

**Guidelines for the formulation of 36 C/5 (2012-2013 biennium) regular
programme work plans (Activity/Office 5)**

These guidelines are designed to assist responsible officers to formulate their work plans for the 36 C/5 (2012-2013): Activity and Office 5 elements. Clarifications and specific examples are provided for the information requested in the template.

Responsible officers can either create a programme “Activity” (“Institute” for Category 1 Institutes) or a programme support “Office 5”. Both Activities and Office 5s can be used by both Sectors and Services. For Activities, it is mandatory to fill in each of the fields listed below. For Office 5s, it is mandatory to fill in the information requested under sections 1 to 7 and sections 16, 17 and 19.

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

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

Phase:

There are three different phases defined for an activity: “Not started”, “On-going” and “Completed”. When an activity is still in programming, which means that it is being designed, by default, the phase displayed will be “Not started”. As soon as the implementation phase begins on the first day of the biennium by default, the phase displayed will be “On-going”. If the implementation of the activity does not start at the beginning of the biennium, the responsible officer will have to change the phase to “Not started”. Once the activity has been implemented, the responsible officer needs to modify the phase and select “Completed”.

1. Title:

The activity corresponds to the operational programme level of UNESCO. The title of the activity should set out its purpose and main thrust (topic/theme) in a **short** and action-oriented manner, thereby providing its overall scope (e.g. “Integrating intercultural dialogue and cultural diversity into national policies of country X” or “Support to development of independent and pluralist media of countries Y and Z”).

2. Responsible Officer (Last name, first name):

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

Assistant (Last name, first name):

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

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

3. Deputy (Last name, first name):

The deputy seconds the responsible officer and acts as officer-in-charge in the absence of the responsible officer. Note: this person can be someone hierarchically above the responsible officer.

4. Implementing Field Office or HQ Division (Fund Centre):

Select from the drop-down menu the Field Office or HQ Division responsible for implementing the activity (corresponding to the 3-letter acronym of this entity).

For activities implemented by a Field Office or a Category 1 Institute, the fund centre corresponds to the acronym of the office (e.g. “BEI” for Beirut, “BRZ” for Brasilia or “IBE” for International Bureau for Education). For Headquarters activities, it refers to the Division or Bureau, (e.g. “FEM” for Division of Freedom of Expression and Media Development (CI/FEM)). This information enables a categorization of the activities by Headquarters, Field Offices or Category 1 Institutes.

Associated Field Office(s), Institute(s) or HQ Division(s) (as appropriate):

Select from the drop-down menu all other Field Office, Category 1 Institute or HQ Division involved in the implementation of the activity. If not, this implies that the implementation is undertaken without the involvement or collaboration of any other UNESCO entity.

5. This activity will contribute to the following Major Programme/Office 1:

Select from the drop-down menu the Major Programme/Office 1 to which the activity pertains (e.g. "Part II.A. I. Education" or "Part I. General Policy and Direction"). You may refer to the Major Programmes and Parts detailed in the 36 C/5.

6. This activity will contribute to the following MLA and be attached to the corresponding grouping(s):

MLA: Select the title of the Main line of Action [or Chapter for Programme-related and Corporate Services] of the 36 C/5 to which the activity contributes (e.g. "CI/MLA 2: Strengthening free, independent and pluralistic media, civic participation and gender-responsive communication for sustainable development").

Grouping: Select the title of the Grouping to which the activity contributes. This administrative level is used according to the specific needs of the organizational entity. Some Sectors and Services group the work plans by region, some by thematic area and some by MLA expected result. A new feature has been introduced in the 36 C/5 allowing to have two levels of Groupings. If a Sector decides to use this feature, the first level Grouping will correspond to a specific 36 C/5 Expected Result of the MLA to which it is associated. The second Grouping level (i.e. Regional/Thematic sub-Grouping) will enable the classification of these work plans by region or theme. Hence, work plans will de facto be grouped by C/5 Expected Result and sub-grouped by region or theme.

Depending on the MLA selected above, a set of relevant Groupings will be proposed in the drop-down menu.

Similarly, if the two-level Grouping feature is used by a Sector, a set of relevant Regional/Thematic sub-Groupings will be proposed in the drop-down menu. For more information, please contact the Executive Office of the relevant Sector or Service.

7. This activity will contribute to the following MLA and as appropriate Grouping expected result(s):

MLA expected result(s):

Once the relevant MLA has been identified, select the MLA expected result(s) to which the activity contributes (e.g. "CI/MLA 2, expected result 5: Capacities of media training and journalism education institutions strengthened to reach the established criteria of excellence in training as regards journalists' investigative skills and gender equality perspectives in media"). This ensures a cascading results chain from the policy (36 C/5) to the operational level (work plan). As such, it ensures that activities relate and contribute directly to the expected results approved by the General Conference and will facilitate reporting. This link established between the results at different programme levels ensures that the Organization focuses its resources on attaining the results defined at the highest levels.

Similarly, if the two-level Grouping feature is used by a Sector, the MLA expected result to which the activity contributes will automatically appear in this section and will not be modifiable.

Grouping expected result(s) (where applicable):

Once the relevant Grouping has been identified, select the Grouping expected result(s) to which the activity contributes.

To be noted, if the new 2-level Grouping feature (i.e. a MLA expected result Grouping and a Regional /Thematic sub-Grouping) is used by a Sector and if specific expected result(s) have been defined at

the Regional/Thematic sub-Grouping level, then the responsible officer of the activity should select the relevant Regional/Thematic sub-Grouping expected result(s) to which the activity contributes.

8. This activity will also contribute to the following expected result(s) of Global Priority Africa and/or Global Priority Gender Equality (as appropriate):

In line with the Medium-Term Strategy (34 C/4) the Organization accords global priority to Africa and Gender Equality. Under each Major Programme, specific expected results along with performance indicators and associated benchmarks are defined for the Organization's global priorities: Africa and Gender Equality. If relevant, specify the expected result(s) of the priority(ies) to which the activity contributes. The specific contribution of the activity to the global priority should be reflected in the implementation strategy and expected results.

9. Only if the Activity contributes to other MLA(s) than the one indicated under section 7 above, indicate the Programme Sector MLA(s) and associated expected result(s) (as appropriate):

Some Activities may seek to reinforce more than one MLA and relevant expected result(s) within the 36 C/5. If this is the case, responsible officers should indicate relevant additional MLA(s) and associated expected result(s) from the proposed menu by sector.

Nota Bene: These additional MLA(s) and expected result(s) cannot contain the same information entered under sections 7 and 8.

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

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

- Major issues to be addressed and relevant baseline;
- Rationale 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 as well as the long-term result foreseen beyond the biennial timeframe providing the overall perspective of the activity. Finally, specify the manner in which this activity will contribute to the attainment of the C/5 expected result(s);
- Major beneficiaries and key partners and their expected roles;
- Conclusions of a risk analysis related to the implementation. An uncertain event may impact the performance of the programme delivery either positively or negatively. The measures foreseen to mitigate the negative impact of a threat should be formulated;
- Exit or transition strategy is a statement indicating the way you intend to gradually phase out external support and have national partners take over; and the way you will change the modality of implementation. Once the foundations of the activity are established, the sustainability is driven by other players. UNESCO needs to ensure the smooth hand over of the activity, by ensuring the relevant skills transfer to (national) partners, or by building capacity to manage the activity for example.

The reinforcement of an activity by an Extrabudgetary Project should also be specified when appropriate.

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

11. Expected results of this activity (you may not enter more than 10 expected results):

Expected Result N° 1: The expected result (or “result statement”) describes a concrete, visible and measurable change in state, induced by the intervention(s) to be undertaken. It expresses the change induced by the implementation of the activity. In other words, it should convey how a specific situation is expected to be different from the current situation. For this reason, it should articulate what is to be different rather than what is to be done. In many cases, the expected result relates to the use of outputs by intended beneficiaries.

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

Examples:

- 1) Science and Technology Strategic Plan, in line with European standards and responding to the EU accession requirements elaborated and adopted by national authorities in country X.
- 2) Policy and planning, and monitoring and evaluation in country X is based on high-quality data collection, analysis and interpretation.
- 3) Integrated heritage policies, plans and strategies of countries X, Y and Z developed in line with international conventions.

N	Performance indicator(s) (a maximum of three):	Means of verification	Programmed benchmark
°	Performance indicators provide indications of the change. They are used to measure progress related to an expected result or an aspect of it. There is a tendency to formulate process indicators referring to the different steps of the implementation (e.g. “Number of HIV/AIDS prevention workshops organized” or “Network among scientists established”). It is better to define indicators of change rather than of process, referring to what you want the beneficiaries to do differently after the intervention (e.g. “% of schools integrating HIV/AIDS sensitive teaching material” or “Number of women scientists participating actively in the network established” or “Number of initiatives undertaken by women scientists participating actively in the network established”).	<p>(data source): The data sources and methodologies used to measure and analyze performance (e.g. “Policy adopted reflecting the gender sensitive recommendations” or “Report summarizing the conclusion of a survey”).</p> <p>This field is optional.</p>	<p>(on the basis of baseline data if available*¹): UNESCO defines the term <i>benchmark</i> as a target associated to a performance indicator. The benchmark is ideally accompanied by baseline data describing the situation before the implementation. Baseline data is the starting point from which progress towards expected results will be measured, while the benchmark is the target expected to be achieved by the end of the biennium (e.g. “50% of schools (Baseline: 10%)”).</p>

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

Key expected outputs of this activity:

An output is the first effect of the intervention which contributes to the attainment of results. It reflects the action of the Organization. It is a tangible or intangible product deriving from the interventions. In general terms outputs can be considered as the new knowledge and skills the Organization builds and disseminates.

Please list the **key** expected outputs deriving from the interventions of the Organization which will lead or induce the result or change for the beneficiary. This will allow to further specify on one hand the expected result(s) which depend on the actions of the beneficiary/target groups and on the other hand the **key** expected outputs which are under the control of the Organization. Examples of **key** Outputs: Global Monitoring Report, World Conference, Policy or technical advice, Direct beneficiaries acquired new skills

12. Geographical scope of the activity (choose one of the following categories):

- None/Internal institutional benefit
- Global
- Regional (please select the benefiting region(s))
- Sub-region/Group of countries (please select the benefiting Sub-region(s)/Group(s) of countries)
- National (please select the benefiting country(ies)/territory(ies) and specify the amount per benefiting country/territory)

An activity can have a global, regional, sub-region/group of countries or national scope. These categories are mutually exclusive.

For activities that are not global in scope, specify the region(s), sub-regions/group of countries or countries benefiting from the implementation of the activity.

For activities that are national in scope, specify the estimated amount per benefiting country.

For inter-regional activities (e.g. "Asia and the Pacific" with "Latin America and the Caribbean"), more than one region may be selected.

Note: For activities which do not have a direct geographical scope, the category "None/Internal institutional benefit" may be selected. This is the case for most activities within the framework of the Learning and Development programme where the purpose of the activities is to enhance the skills of the UNESCO personnel. This implies that the benefit is considered as internal to the institution. This is likewise often the case for activities in the Programme-related and Corporate Services as well as for internal coordination activities within the Programme Sectors.

13. This activity has targeted interventions in favour of (Youth; LDCs; SIDS; Disadvantaged and excluded groups; Most vulnerable segments of society; Indigenous Peoples):

Where relevant, check the applicable box(es).

The specific contribution of the activity to the groups or group of countries should be reflected in the implementation strategy and the expected results.

Note: If none of the categories under this section is relevant to your activity, you may select "None".

14. This activity addresses the following specific programme issues (UN Decades/Years; Dialogue among civilizations and cultures; South-South cooperation; Post-Conflict/Post-Disaster situations; World Summit on the Information Society (WSIS) follow-up):

Where relevant, check the applicable box(es). For UN Decades/Years, specify to which Decade/Year the activity will contribute.

UNESCO has played a key role in the two phases (Geneva 2003 – Tunis 2005) of the **World Summit on Information Society (WSIS)**. In recognition of its contribution UNESCO has been assigned a lead facilitating role in the multi-stakeholder implementation, facilitation and coordination of 6 of the 12 WSIS Action lines: Access to information and knowledge, E-learning; E-science; Cultural diversity and identity, linguistic diversity and local content, Media, and Ethical dimensions of the Information Society. In line with the Approved Programme and Budget (C/5), UNESCO is committed to continue leading towards the achievement of the 2015 goals through the WSIS follow-up.

If relevant, please specify the WSIS Action Line/s to which (parts of) your activity contributes and highlight in the box if there are any multi-stakeholder components (with governments, the private sector, intergovernmental organizations, civil society). It would be good also to mention your activity's expected contribution to the WSIS goals in your implementation strategy.

Please contact the WSIS team (wsisteam@unesco.org) for more information, if needed.

The specific contribution should be reflected in the implementation strategy.

Note: If none of the categories under this section is relevant to your activity, you may select “None”.

15. Only in the case of an activity implemented by a Field Office: This activity is part of a common country programming document (e.g. UNDAF; Delivering as One programme/plan; MDG-F; etc.) (In the case of UNDAFs and One plans, specify the outcome/output to which it contributes):

This part is only relevant for activities implemented in the Field.

Indicate if the activity is part of a common country programming document. If yes, specify the document and the section in it in which UNESCO’s participation is set out.

Note: The UNESCO Country Programming Document (UCPD) is not a common country programming document.

Note: If none of the categories under this section is relevant to your activity, you may select “None”.

16. This activity involves the following partnerships (Name and Specific expected role per partner):
List the external partners involved in the activity and their role.

Examples of different types of external partners:

- Foundation X: makes available a conference room and rooms for 20 participants (in-kind contribution).
- Ministry of Science and Technology of Country Z: participates in resource mobilization, provides technical support and expertise.
- Local and international NGOs working in the field of women and gender: expertise, organization of conferences and seminars on specific topics, review of survey questions.
- Private Enterprise T: Financial contribution and partner in the promotion campaign.
- Category 2 Institute Y: Implementation partner.
- National Commission of Country Z: Coordinator of participating line ministries.

Note: Internal entities (e.g. “HQ Divisions/Sections/Units”, “Field Offices” or “Category 1 Institutes”) are not considered as external partners. In-house cooperation should be included, as appropriate, under Section 4 in the “**Associated Field Office(s), Institute(s) or HQ Division(s) (as appropriate):**” field and detailed in the implementation strategy (section 10).

17. UNESCO Team members for this activity:

Indicate the complete list of UNESCO personnel who will be involved in the design and/or the implementation of the activity. Please note that colleagues indicated do not necessarily need to be in the same implementing unit, and can be added regardless of their type of contract (intern, temporary, ALD, NPO, etc). Over the course of the biennium, this field thereby provides a comprehensive overview of the human resources that have contributed to the activity.

18. Proposed Budget (US\$):

Allotment 2012 (US\$): **2013 (US\$):** **Total Allocation (US\$):**

Specify the Regular Programme allotment for 2012 in the first column and for 2013 in the second column. Once the budget is allotted, this information will be replaced by a synthesis of budgetary information uploaded directly from FABS.

19. Contribution in kind (as appropriate):

Specify the estimated amount of the contribution in kind along with its description. Enter the information for each contribution in kind.

20. Breakdown of Total Allocation by categories of expenditures (US\$):

Staff Travel	USD
Temporary assistance/Consultant * ²	USD
Others	USD

*² All types of contracts related to a person (temporary, supernumerary, individual consultant, SC/SSA) except permanent staff contracts.

Estimate the envelope that you intend to use for “Staff Travel” and for “Temporary assistance/Consultant”. Please note that the category “Others” is automatically calculated with the remaining amount of the Total Allocation.

- “Staff travel” category includes the estimated envelope in US\$ for staff travel on mission.
- “Temporary assistance/Consultant” category includes the estimated envelope in US\$ for individual-related contracts. It therefore includes supernumerary, temporary assistance, service contracts (SC) and Special Service Agreement (SSA) in the Field and individual consultant. This category excludes other contractual services such as fee contracts, contracts with NGOs, Nat Coms or other institutions which are enclosed under the category “Others”.

21. Extrabudgetary Funding (as appropriate):

If the Regular Programme element is reinforced by Extrabudgetary Project(s), the responsible officer can indicate the SISTER code here. All associated XB Projects will also be listed and accessible from here.

If funds are to be mobilized to complement this Regular Programme element, the responsible officer is requested to indicate the SISTER code of the CAP Outline(s) here. These CAP Outline(s) will be accessible from here.

If the Regular Programme element is reinforced by Emergency Fund(s), it/they will be listed and accessible from here.

Note: an RP element can be associated to several XB Projects and several CAP Outlines. An XB Project or CAP Outline can be associated to several RP elements. Furthermore, several Emergency Fund elements can be associated to an RP element but only one RP element can be associated to an Emergency Fund Element.

22. Associated Additional Appropriation

If the Regular Programme element is reinforced by Additional Appropriation(s) (AA), it/they will be listed and accessible from here. To associate an Additional Appropriation to an RP element, first create the Additional Appropriation in SISTER. Then indicate the association to the RP element in the template of the Additional Appropriation.

Note: several AAs can be associated to an RP element but only one RP element can be associated to an AA.