

RBM Monitoring and Reporting guidelines

Bureau of Strategic planning

Introduction

It is crucial for the Organization to continue its efforts to improve results-based monitoring and reporting in order to better articulate, communicate and demonstrate progress and results achieved.

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 stakeholders, including internal management of the Organization, Governing Bodies and the Donor. It is therefore important to ensure adequate monitoring of the implementation of the C/5 and of all Workplans¹ Responsible officers should aim at **evidence-based result-oriented** monitoring and reporting.

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 well 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.

New format of the EX/4 report

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?

¹ Workplans encompass Regular Programme and Category 1 Institute activities as well as Extrabudgetary projects.

- 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 whole 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?

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, to the extent possible in the two working languages of the Organization 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 well as quantitative and/or qualitative targets as revised in light of the **\$507M Expenditure Plan**. 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.

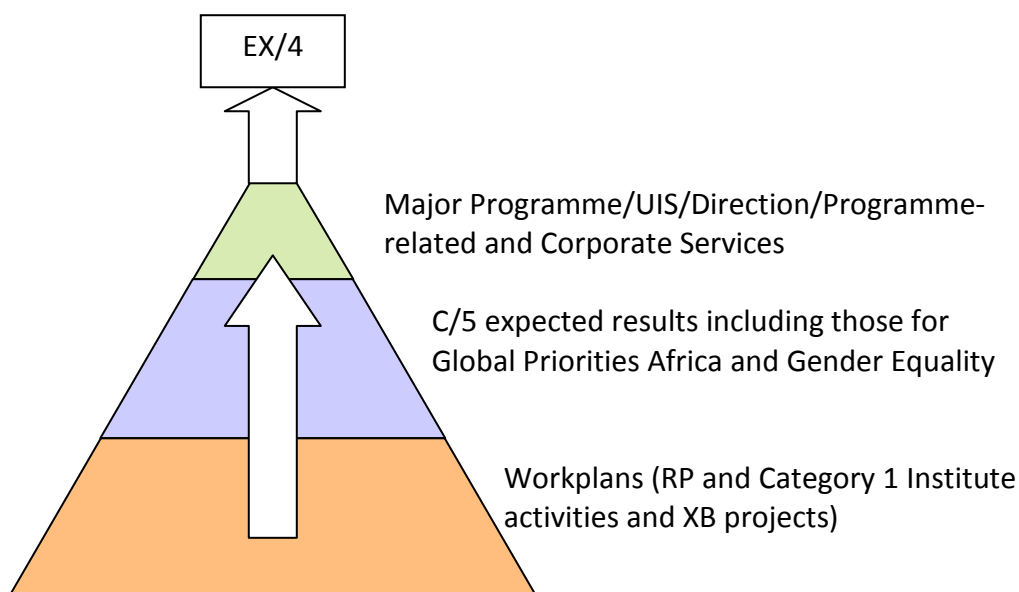
This information will be completed by C/5 expected result with budget and financial information regarding both Regular Programme and Extrabudgetary resources (including of Category 1 Institutes).

Monitoring and Reporting

In line with the principles of transparency, delegation of authority and accountability, fields have been designed in SISTER to keep track of progress achieved at the various programme levels. To proceed the responsible officers need to routinely review relevant and evidence-based data to measure both achievements towards results: or impact and to measure outputs produced: or performance.

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 (RP, XB and Category 1 Institute as well as Category 2) informs the progress assessment against the specific C/5 expected result to which they contribute. 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



The progress assessments provided in SISTER for the Workplans are only visible to the Secretariat for internal management purposes and to inform the elaboration of the EX/4 report. However, 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.

What type of information is required at the respective programme levels?

Workplans

At the Workplan level the responsible officer is required to inform on the current status and the modalities of implementation and to present the achievements against the planned outputs and expected results, challenges, remedial actions and, lessons learnt. The measures taken in order to ensure cost-effectiveness/efficiency and sustainability should be stated where appropriate. The contribution of the result achievements to the attainment of the selected C/5 expected result(s) should also be developed.

Expected Result N° 1:					
Performance indicator (PI) (a maximum of three)	Baseline (B)	Quantitative and/or qualitative Target (T):			
		2014-2015	2014-2017	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	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	Progress achieved against Target as at 30/06/2015	
PI 1.					
PI 2.					
PI 3.					

1) *Progress achieved against Target as at (date):*

The responsible officer needs to determine for each performance indicator associated to both output and expected result, the target (quantitative and/or qualitative) attained at this moment in time.

Furthermore, regarding each of the “*Progress achieved against Target*” associated to the expected result, the responsible officer according to evidence gathered, should 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.

Along the same lines, the responsible officer according to evidence gathered, should then determine if the **likelihood that the output will be achieved** is “High”, “Medium” or “Low”.

2) **Progress achieved from (date) to (date):**

Assessment of progress: Please refer to the Implementation Strategy and results information when completing the assessment and report in particular on the following aspects: *Outputs; Results; Challenges, remedial actions and lessons learnt; Cost-effectiveness/efficiency measures; Contribution to the C/5 result(s).*

As regards the first aspect, information to be provided relates to the process of the implementation and what the Organization has been undertaking. In a succinct manner, it should answer the following questions: What has been undertaken since the beginning of the quadrennium? and What are the key modalities of implementation and key outputs produced? It is an assessment at a given point in time of the output or part of the output produced in light of performance indicators and associated baselines as well as quantitative and/or qualitative targets.

Regarding the subsequent aspects, whereas the above information answers to the question what and how, the purpose here is to express the achievements induced by these key outputs. The achievements are an assessment of the major programmatic accomplishments at a given point in time of the result. It informs on the progress towards achievement of the expected result or part of the expected result in light of performance indicators and associated baselines as well as quantitative and/or qualitative targets. Basically, it seeks to describe what is different rather than what has been done. It further includes information about how the key outputs contribute to the attainment of result(s), thereby making the linkage between the Organization's action and the benefit from the direct beneficiary perspective. **To the extent possible ensure an evidence-based result-oriented reporting, and hence strive to inform about achievements viewed from the key stakeholders and in particular the direct beneficiaries' perspective.**

In order to improve future programme design and implementation it is likewise important to inform about challenges encountered, 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.

(Ex. Policy makers in domain X are reviewing policy Y in light of experiences in similar countries. This review process includes consideration of the recommendations provided by UNESCO's assessment in this domain. Due to Governmental changes it remains a challenge to ensure that high political priority will be maintained on this particular topic. However, to address this challenge, more efforts are invested in developing information material to argument for its case).

Regarding cost-effectiveness/efficiency, it refers to an assessment of whether outputs have been produced 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. Please refer for further information to the *IOS Evaluation Handbook* available at: <http://unesdoc.unesco.org/images/0015/001557/155748E.pdf>

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?"

Concerning sustainability, a Workplan 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 Workplan's sustainability. In addition, indications about sunset clauses and/or exit or transition strategy can prove useful.

The contribution of the Workplan achievements to the attainment of the selected C/5 expected result(s), including Global Priorities Africa and Gender Equality should also be developed.

That is demonstrating why/how result achievements of the Workplan have contributed to the attainment of the C/5 result(s) (and associated information) to which it contributes.

Note: In some cases, in particular during the first six months of the quadrennium, it may be that no progress has been achieved as implementation has not started. In that case, the responsible officer should not leave the fields blank but rather explain the situation. It is important to express whether lack of progress has been actually planned or instead it was due to other unexpected reasons.

3) Overall the implementation of the Workplan:

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".

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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 tri-colour scale enables responsible officers to represent through a symbol the conclusions of their assessment of the overall implementation of each Workplan. 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.
- **Note:** Information entered in the Monitoring fields at the Workplan level is only visible internally.

While monitoring 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 updated in particular regarding the Results Chain, Result Framework information, following aspects of the Implementation Strategy:

- 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(s) to be achieved and measures to follow up on them;
- Direct beneficiary/target groups and their expected roles;
- Key partners and their expected roles;
- Risks and mitigating measures;
- Sunset clauses and/or exit or transition strategy.

and the internal team dedicated to the Workplan and its Geographical scope. The phase of the Workplan needs also to reflect the updated situation. For example, in case the implementation of a Workplan has been finalized, the responsible officer needs to change the phase to “Completed”. This will ensure that for future reporting the monitoring information is copied automatically in the subsequent fields.

Regarding the internal team information, the responsible officer is requested to confirm the list of team members who participated or are participating in the design and/or implementation of the Workplan. The responsible officer, where relevant, may also specify the reasons for which the team member did not participate in the implementation as originally foreseen. Finally, every two years the responsible officer will need to indicate for each team member the estimated percentage of time that was dedicated by her/him to the Workplan. This will allow providing the complete list of UNESCO team members which have participated during the quadrennium in the Workplan implementation. Hence, providing a comprehensive picture of engaged UNESCO personnel. This also ensures the link with MyTalent; tool for the personnel’s individual performance assessment.

C/5 Result level and Major Programme level for Global Priorities: Africa, Gender equality

At these levels the responsible officer is required to prepare a consolidated report on the key achievements, challenges, remedial actions and lessons learnt for each of the C/5 expected results. Measures taken in order to ensure cost-effectiveness/efficiency and sustainability should be stated where appropriate. The contribution of the C/5 result achievements to the attainment of the selected C/4 Strategic Objective(s) should also be developed. Progress assessment at this level should be informed by the assessments of progress provided under each Workplan contributing to the C/5 expected result.

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.						

1) Progress achieved against Target as at (date):

Here needs to be indicated for each defined performance indicator associated to both output and expected result, the target (quantitative and/or qualitative) attained at this moment in time. This should also be undertaken in light of the CAP Target, if pertinent it should be specifically referred to.

Furthermore, regarding each of the "Progress achieved against Target" associated to the expected result, the responsible officer according to evidence gathered, should then provide the **overall assessment of the likelihood that the target will be attained**, indicating if it is "High", "Medium" or "Low".

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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.

Along the same lines, the responsible officer according to evidence gathered, should then determine if the **likelihood that the output will be achieved** is "High", "Medium" or "Low".

2) Progress achieved from (date) to (date):

Assessment of progress: Please refer to the result above when completing the assessment and report in particular on the following aspects: results achieved against performance indicator(s) and target(s); challenges, risks, remedial actions and lessons learnt; contribution to C/4 Strategic Objective(s).

The 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 well 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. **To the extent possible ensure an evidence-based result-oriented reporting, and hence strive to inform about achievements viewed from the key stakeholders and in particular the direct beneficiaries' perspective.**

Identification of lessons learnt is crucial to learn and improve future programme design and implementation. Therefore it is important to undertake an assessment of success and failure factors to define lessons learnt which could inform future programme design and implementation.

Regarding cost-effectiveness/efficiency, it refers to an assessment of whether outputs have been produced 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. *Please refer for further information to the IOS Evaluation Handbook available at: <http://unesdoc.unesco.org/images/0015/001557/155748E.pdf>*

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?"

The contribution of the C/5 result achievements to the attainment of the selected C/4 Strategic Objective(s) should also be developed. That is demonstrating why/how C/5 result achievements have contributed to the C/4 Strategic Objective(s) attainment.

In the specific case of **Category 1 Institutes** under MP I ED or MP II SC, information cited above is also required for each of ED or SC C/5 expected result the Category 1 Institute has indicated it would contribute to.

3) Challenges and risks in implementation and remedial actions:

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.

4) Overall assessment of the implementation of Workplans contributing to the C/5 expected result:

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”.

**SISTER
Field**

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.

While monitoring progress towards outputs and achievement of expected results, 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 updated in particular regarding the Results Chain, Result Framework and following aspects of the Implementation Strategy:

- 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(s) to be achieved and measures to follow up on them;
- Direct beneficiary/target groups and their expected roles;
- Key partners and their expected roles;
- Risks and mitigating measures;
- Sunset clauses and/or exit or transition strategy.

Monitoring and Reporting: Chain of responsibility

The preparation of the statutory report exercise is composed of the following key milestones and involves the following actors:

- 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 assessments 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.
 - Africa Department and Gender Equality Division prepare a summary strategic assessment on the basis of reporting information provided by the Sectors in SISTER;
 - 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**.