

Guidelines for the formulation of 37 C/5 (2014-2017 quadrennium) levels (Major Programme to C/5 Result Grouping and CAP Target levels)

These guidelines are designed to assist responsible officers in formulating the information for the 37 C/5 (2014-2017) levels: Major Programme to C/5 Result Groupings and CAP Target Grouping (levels 1 to 4) as well as for the Regional/Thematic Grouping (level 4bis). Clarifications and specific examples are provided for the information requested in the template.

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

The Medium-Term Strategy (C/4) presents the strategic vision and programme framework for UNESCO's action over eight years in all its fields of competence. The roadmap laid out in this document is translated into two consecutive Programmes (C/5) to which is associated four biennial budgets. The C/5 highlights the action to be fulfilled by the Organization for four years at the global and country level for the Major Programmes, Direction and Programme-Related and Corporate Services.

These guidelines are designed to assist responsible officers in completing in SISTER the information required at the Programme and Budget (37 C/5) levels. The 37 C/5, adopted at the 37th session of the General Conference, is aligned with the broader strategic and global priorities and objectives set out in the Medium-Term Strategy (37 C/4). SISTER not only encompasses the 37 C/5 information as revised in light of the \$507M Expenditure Plan but also offers additional programming information such as performance indicators and associated baselines as well as quantitative and/or qualitative targets for each of the C/5 expected results.

These guidelines also refer to the information required at the C/5 Result Grouping level (level 4) and Regional/Thematic Grouping (level 4bis). The 37 C/5 Result Grouping corresponds to a specific C/5 expected result as revised in light of the \$507M Expenditure Plan of the MLA/Chapter/Category 1 Institute to which it is associated. The second Grouping level that is the Regional/Thematic sub-Grouping, is an intermediary level between the Quadrennial Programme and the operational level: Regular Programme Activities and Extrabudgetary Projects. It is an administrative level which is used to manage and group Workplans according to Sectors/Bureaux/Services specificities. Some Major Programmes group their Workplans by region whereas others group them by thematic areas or according to the organizational structure. Hence, Workplans will de facto be grouped by C/5 expected result, allowing to progressively apply Results-Based Budgeting (RBB), and sub-grouped by region or theme.

The different levels detailed in these guidelines correspond to Programme-related elements that is, the Major Programme (MP), the Main Line of Action (MLA) and the C/5 Result Grouping.

To complete the template, responsible officers should access SISTER through [DUO](#). Should you require additional information and guidance, please contact sister@unesco.org.

Overview Tab

Title:

The title of the Major Programme or Main Line of Action/Category 1 Institute/Chapter should correspond to the ones defined in the Quadrennial Programme for 2014-2017. The title should set out the purpose and main thrust (topic/theme) in a **short** and action oriented manner, thereby providing its overall scope. The title of the C/5 expected results should correspond to the ones defined in the \$507M Expenditure Plan.

Responsibilities:

Responsible Officer (Last name, first name):

The responsible officer is the person accountable for the programming and implementation of the element.

Deputy (Last name, first name):

The deputy seconds the responsible officer and acts as officer-in-charge in the absence of the responsible officer.

Note: this person can be someone hierarchically above the responsible officer.

Assistant (Last name, first name):

The person selected will be able to enter the information on behalf of the responsible officer. This role does not entail a responsibility unlike the deputy.

Note: the officer designated “assistant” of the responsible officer cannot carry out actions in relation to the validation cycle (i.e. request validation, validate or invalidate).

Implementing Unit:

Select from the drop-down menu the Field Office, Category 1 Institute or Headquarters Division responsible for implementing the concerned element (corresponding to the 3-letter acronym of this entity).

Associated Implementing Unit (as appropriate):

If another Field Office, Category 1 Institute or Headquarters Division is involved in the implementation, you may select the entity concerned from the Performance in achieving results drop-down list. This field highlights the collaboration between different UNESCO entities.

Place in C/5 Tree:

Main line of Action (MLA)/Category 1 Institute/Chapter:

Every Major Programme is composed of several Main line of Actions/Category 1 Institutes, emphasizing the linkage between the Medium-Term Strategy and the Quadrennial Programme. Select from the drop-down menu the Part/Major Programme/sub-Part to which the Main line of Action/Category 1 Institute [or Chapter for Direction, Programme-related and Corporate Services] pertains (e.g. “Part II.A. I. Education” or “Part I. General Policy and Direction”). You may refer to the Major Programmes and Parts/sub-Parts detailed in the 37 C/5.

37 C/5 Result Grouping:

Once the Major Programme/Part/sub-Part has been identified, select the title of the Main line of Action/Category 1 Institute [or Direction, Chapter for Programme-related and Corporate Services] of the 37 C/5 to which the C/5 Result Grouping contributes (e.g. “CLT/MLA 2: Supporting and promoting the diversity of cultural expressions, the safeguarding of the intangible cultural heritage, and the development of cultural and creative industries”).

Regional/Thematic sub-Grouping:

Subsequently, select the title of the C/5 Result Grouping to which the Regional/Thematic Grouping contributes.

For more information, please contact the Executive Office of the relevant Sector or Bureau/Service.

Overall presentation:

For the Major Programmes, the overall presentation gives an overview of the global situation in each of UNESCO’s areas of competence, underlining the challenges faced and the key programme priorities proposed to respond to them. It also includes the contribution of the Category 1 Institutes to this effort, as an essential instrument for implementation. It highlights the fundamental pillar of each Major Programme introducing the strategy of the priorities for each Major Programme. It describes the structure of the Major Programme in order to emphasize its contribution to the Overarching Objectives and Strategic Objective(s) of the Medium-Term Strategy. It presents the plan of action of Major Programmes explaining how they intend to respond to the main aims of the MLA and presents the themes that require firm action in specific areas in order to respond to challenges identified. It shows how the Major Programme will be building on previous achievements, as a

continuity of its work. It reflects the way the Major Programme will collaborate with its partners, including through the South-South and North-South-South cooperation. For Direction, Programme-related and Corporate Services, the overall presentation indicates the main responsibilities, the actions to be taken and the domains in which a sustained effort is needed.

Results Information Tab

Link to C/4 Overarching Objective(s):

In the Medium-Term Strategy, two Overarching Objectives (OO) of relevance for the entire Organization have been defined to respond to the most important global challenges in UNESCO's field of competence and delineate areas for which UNESCO has a unique profile. To respect the Results Chain between the Medium-Term Strategy and the Quadrennial Programme, should be specified by the responsible officer at the Main line of Action/Category 1 Institute its contribution to the Overarching Objective(s) of the Medium-Term Strategy.

Note: The information will automatically be displayed at the Major Programme in order to give a comprehensive overview across the Major Programme.

Link to C/4 Strategic Objective(s):

In the Medium-Term Strategy, 9 Strategic Objectives (SO) have been defined to 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. To respect the Results Chain between the Medium-Term Strategy and the Quadrennial Programme, should be specified by the responsible officer at the Main Line of Action/Category 1 Institute, its contribution to the Strategic Objective(s) of the Medium-Term Strategy.

Note: The information will automatically be displayed at the Major Programme in order to give a comprehensive overview across the Major Programme.

Contribution to C/4 Strategic Objective(s):

To respect the Results Chain between the Medium-Term Strategy and the Quadrennial Programme, should be specified here by the responsible officer the manner in which this C/5 expected result will contribute to the attainment of the C/4 Strategic Objective(s) selected.

Link to C/5 Result Framework:

Regarding **Category 1 Institutes pertaining to ED and SC Major Programmes**, responsible officers are requested to select the **ED or SC 37 C/5 Result(s) Grouping** to which the Category 1 Institute contributes and then select the relevant performance indicator(s) as well as the outputs and associated performance indicator(s).

Regional/Thematic sub-Grouping (where appropriate):

Once the relevant C/5 Result Grouping has been identified the responsible officer of the Regional/Thematic sub-Grouping should de-select the relevant performance indicator(s) as well as the outputs and associated performance indicator(s) to which the Regional/Thematic Grouping will not contribute.

Note: The C/5 expected result, as well as associated performance indicator(s) and outputs and their performance indicator(s), to which the sub-Grouping is linked, will automatically appear here.

These linkages ensure a cascading **Results Chain** from Strategic objectives (37 C/4) to the policy (37 C/5) and thereafter to the operational level (Workplan). As such, it ensures that the C/5 expected results and sub-Groupings relate and contribute directly to the Strategic Objectives approved by the General Conference and will facilitate reporting. 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.

Global Priority Africa and/or Global Priority Gender Equality Result Frameworks (as appropriate):

In line with the Medium-Term Strategy (37 C/4) the Organization accords global priority to Africa and Gender Equality. Regarding Global Priority Africa, 6 flagships have been defined to be implemented by the Major Programmes. As regards, Gender Equality In line with the Gender Equality Action Plan for 2014-2021, each Major Programme has identified the strategy to mainstream the gender perspective and approach in all its programmes.

Under each Major Programme, specific C/5 expected results along with performance indicators, associated baselines and quantitative and/or qualitative targets as well as outputs along with performance indicators are defined for these global priorities. Please refer to the Result Framework section hereunder.

International policy frameworks:

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

The contribution to the International Policy Framework is to be specified at the Main Line of Action/Category 1 Institute level. The information will automatically be displayed at the Major Programme in order to give a comprehensive overview across the Major Programme.

Implementation Strategy (including justification/identification of needs, modalities of action, target groups and intervention logic):

Regarding the **C/5 Result Grouping**, the Implementation Strategy specifies how the Sector/Bureau/Service intends to achieve this C/5 expected result, in other words, how to move from the current situation to the one described in the expected result ("result statement"). It sharpens the programmatic focus for the thematic area, articulates the actions to be undertaken in order to respond to challenges identified. It shows how the Sector/Bureau/Service will be building on previous achievements, as a continuity of its work.

It should be action-oriented specifying the:

- Contribution to the attainment of international policy frameworks;
- Major needs to be addressed and issues to be tackled as well as corresponding baseline;
- Areas where UNESCO's intervention is needed with particular emphasis on the modalities of implementation required to respond to these areas;
- Intervention logic: Rationale with the underlying assumptions and causal sequence of the deliverables to be undertaken, the key outputs deriving from them, the expected result to be achieved and measures to follow up on it as well as the medium to long-term expected result foreseen beyond the quadrennial timeframe providing the overall perspective. In other words, specify "Why & How" key outputs will lead to the C/5 expected result;
- Direct beneficiaries and key partners and their expected roles;
- Conclusions of a risk analysis related to the implementation. An uncertain event may impact the performance of the programme delivery either positively or negatively. The remedial actions foreseen to mitigate the negative impact of a threat should be formulated (please refer to the Risk Management Training Handbook available at <http://unesdoc.unesco.org/images/0019/001906/190604E.pdf>);
- Sunset clauses and/or exit or transition strategy. A sunset clause is a statement within a programme stipulating its termination on a specified date unless it is deliberately renewed. 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 are established, the sustainability is driven by other players. UNESCO needs to ensure the smooth hand over of the programme, by ensuring the relevant skills transfer to (national) partners, or by reinforcing capacity to manage the programme for example.

For **Category 1 Institutes**, the Implementation Strategy highlights also the Institute's action and the way it will contribute to the achievement of the C/5 expected result(s) of the Major Programme(s).

Note: The information entered at the C/5 Result Grouping will be displayed automatically in the field of the MLA/Chapter/Category 1 Institute.

As regards, the **Regional/Thematic sub-Grouping** the Implementation Strategy should describe the specificities for this region or theme in contributing to the attainment of this C/5 expected result.

Result Framework (C/5 expected result and key outputs):

The Result Framework is designed to guide the planning/programming, monitoring, reporting and evaluation at all levels of the Organization. It provides the internal logic, ensures that it is consistent in itself thereby favouring its quality by linking the outputs to the expected result that is to be achieved through 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 result: or impact and to measure outputs produced: or performance.

C/5 Expected Result:

A result is change in a state or condition that derives from a cause-and-effect relationship. It 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. 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.

Result statements should contain both the direct beneficiary group and the change. In particular when a specific direct beneficiary group is targeted, it should be reflected in either the expected result (or "result statement) and/or the associated performance indicator(s) and targets.

Formulation of results should follow the "SMART" criteria ("Specific, Measurable, Achievable, Relevant and Time-bound"). Performance in achieving results will be measured by both quantitative and qualitative indicators.

A result is often formulated in the past tense, as it describes the end situation expected after the interventions have taken place.

Examples:

- 1) Member States integrate peace and human rights education components in education policies and practices.
- 2) Use of biosphere reserves as learning places for equitable and sustainable development and for climate change mitigation and adaptation strengthened.
- 3) Member States design and implement multi-stakeholder and inclusive public policies in the field of physical education, sports and anti-doping.
- 4) National capacities strengthened and utilised to safeguard intangible cultural heritage including the use of indigenous and endangered languages through the effective implementation of the 2003 Convention.
- 5) Pluralistic media institutions are facilitated, including by adoption of gender-sensitive policies and through support for strengthened community media policy and practice, while citizens, and particularly youth, are empowered through enhanced media and information literacy (MIL) competencies.

N	Performance indicator (PI) (a maximum of three):	Baseline (B):	Quantitative and/or qualitative Target (T):		
			2014-2015	2014-2017	CAP 2014-2015
1	<p>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 outcome, with the intention of gauging the performance of a programme or investment.</p> <p>Performance indicators of expected results refer to what the direct beneficiaries are to do differently after the intervention.</p> <p>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.</p> <p>E.g. “Number of countries supported which have integrated education for peace and human rights (global citizenship) in their education policy and programmes” or “% of countries of the WNBR implementing the new MAB strategy (2015-2021)” or “National anti-doping policies enacted in accordance with the 2005 International Convention against Doping in Sport” or “Number of teacher training curricula integrating Media and Information Literacy (MIL), national policies initiated, and youth associations applying MIL increased”.</p> <p><u>Regarding the fourth expected Result</u> indicated above a performance indicator could be “Number of safeguarding plans developed and/or implemented by Member States” or “Number of periodic reports on the implementation of the Convention at the national levels submitted by States Parties and examined by Committee”.</p>	<p>It provides the starting point or the status of the performance indicator at the beginning that acts as a reference point against which progress or achievements of expected results can be assessed.</p> <p><u>Regarding the last performance indicator</u> an associated baseline could be “30 reports for a period of two years, of which 5 address gender issues”.</p>	<p>Target: A measure associated to a performance indicator to be attained during a specific period with available resources (end of the quadrennium for both the C/5 and Workplans). Assessments of baseline and target values of performance indicators allow for monitoring progress towards the achievement of the outputs and expected results.</p> <p>You may use two types of target:</p> <ul style="list-style-type: none"> - 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 attained. <p>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.</p> <p>Benchmark: Reference point or standard, including norms, against which progress or achievements can be assessed.</p> <p><u>Regarding the last performance indicator</u> an associated quantitative target for 2017 could be “105” and an associated qualitative target could be “of which 50 address gender issues and describe policies promoting equal access to and participation in cultural life”.</p>	<p>Indicate the targets expected to be attained with the targeted mobilized extrabudgetary funds. Always indicate “In addition” or “Additional” before the CAP Target formulation.</p> <p><u>Regarding the last performance indicator</u> an associated CAP Target could be “10 additional reports of which 5 address gender issues and describe policies promoting equal access to and participation in cultural life”.</p>	

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Output N°1:

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. They are the first effect of the intervention which contributes to the attainment of results. In general terms outputs can be considered as the new knowledge and skills the Organization develops and disseminates.

Please list here the **key** expected outputs deriving from the interventions of the Organization which will lead or induce the result or change for the direct beneficiary. This will allow to further specify 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.

Due to UNESCO's line of work, area of expertise and its five functions, most activities, projects, programmes involve the following **key** outputs:

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

Regarding the fourth expected Result indicated above an output could be:

- 1) Awareness raised among Member States to address gender issues and describe policies promoting equal access to and participation in cultural life when revising Periodic Reports and/or
- 2) Technical assistance provided to Member States and/or
- 3) International cooperation mechanisms of the 2003 Convention and decisions of its Governing Bodies effectively implemented and cooperation with external partners promoted and/or
- 4) Member States' institutional capacities strengthened through effective implementation of global capacity-building strategy.

N	Performance indicator (PI) (a maximum of three):	Baseline (B):	Quantitative and/or qualitative Target (T):		
			2014-2015	2014-2017	CAP 2014-2015
1	Performance indicators of outputs refer to what the Organization is to do. Formulate process indicators referring to the different steps of the implementation. E.g. "Number of countries benefiting from targeted technical assistance in integrating education for peace and human rights in their education policies and programmes" or	It provides the starting point or the status of the performance indicator at the beginning that acts as a reference point against which progress or achievements of outputs can be assessed.	<u>Regarding the second performance indicator</u> an associated quantitative target for 2015 could be "24 of which 12 in Africa"	<u>Regarding the second performance indicator</u> an associated quantitative target for 2017 could be "40 of which 20 in Africa"	<u>Regarding the second performance indicator</u> an associated CAP Target could be "6 additional of which

	<p>“Number of strategic frameworks finalised” or “Number of media partners mobilized to foster “Women Make the News”” or “N° of Teachers institutions trained in the use of the ICT Competency Framework for Teachers (ICT CFT)”.</p> <p><u>Regarding the second output</u> indicated above a performance indicator could be “Number of Member States supported with technical assistance to introduce or revise their cultural policies, particularly in Africa”.</p> <p><u>Regarding the fourth output</u> indicated above a performance indicator could be “Number of UNESCO-led workshops and capacity-building programmes that raise awareness of gender principles, especially women's roles in intangible heritage” and/or “% of participants which would recommend the workshop”.</p>	<p><u>Regarding the second performance indicator</u> an associated baseline could be “13 per 2 years; of which 6 per two years in Africa but not with the appropriate profile” and/or “80% of participants would fully recommend this workshop”.</p>	<p>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”.</p>	<p>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”.</p>	<p>4 in Africa”.</p>
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Output N°2:					
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Rules:

- At least one baseline per C/5 expected result is mandatory.
- Baselines and targets for outputs are not mandatory.
- The 2014-2015 Targets are to be based on the \$507M Expenditure Plan, reflecting both Regular Programme and extrabudgetary resources at hand or firmly pledged.
- All other fields are mandatory.

Note: 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 C/5 expected result and either ensure that it is achieved or understand the reasons why it is not. It is recommended to have up to three performance indicators per C/5 expected result or output.

Note: The information entered at the C/5 Result Grouping will be displayed automatically in the fields of the MLA/Chapter/Category 1 Institute a.

Budgetary Information Tab

Budget synthesis (US\$):

The budgetary figures reflect the total allocation and yearly allotments provided for the Direction, the Programmes and Programme-Related and Corporate Services. These are broken down by Main line of Actions/Category 1 Institutes /Chapters and C/5 expected results. The amount appearing corresponds to the sum of all Workplans under the respective level, broken down by Regular Programme (including Additional Appropriations, Additional Emergency Funds), Extrabudgetary Resources (including Emergency Funds), Category 1 Institutes and Contributions in kind.

Note: This information is uploaded directly from FABS.

Extrabudgetary Mobilisation Target (US\$):

The figure reflects the overall resource mobilisation target for each C/5 expected result. The definition of this target should take into account the need to prioritize programme areas highlighted in the Sharpened Resource Mobilization Strategy¹ (37 C/INF.28 and Corr.).

Justification for Extrabudgetary Target:

The following specific questions intend to clarify the assumptions underlying the resource mobilization target for each C/5 expected result. It has to be filled in after consultation with the concerned Headquarters Divisions, Field Offices and Category 1 Institutes.

a- Assessment of needs and delivery capacity:

The assessment of actual needs under each C/5 expected result including any needs already identified by Member States or other stakeholders relating to this C/5 expected result should be briefly presented. The capacity that already exists within the Organization to achieve these extrabudgetary targets, as well as the additional human resources/expertise that would need to be financed through extrabudgetary resources at Headquarters/Field/Category 1 Institutes also have to be presented.

b- Estimated budget requirements:

Indicate the funding required for attaining the targets related to the share covered by extrabudgetary funds.

c- Opportunity for resource mobilization:

Define, together with the concerned implementation units, the realistic opportunities linked to the C/5 expected result on the basis for example of:

- (i) Your knowledge of the donor priorities in the specific countries, including self-benefitting;
- (ii) Current or upcoming partnerships on the specific C/5 expected result;
- (iii) Major events related to the C/5 expected result that may constitute opportunities for funds raising;
- (iv) The amount of funds raised for thematic area in the previous biennium; and
- (v) The existence of a special account recurrently replenished with new contributions.

d- Accountability for resource mobilization:

Indicate who will be responsible for mobilizing from which potential donors and partners and in what context e.g. (i) Role of involved Field Offices, Headquarters Divisions or Category 1 Institutes; (ii)

¹ The Strategy identified a funding gap of USD 52.8 million between the “Draft 37 C/5 adjusted” and the \$507M Expenditure Plan, and stipulated the need to double the funding gap as a minimum key target for the sharpened strategy. In practice, this means that an additional amount of at least USD 106 million should be factored into the resource mobilization targets established under the CAP.

Articulation of centralized, decentralized fund mobilization; (iii) Campaign or fund raising activities around an event or specific aspect/region concerned.