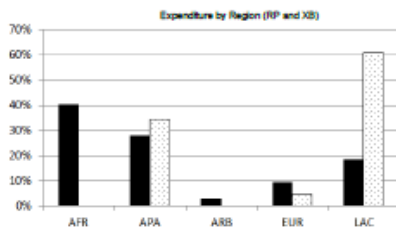
produced. This overview will not pertain to output delivery but rather to **achievement of results in terms of outcome** and – as applicable and to the extent possible impact.

This outcome information will enable the Executive Board to forward recommendations to the General Conference concerning the concrete and precise implementation of sunset clauses for UNESCO's programmes and specifically whether programmes should be continued, reoriented or terminated. Forward looking it will present ideas about how to address identified challenges and a coherent set of concrete proposals for solutions including future areas of work and orientations.

Key questions to be answered: Did UNESCO's activities lead to changes for all stakeholders or not? Does UNESCO have an added value (niche) in its areas of intervention in regard to other organizations?

ER 8: Risk reduction improved, early warning of natural hazards strengthened and disaster preparedness and resilience enhanced

Regular Programme ($507M Expenditure Plan) and extrabudgetary resources in thousands of US$								Assessment of implementation of Workplans
Regular budget (staff costs and operational)			**Extrabudgetary resources 2014**			**Extrabudgetary resource mobilization**		
Allocation 2014-2015	Expenditure 2014	Exp. Rate %	Allotment	Expenditure	Exp. Rate %	Funding target 2014-2015	Funds mobilized 2014	🟢
2,725	1,229	45%	992	387	39%	2,000	1,063	

Expenditure by Region (RP and XB)

Workplans implementation assessed as "On track" by Region (RP and XB)

Implementation has been assessed as "On track" for 78% of Workplans (RP and XB)
N.B. 4% of Workplans did not provide an overall assessment. This may impact the overall and regional rating breakdown.

$507M Expenditure Plan Performance Indicators (PI) and Targets (T)	Assessment of progress as at 31/12/2014	Likelihood that target will be attained
PI: Number of new partnerships established by supported Member States to advocate the importance of DRR. **T 2014-2015:** At least 2 new partnerships established at global and regional levels.	3 UNESCO-led existing networks on reducing earthquake-related disaster risk were strengthened in 2014, 1 at global scale (IPRED) and 2 with regional geographical scope (RELSAR and RELCAR, focusing on Southeast and Central Asia).	High
PI: Number of supported Members States which have enhanced resilience and increased capacity in DRR. **T 2014-2015:** At least 20 countries, out of which at least 4 in Africa.	More than 15 countries have enhanced capacities in DRR, 4 of which are in Africa. The capacity-strengthening activities ranged from raising awareness of communities to DRR-related issues, development of tools for decision-makers, assessment reports, hazard mapping, etc. Beneficiaries included the Central America region, Egypt, Iran, Namibia, Pakistan, Senegal, Uruguay.	High

Challenges and risks in implementation and remedial actions

Key challenges	Remedial actions
A number of challenges have been identified, specific to the local context, sometimes being of cultural nature, other times being on cooperation with other agencies within the UNDAF framework, or poor performance by the hired consultant as well as the competing meetings that reduce the desired level of awareness.	Colleagues have been resilient in dealing with limited finances, approaching other partners and donors, using the one UN/UNDAF mechanisms, etc. They have exercised patience and understanding to ensure that the cultural context within which they need to operate is taken into consideration and have managed with persistent efforts to ensure progress is made in their activities despite the poor performance of hired consultants.

Example of the EX/4 PIR for a C/5 expected result

SISTER Online information (all sessions)

The online information will continue to be presented in tabular form, clearly identifying expected results, related performance indicators and associated baselines as well as targets. It shall present detailed information on progress made towards the achievement of each C/5 expected result grouped by Main line of Action/Category 1 Institute/Chapter and by Major Programmes (MP) for the two Global Priorities of the Organization Africa and Gender Equality. Progress must be assessed against related performance indicators and associated baselines as wells as quantitative and/or qualitative targets as revised in light of the **Expenditure Plans**. It highlights particularly noteworthy achievements and the overall impact achieved so far with reference to key outputs (e.g. reinforcing capacity, technical assistance, policy dialogue facilitation). Challenges, remedial actions and lessons learnt for each C/5 expected results as well as cost-effectiveness/efficiency and sustainability measures shall also be provided. The assessments must be based on the contributions of Headquarters, Field Offices and UNESCO Category 1 and 2 Institutes and Centres.

This information will be completed by C/5 expected result with budget and financial information regarding both Regular Programme and Extrabudgetary resources (including of Category 1 Institutes).

The progress assessments for the C/5 expected results are made available to Member States directly via SISTER (http://sister.unesco.org/) and when required the BSP Internet site (http://www.unesco.org/new/en/bureau-of-strategic-planning/resources/programme-and-budget-c5/document-ex4/) prior to the Executive Board session.

The purpose of the introduction of the C/5 expected result template is to provide quality evidence-based (that is viewed from the key stakeholders and in particular beneficiary groups) result-oriented (that is focusing on results and impact achieved) reporting placing Member States in the driver's seat. Informing them along with all other stakeholders on challenges encountered, detailing risks and remedial actions taken. The quality of information, emphasizing the importance of analytical reporting, facilitates the debate on substantive issues and guides the Member States in their monitoring tasks.

Hence, when monitoring and reporting the Result Framework requires to be accompanied by the following information:

Achievements are an assessment of the major programmatic accomplishments at a given point in time of the result. It informs on progress towards achievement of the expected result or part of the expected result in light of the performance indicators and associated baselines as wells as quantitative and/or qualitative targets. It includes information about the key outputs produced and how these contribute to the attainment of result(s), thereby making the linkage between the Organization's action and the benefit from the direct beneficiary perspective. For each defined performance indicator associated to both output and expected result the target attained, whether quantitative and/or qualitative, will be indicated. Furthermore regarding the latter, the responsible officer according to evidence gathered, will

then determine if the **overall assessment of the likelihood that the target will be attained** is "High", "Medium" or "Low".

Likelihood that target will be attained	Definition
High	Progress achieved corresponds to plans. The corresponding target will most probably be met.
Medium	Progress achieved corresponds partly to plans. The corresponding target will most probably only be partially met.
Low	Progress achieved does not correspond to plans. The corresponding target will most probably not be met.

Identification of **challenges and risks in implementation and remedial actions** is crucial to learn and improve future programme design and implementation. Therefore it is also important to provide an assessment of obstacles and critical difficulties encountered in programme implementation and performance. When possible, the assessment should include remedial actions to overcome these challenges. **Lessons learnt** are defined on the basis of an assessment of success and failure factors which could inform future programme design and implementation.

Cost-effectiveness/efficiency refers to an assessment of whether interventions and outputs have been delivered with a minimum of resources without reducing the quality and quantity of the achievements. Cost-effectiveness analysis of an intervention is the assessment of whether the same (or greater) results could have been achieved at lower cost through other alternative delivery approaches. 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.

Cost-effectiveness versus efficiency:
- *Effectiveness*: The extent to which the programme, activity or project's results were achieved, or are expected to be achieved, taking into account their relative importance. Responding to the question: "Are we doing the right things?"
- *Efficiency*: A measure of how economically inputs are converted into results. Responding to the question: "Are we doing the things right?"

Sustainability: a programme, activity or project can be described sustainable when the benefits derived from it are maintained over time and beyond the Organization's assistance. Involving direct beneficiaries and key partners in the programme design and implementation favours ownership and contributes to ensuring sustainability. The purpose is to report on the criteria or conditions put in place to assess the sustainability of the programme, activity or project. In addition, indications about sunset clauses and/or exit or transition strategy can prove useful.

In addition to the above, will require to be developed:
The contribution of results achievements to higher-level result(s) attainment which refers at the Workplan level to the contribution towards the attainment of the C/5 result(s) while at the C/5 level it refers to the contribution towards the attainment of the C/4 Strategic Objective(s). To proceed, needs to be reviewed the validity of the rationale of the intervention logic with the underlying assumptions and causal sequence, which ensures the consistency between outputs and results attainment whether within a programme, activity or project or regarding UNESCO's overall Results Chain. Hence, demonstrating "why/how" outputs have contributed to result achievements at the Workplan level and thereafter "why/how" these have contributed to the attainment (and associated information) of the C/5 result(s) and in turn "why/how" these have contributed to the attainment of the C/4 Strategic Objective(s). This ensures that Workplans relate and have contributed directly to the C/5 expected results and C/4 Strategic Objectives approved by the Member States at the General Conference,

hence that the Organization has focused its resources (Regular Programme and Extrabudgetary) on achieving the results defined at the highest levels or has taken remedial actions.

At the Workplan level, when the responsible officer has completed entering the information in the monitoring field, according to evidence gathered, s/he should then give an overall assessment of whether the Workplan's implementation is "On track", "Partly on track", or "Not on track". **The Overall assessment at the Workplan level** refers to a tri-colour scale enabling to represent through a symbol the conclusions of their assessment of the overall implementation of each Workplan.

Assessment of overall Workplan implementation	Definition	Criteria
🟢: **On track**	Progress achieved corresponds to plans. The corresponding targets are expected to be met.	When *at least three-quarters of the targets* are "On track" (i.e. 🟢).
🟡: **Partly on track**	Progress achieved corresponds partly to plans. The corresponding targets are expected to be only partially met.	When *between half and three-quarters of the targets* are "On track" (i.e. 🟢).
🟥: **Not on track**	Progress achieved does not correspond to plans. The corresponding targets are not expected to be met.	When *less than half of the targets* are "On track" (i.e. 🟢).

This feature permits to present at a glance, programme implementation associating both progress assessments (substance) and expenditure rates (that is budget execution). This should facilitate further decision-making particularly in case of "Not on track" implementation by the Secretariat and serve as an indication or an alert system which does not rely solely on expenditures rates.
The monitoring information will assist the responsible officer at the C/5 expected result in aggregating and elaborating the achievements and assessment of progress achieved.

At the C/5 expected result level, when the responsible officer has completed entering the information in the monitoring field, according to evidence gathered, s/he should then give an overall assessment of whether the implementation of Workplans contributing to the C/5 expected result at this moment in time is "On track", "Partly on track" or "Not on track".

Assessment of implementation of Workplans contributing to C/5 expected result	Definition	SISTER Aggregation Rule
🟢: **On track**	Progress achieved corresponds to plans. The corresponding targets are expected to be met.	When *at least three-quarters of assessments of the Workplans implementation* are "On track" (i.e. 🟢).
🟡: **Partly on track**	Progress achieved corresponds partly to plans. The corresponding targets are expected to be only partially met.	When *between half and three-quarters of the assessments of Workplans implementation* are "On track" (i.e. 🟢).
🟥: **Not on track**	Progress achieved does not correspond to plans. The corresponding targets are not expected to be met.	When *less than half of the assessments of Workplans implementation* are "On track" (i.e. 🟢).

This tri-colour scale enables responsible officers to represent through a symbol the conclusions of their assessment of implementation of Workplans for each C/5 result. This

feature permits to present at a glance, programme implementation associating both progress assessments (substance) and expenditure rates (that is budget execution). This should facilitate further decision-making by the Secretariat and Member States and serve as an indication or an alert system which does not rely solely on expenditures rates.

The tri-colour scale is not meant to assess the achievement of the C/5 results, but rather to give an indication about the status of the implementation of all the relevant Workplans within the Expenditure Plans. Hence, for the EX/4 Part I PIR Report, a "green" mark indicates that implementation of the associated Workplans is proceeding as planned and "On track" to achieve the expected outputs linked to the C/5 expected results.

C/5 Expected Result N° 1:						
Performance indicator (PI) **(a maximum of three)**	**Baseline (B)**	**Quantitative and/or qualitative Target (T):**				
		2014-2015	2014-2017	CAP 2014-2015	◄ As at 30/06/2015	
					Progress achieved against Target	**Likelihood that target will be attained**
PI 1.						High
PI 2.						Low
PI 3.						Medium
Output N°1:					Likelihood that Output will be achieved	High
Performance indicator (PI) **(a maximum of three)**	**Baseline (B)**	**Quantitative and/or qualitative Target (T):**				
		2014-2015	2014-2017	CAP 2014-2015	**Progress achieved against Target as at** **◄ 30/06/2015**	
PI 1.						
PI 2.						
PI 3.						
Output N°2:					Likelihood that Output will be achieved	Medium
Performance indicator (PI) **(a maximum of three)**	**Baseline (B)**	**Quantitative and/or qualitative Target (T):**				
		2014-2015	2014-2017	CAP 2014-2015	**Progress achieved against Target as at** **◄ 30/06/2015**	
PI 1.						
PI 2.						
PI 3.						

Example of the Result Framework at C/5 expected result level when monitoring and reporting

Reporting: Chain of responsibility

The preparation of the statutory report exercise is composed of the same key milestones and involves the same actors as the Validation Cycle:

- The responsible officer and teams of Regular Programme and extrabudgetary Workplans (including of Category 1 Institutes) proceed with reporting on achievements and assessment of progress achieved.

- The Field Office Director/Head for decentralised Workplans and the C/5 expected result responsible officer/deputy for Headquarters Workplans review the achievements and assessment of progress achieved and grants their visa.

- On this basis, the responsible officers at the C/5 expected result level (including of Global Priorities: Africa and Gender Equality) prepare the consolidated report on achievements and assessment of progress achieved. The Responsible officers of C/5 expected results need to also take into account what has been specifically achieved at the C/5 expected result level.

- The Executive Office colleagues of the Sectors, Bureaux, Services review, validate, analyse and prepare the Strategic assessment of the Major Programme, UIS, Bureau, Service on the basis of the C/5 expected results achievements and assessment of progress achieved (including of Global Priorities: Africa and Gender Equality).

- BSP, Africa Department and Gender Equality Division ensure the coordination, harmonization and quality control.

- o Africa Department and Gender Equality Division prepare a summary strategic assessment on the basis of reporting information provided by the Sectors in SISTER;
  - o BSP provides final overall review.
- On the basis of this overall review, the Director-General submits the statutory report to the Governing Bodies.

Hence, the statutory report exercise corresponds to a multi-step approach by the Secretariat and induces **co-responsibility** between responsible officers on the basis of **transparency** and ensures that **all stakeholders** are **involved** from **inception** and **throughout monitoring** and **reporting**.
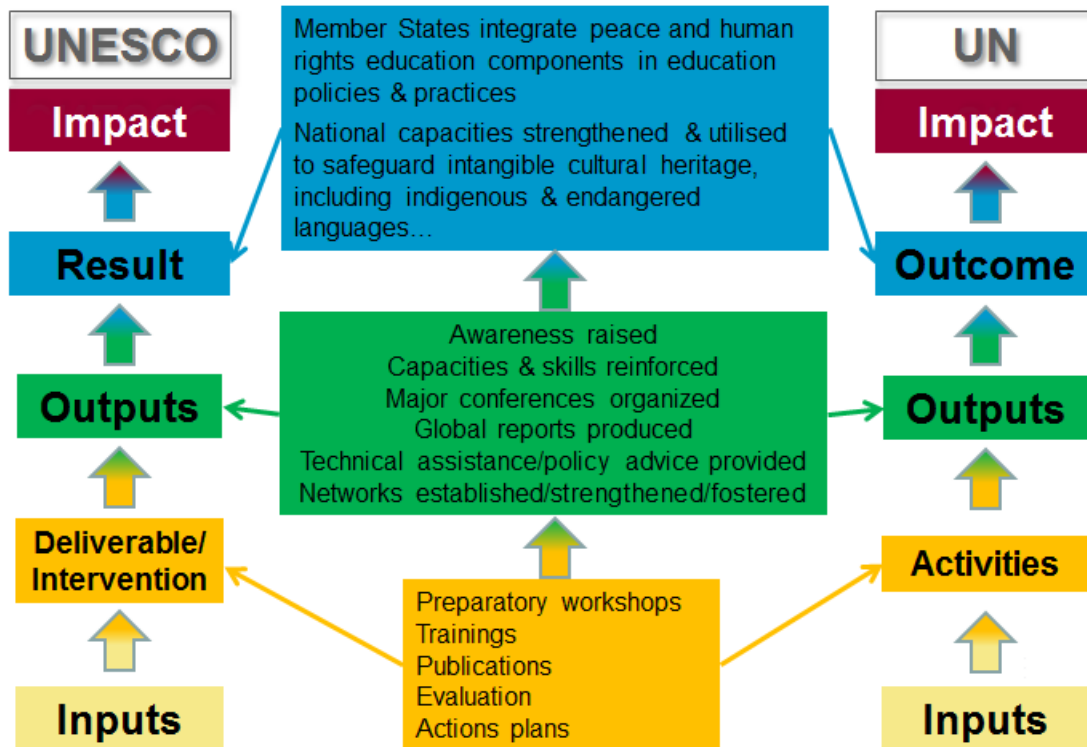
This Chain of responsibility ensures not only that the **internal quality** and **coherence** of the programme, activity, project is maintained in particular through the update when required of its Results Framework and implementation strategy; but also the continued **consistency** and **coherence** of the Results Chain.

Country reports

In line with the UN reform process and the trend towards common country programming, UNESCO Member States are increasingly asking for information by country. In that regard Member States can extract programming reports from SISTER (http://sister.unesco.org/) on activities or projects benefiting a specific country or region (SISTER Country Report).

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 (MyTalent)) 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 UN system entities:

RBM: The intervention logic/ transformative process UNESCO vs. UN

UNESCO		UN
Impact	Member States integrate peace and human rights education components in education policies & practices National capacities strengthened & utilised to safeguard intangible cultural heritage, including indigenous & endangered languages...	**Impact**
Result		**Outcome**
Outputs	Awareness raised Capacities & skills reinforced Major conferences organized Global reports produced Technical assistance/policy advice provided Networks established/strengthened/fostered	**Outputs**
Deliverable/ Intervention		**Activities**
Inputs	Preparatory workshops Trainings Publications Evaluation Actions plans	**Inputs**

11) Evaluation[10]

UNESCO's Evaluation Policy for the 2014 – 2021 period was endorsed by the Executive Board in early 2015. The new policy was developed through an extensive consultation process within UNESCO and its Member States and was then peer reviewed by senior evaluation experts from a number of international organizations. It provides an ambitious roadmap for strengthening the evaluation function at UNESCO in order to improve organizational learning and accountability.

Definition and purpose of evaluation – Evaluation is "*an assessment, as systematic and impartial as possible, of an activity, project, programme, strategy, policy, topic, theme, sector, operational area, institutional performance, etc. It focuses on expected and achieved accomplishments, examining the results chain, processes, contextual factors and causality, in order to understand achievements or the lack thereof. It aims at determining the relevance, impact, effectiveness, efficiency and sustainability of the interventions and contributions of the organizations of the United Nations system. An evaluation should provide evidence-based information that is credible, reliable and useful, enabling the timely incorporation of findings, recommendations and lessons into the decision-making processes of the organizations of the United Nations system and its members*".[11] The standard criteria[12] used in the evaluation of UNESCO interventions include relevance, efficiency, effectiveness, impact and sustainability.

The mandate for evaluation is explicitly articulated in UNESCO's approved Medium-Term Strategy (37C/4) for the 2014-2021 period which states *"UNESCO's evaluation function plays a critical role in enabling the Organization to meet its mandate by providing credible and evidence-based information that feeds into various decision-making processes. The evaluation function is critical to turning UNESCO into a learning organization. During the period of the Medium-Term Strategy, the overarching purpose of the evaluation function will be to strengthen UNESCO's evaluation and results-based management culture through targeted evaluation activities and advisory services in support of improved organizational learning, programme improvement and accountability."*

In UNESCO, all evaluations share the dual purpose of organizational learning and accountability. Evaluation is critical to helping UNESCO as an organization to make progress towards achieving its mandate. One way that evaluation does this is by systematically analysing the underlying causal logic and assumptions linking activities, outputs and outcomes. In doing so, UNESCO is better able to understand how its programmes are designed and how its programmes are making a difference. By generating an evidence base of what works, what doesn't and why, evaluation enables programme managers, senior management and UNESCO's Governing Bodies to make informed decisions about policy development and programming, to plan strategically and to allocate resources optimally. UNESCO's ultimate success therefore hinges in large measure on its ability to conduct and to use credible evaluations.

The evaluation system in UNESCO – The evaluation system consists of corporate evaluations conducted by the Internal Oversight Service (IOS) Evaluation Office and decentralized evaluations managed by other UNESCO entities. Corporate evaluations typically assess areas of high significance or strategic importance that contribute to the achievement of UNESCO's mandate and medium-term strategy objectives. These evaluations are conducted either using the internal capacities and expertise of the IOS Evaluation Office and/or with external consultants. Decentralized evaluations are managed
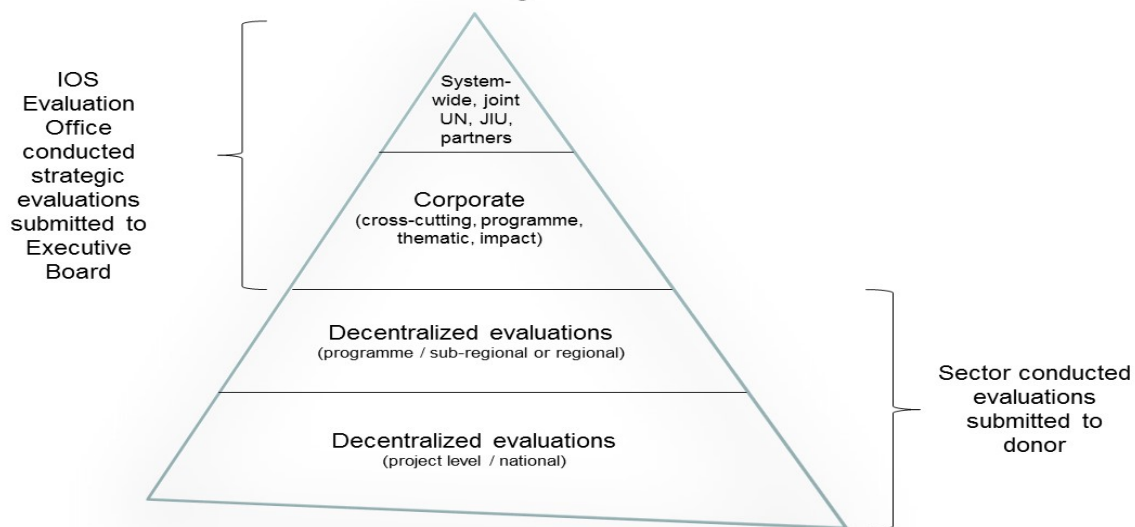
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[10] This section is based on UNESCO's Evaluation Policy which was endorsed by the Executive Board at its 196th session, 196 EX/24.INF
[11] *Norms for evaluation in the United Nations System* were endorsed by the UNEG in 2005.
[12] Refer to Annex I of UNESCO's Evaluation Policy for a glossary of key evaluation terms including definitions for these criteria.

by UNESCO entities with a programmatic function, typically one of the Programme Sectors or field units, and conducted by evaluators who have not been involved in the design, implementation or management of the subject under evaluation. The most common type of decentralized evaluation is at the project-level, typically donor-funded extrabudgetary activities. As per UNESCO's guidelines on extrabudgetary activities, all extrabudgetary activities are subject to evaluation. The nature of the evaluation depends on the size and complexity of the project. The provisions for evaluation are explicitly referred to in the donor agreement and, as per the standard project document template, should also be described in the project document and budget.

Evaluation System in UNESCO

IOS Evaluation Office conducted strategic evaluations submitted to Executive Board

System-wide, joint UN, JIU, partners

Corporate (cross-cutting, programme, thematic, impact)

Decentralized evaluations (programme / sub-regional or regional)

Decentralized evaluations (project level / national)

Sector conducted evaluations submitted to donor

Responsibilities for evaluation – IOS is the custodian of the evaluation function. IOS is a consolidated oversight mechanism covering evaluation, internal audit and investigation. Its Evaluation Office is directly responsible for establishing an effective evaluation system to promote organizational learning and accountability for results. It is accountable for the conduct and quality of corporate evaluations and shares joint responsibility with other UNESCO entities for establishing an effective decentralized system of evaluations. The IOS Evaluation Office, under the leadership of the IOS director, is thus fully independent from the operational management and decision-making functions in the Organization and has full authority to submit reports to appropriate levels of decision-making. The IOS director presents evaluation reports to both the Director-General and the Executive Board. IOS has the authority to select topics for evaluation and their timing.

UNESCO staff in Headquarters and in field entities monitors the performance of its respective programmes, projects, service or functions to generate useful information to facilitate corporate and decentralized evaluations. Responsible staff ensures the implementation of the decentralized evaluation plan in a professional manner, ensures follow-up to corporate and decentralized evaluations, and uses all evaluation findings for future programming and learning. Responsible staff is also accountable for publically disseminating decentralized external evaluation reports.

The roles and responsibilities of the various actors in corporate and decentralized evaluations are explained in greater detail in UNESCO's Evaluation Policy.

Evaluation planning – The IOS Evaluation Office is tasked with establishing a quadrennial corporate evaluation plan and with ensuring the compilation of a quadrennial decentralized evaluation plan which contains those extrabudgetary projects with an allocation greater than $1.5 million. These plans are elaborated in consultation with UNESCO senior management, directors of UNESCO Field Offices/Institutes and other key stakeholders such as donors.

Resources for evaluation – UNESCO's Evaluation Policy sets an overall target of 3% of programme expenditure (regular and extrabudgetary budget resources) as the recommended minimum level of investment in evaluation. However, it is advisable to consult with IOS early in the project or programme design phase to determine evaluation budget requirements.

Follow-up to evaluation – As a general principle, all corporate and decentralized evaluations should contain both a management response and an action plan. At the conclusion of an evaluation, management provides its overall view on the report findings and recommendations, highlighting the key actions to be taken in response to significant recommendations. The management response is included as an annex to the final evaluation report. In most circumstances, evaluations are followed by the development of an action plan containing details on how management intends to address individual recommendations. The IOS Evaluation Office monitors progress by reporting to the Executive Board annually on the status of implementation of corporate and joint/system-wide evaluation report recommendations.

Evaluation guidance material – A set of guidelines have been developed to assist UNESCO staff in the planning, design and management of evaluations. The guidance material is an important aspect of UNESCO's quality assurance mechanism and aims to ensure that UNESCO applies a standardized framework for evaluation methodology and evaluation criteria across all evaluations. All guidance material can be downloaded at the Internal Oversight Service home page.

UNESCO RBM Glossary

Definitions (alphabetical order)
Achievements: Assessment of the major programmatic accomplishments at a given point in time of the result.
Baseline: It provides the starting point or the status of the performance indicator at the beginning of a programme or project that acts as a reference point against which progress or achievements of expected results or outputs can be assessed.
Benchmark: Reference point or standard, including norms, against which progress or achievements can be assessed.
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 programme, activity or project is primarily organized. Indirect beneficiaries refer to those who are affected by the programme, activity or project.
C/3: Report of the Director-General on the activities of the Organization (it is on the implementation of the previous Programme and Budget, that is 38 C/3 regards 2012-2013 and 40 C/3 regards 2014-2017).
C/4: UNESCO Medium-Term Strategy (eight years).
C/4 Overarching Objectives (OO): The Medium-Term Strategy is structured around two Overarching Objectives (OO) of relevance for the entire Organization designed to respond to the most important global challenges in UNESCO's field of competence and delineate areas for which UNESCO has a unique profile in the multilateral system.
C/4 Strategic Objectives: Nine Strategic Objectives (SO) translate the Overarching Objectives in programme-relevant and thematic terms, combining both intra and intersectoral responses to the identified global challenges. Each SO builds in a linkage between normative and operational tasks.
C/5: UNESCO Programme and Budget (four-year Programme; 2 Regular Programme biennial Budgets).
Challenges, remedial actions and lessons learnt: **Challenges** are defined on the basis of an assessment of obstacles and critical difficulties encountered in programme implementation and performance. The underlying purpose is to propose, when feasible, remedial actions to overcome these challenges. **Lessons learnt** are defined on the basis of an assessment of success and failure factors which could inform future programme design and implementation.
Cost-Effectiveness/efficiency: This refers to an assessment of whether interventions and outputs have been delivered with a minimum of resources without reducing the quality and quantity of the achievements. **Cost-effectiveness analysis** of an intervention is the assessment of whether the same (or greater) results could have been achieved at lower cost through other alternative delivery approaches. The purpose is to inform about the rationale 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.
Effectiveness: The extent to which the programme, activity or project's results were achieved, or are expected to be achieved, taking into account their relative importance. Responding to the question: "Are we doing the right things?"
Efficiency: A measure of how economically inputs are converted into results. Responding to the question: "Are we doing the things right?"

Definitions
(alphabetical order)

Evaluation: *"An assessment, as systematic and impartial as possible, of an activity, project, programme, strategy, policy, topic, theme, sector, operational area, institutional performance, etc. It focuses on expected and achieved accomplishments, examining the results chain, processes, contextual factors and causality, in order to understand achievements or the lack thereof. It aims at determining the relevance, impact, effectiveness, efficiency and sustainability of the interventions and contributions of the organizations of the United Nations system. An evaluation should provide evidence-based information that is credible, reliable and useful, enabling the timely incorporation of findings, recommendations and lessons into the decision-making processes of the organizations of the United Nations system and its members."* (Norms for evaluation in the United Nations System were endorsed by the UNEG in 2005).

EX/4 Report: Report by the Director-General on the execution of the Programme and Budget adopted by the General Conference.

Exit or transition strategy: An exit/transition strategy is a statement indicating the way you intend to 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, activity or project are established, the sustainability is driven by other players. UNESCO needs to ensure the smooth hand over of the programme, activity or project, by ensuring the relevant skills transfer to (national) partners, or by reinforcing capacity to manage the programme, activity or project for example.

FABS: UNESCO's Finance and Budget System. It is used to record financial transactions, maintain accounts and provide data for budgetary and financial reporting.

Impact: Impact implies changes in people's lives. This might include changes in knowledge, skill, behaviour, health, income, or living conditions. Such changes are positive or negative long-term effects produced by a development intervention, directly or indirectly, intended or unintended. These effects can be economic, socio-cultural, institutional, environmental, technological or of other types. Impacts should have some relationship to the internationally-agreed development goals, national development goals, and national commitments to international conventions and treaties.

Implementation Strategy: Explains how to move from the current situation to the one described in the expected result(s) ("result(s) statement"). It should be action-oriented specifying the:
 - Major needs to be addressed and issues to be tackled as well as corresponding baseline;
 - Intervention logic: Rationale with the underlying assumptions and causal sequence of the interventions to be undertaken, the key outputs deriving from them, the expected result(s) to be achieved and measures to follow-up on them as well as the long-term expected result foreseen beyond the quadrennial timeframe providing the overall perspective of the programme, activity or project. In other words, specify "Why & How" key outputs will lead to the programme, activity or project's expected result(s) and thereafter "Why & How" the latter will contribute to the long-term expected result foreseen;
 - Direct beneficiaries and key partners and their expected roles;
 - Conclusions of a risk analysis related to the implementation with the measures foreseen to mitigate the negative impact of threats;
 - Sunset clauses and/or exit or transition strategy.

Input: The financial, human, material, technological and information resources used for development interventions.

Intervention/Deliverable: Actions taken or work performed through which inputs, such as funds, technical assistance and other types of resources, are mobilized to produce specific outputs.

Intervention logic: A framework of causal relationships linking inputs to outputs, results and eventually impacts. It is a tool that facilitates the process of making sense of how a programme, activity, project works and is intended to lead to change. Through empirical inquiry (e.g. monitoring, evaluation) the intervention logic can be further refined to better resemble reality. An intervention logic is more precise than and can deviate from (e.g. because it is sometimes reconstructed during a programme, activity, project) a Result Framework.

Means of verification: The sources of information (documents, methods of data collection, persons, or organizations) which will be used to inform initial baselines and to measure (in quantitative and/or qualitative terms) progress achieved against targets.

Definitions
(alphabetical order)
Monitoring: The function of Monitoring is to assess the actual situation compared to the programmed information originally defined and take remedial actions when needed. 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"* OECD/CAD. Distinction can be made between implementation monitoring (i.e. progress in undertaking an activity or project) and results monitoring (i.e. the results achieved by the activity or project) in relation to plans.
Outcome: Outcomes represent changes in the institutional and behavioural capacities or development conditions. At the planning stage, these are articulated as expected results.
Output: Outputs are the products, goods and services which result from a development intervention. They are within the control of the Organization and attributable to it. Outputs may include changes resulting from the intervention which are relevant to the achievement of the expected results. They can be tangible or intangible. Examples of an output: awareness raised; capacities and skills reinforced; major conferences organized; global reports produced; technical assistance/policy advice provided; partnerships and networks established, strengthened or fostered; Policy analysis, monitoring and benchmarking ensured.
Performance indicator: A performance indicator is a unit of measurement along a specified scale or dimension. Performance indicators are a qualitative or quantitative means of measuring an output or result/outcome, with the intention of gauging the performance of a programme or investment. Performance indicators of expected results refer to what the direct beneficiaries are to do differently after the intervention. Performance indicators will assist you in ensuring that the expected result is measurable. They allow to identify to what extent direct beneficiaries/target groups have been reached and hence provide indications of the change (or level of attainment) allowing to assess the level/degree of the achievement. Performance indicators of outputs refer to what the Organization is to do. Combining all performance indicators and their associated targets should allow you to capture the essence of the expected result or output and either ensure that it is achieved or understand the reasons why it is not.
Result: Results are changes in a state or condition that derive from a cause-and-effect relationship. They can be intended or unintended, positive and/or negative. An expected result expresses the "desired" change which is expected to be induced by the implementation of programmes, activities or projects carried out in the context of the Programme and Budget (C/5 document). 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. It often relates to the use of outputs by the intended direct beneficiaries. Performance in achieving results will be measured by both quantitative indicators and qualitative indicators.
Result Framework: Results Framework is designed to guide the planning/programming, monitoring, reporting and evaluation at all levels of the Organization. A Results Framework is defined for all C/5 expected results as well as all programmes, activities or projects. It provides the internal logic, ensures that it is consistent in itself thereby favouring the quality of the programme, activity or project by linking the outputs to the results that are to be achieved through its implementation. For both of these it presents performance indicators and associated information such as baseline as well as quantitative and/or qualitative targets allowing to measure both achievements towards results: or impact and to measure outputs produced: or performance.
Result-Based Budgeting (RBB): RBB is the budgeting component of the RBM framework of UNESCO. It refers to a budget process that directly connects resource allocation to specific, measurable results. It provides the framework for costing (inputs) and the basis for prioritizing the budgets for expected results during the programme planning phase, as well as for managing financial resources during the implementation phase to ensure the efficient use of resources.

Definitions
(alphabetical order)
Result-Based Management (RBM): Results-based management reflects the way an organization applies processes and resources to undertake interventions to achieve desired results. It is a participatory and team-based management approach to programme planning that focuses on **performance** and achieving **results** and **impacts**. It is designed to improve delivery and strengthen management **effectiveness**, **efficiency** and **accountability**.
Results Chain: At UNESCO, the Results Chain flows from the expected Strategic Objectives of the Medium-Term Strategy (C/4), down to the expected results defined in the Programme and Budget (C/5) to the expected results of the quadrennial Workplans, ensuring a seamless passage between the programme levels. Each programme level has to be linked to the next one, indicating why & how the expected results of the lower-level contribute to the attainment of the higher-level expected results thus forming a Chain of results, based on the principles of alignment and aggregation. In other words, the achievement of one result is necessary for and contributes to the achievement of the result at the level above, via a causal connection. This link established between the expected results at different programme levels ensures that the Organization focuses its resources on attaining the expected results defined at the highest levels.
Risks: It is the possibility of an event occurring that will have an impact on the achievement of results, either positive or negative. Please refer to the Risk Management Training Handbook available at http://unesdoc.unesco.org/images/0019/001906/190604E.pdf
SISTER: UNESCO's System of Information on Strategies, Tasks and the Evaluation of Results; The Organization's knowledge management and decision-making IT-based management tool, which follows and supports RBM and RBB approaches. It covers the preparation (that is programming, budgeting) of the Programme and Budget (C/5), of the Workplans and their implementation (that is management, monitoring, reporting and evaluation).
"SMART": - **S**pecific: It has to be exact, distinct and clearly stated. Vague language or generalities are not expected results. It should express the nature of expected changes, the direct beneficiaries, the region, etc. It should be as detailed as possible without being wordy. - **M**easurable: It has to be measurable in some way, involving quantitative and/or qualitative characteristics. - **A**chievable: It has to be realistic with the financial, human and institutional resources available. - **R**elevant: It has to contribute to the attainment of the higher-level expected result(s) and respond to specific and recognized needs or challenges within the Organization's mandate. - **T**ime-bound: It has to be achievable within a specific timeframe.
STEPS (MyTalent): UNESCO's System to Enhance Personnel Services. It covers human resources management and payroll.
Sunset Clause: It is a statement within a programme, activity or project stipulating its termination on a specified date unless it is deliberately renewed.
Sustainability: A programme, 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 contributes to ensuring sustainability. The purpose is to report on the criteria or conditions put in place to assess the sustainability of the programme, activity or project. In addition, indications about sunset clauses and/or exit or transition strategy can prove useful.
Target: A measure associated to a performance indicator to be attained during a specific period with available resources. Assessments of baseline and target values of performance indicators allow for monitoring progress towards the achievement of the outputs and expected results. You may use two types of targets: - Quantitative based on statistical measures, numbers, percentages, frequency, ratios. - Qualitative which seek to measure quality and are often based on judgment, perception, opinion and level of satisfaction. Usually defined through 2-3 specific criteria allowing to assess the quality of the target reached. In most cases it is a mixture of quantitative and qualitative which is specified through the target information as without quantitative data, we don't know the scale and extent and without qualitative data there is not the context through which to interpret quantitative data.

| **Definitions** |
| (alphabetical order) |

UNESCO Country Programming Document (UCPD): It is a programming tool designed to capture in a single document UNESCO's past and future activities and projects in a given country, in a succinct and results-oriented comprehensive manner. Starting with a concise overview of national development issues relevant to UNESCO's areas of competence and building on UNESCO's past and more recent cooperation and achievements, the UCPD proposes the outlines of the future cooperation framework with a given country and possible entry points for joint collaboration and programming with sister United Nations agencies and other partners. The UCPD results-matrix shows also the available resources as well as the funding gap needed to achieve the expected results. [More details: http://www.unesco.org/new/index.php?id=61877]

UNESCO's Functions (C/4): The range of functions that UNESCO performs. These functions shall be implemented at global, regional and national levels, with different degrees of emphasis. These are:

1. Serving as a laboratory of ideas and generating innovative proposals and policy advice in its fields of competence;

2. Developing and reinforcing the global agenda in its fields of competence through policy analysis, monitoring and benchmarking;

3. Setting norms and standards in its fields of competence and supporting and monitoring their implementation;

4. Strengthening international and regional cooperation in its fields of competence, and fostering alliances, intellectual cooperation, knowledge-sharing and operational partnerships;

5. Providing advice for policy development and implementation, and developing institutional and human capacities.

Workplans: RP activities/Extrabudgetary projects: There are three programme levels at UNESCO. The first two levels cover policy and strategic issues while the third level deals with the operational activities.

Level 1: Major Programme (MP) (in Approved C/5).

Level 2: C/5 expected result (in Approved C/5).

Level 3: Workplans: Regular Programme (RP)/Extrabudgetary.

An activity is part of the Regular Programme and hence is financed from the Member States assessed contributions. It has a duration that cannot go beyond one quadrennium. An extrabudgetary project has the same structure as an activity but is funded through extrabudgetary resources and can have a duration that exceeds one quadrennium.

The totality of Workplans and their aggregated expected results contribute to the attainment of the higher-level expected results (e.g. the expected results approved in the C/5).