



General Assembly

Distr.
GENERALA/39/173
13 April 1984

ORIGINAL: ENGLISH

Thirty-ninth session
Item 111 of the preliminary list*

PROGRAMME PLANNING

Programme performance of the United Nations
for the biennium 1982-1983Report of the Secretary-General

CONTENTS

	<u>Paragraphs</u>	<u>Page</u>
I. INTRODUCTION	1 - 11	4
A. Background	1 - 5	4
B. Methodology of the preparation of the programme performance report	6 - 9	6
C. Treatment of administrative and common support services	10 - 11	8
II. SUMMARY OF RESULTS	12 - 56	9
A. Overall ratings	12 - 13	9
B. Analysis of departures from programmed commitments	14 - 41	13
C. Analysis of implementation rates for highest and lowest priority programme elements	42 - 43	21
D. Concluding observations	44 - 56	23

* A/39/50.

CONTENTS (continued)

III. PROGRAMME PERFORMANCE FOR THE BIENNIUM 1982-1983 BY BUDGET SECTION*

Budget
section

- 1.A.6 World Food Council
- 2.B Department of Political and Security Council Affairs
- 2.E United Nations Relief and Works Agency for Palestine Refugees in the Near East
- 3.B Department of Political Affairs, Trusteeship and Decolonization
- 3.C.2 Office of the United Nations Commissioner for Namibia
- 3.D Centre against Apartheid
- 5B Centre for Science and Technology for Development
- 6. Department of International Economic and Social Affairs
- 7. Department of Technical Co-operation for Development
- 9. Transnational corporations
- 10. Economic Commission for Europe
- 11. Economic and Social Commission for Asia and the Pacific
- 12. Economic Commission for Latin America
- 13. Economic Commission for Africa
- 14. Economic Commission for Western Asia
- 15. United Nations Conference on Trade and Development
- 16. International Trade Centre
- 17. United Nations Industrial Development Organization
- 18. United Nations Environment Programme

* Section III and the annex are to be issued subsequently as A/39/173/Add.1.

CONTENTS (continued)

Budget
section

- 19. United Nations Centre for Human Settlements (HABITAT)
- 20.B Division of Narcotic Drugs
- 20.C International Narcotics Control Board secretariat
- 21. Office of the United Nations High Commissioner for Refugees
- 22. Office of the United Nations Disaster Relief Co-ordinator
- 23. Human rights
- 26. Legal activities
- 27. Public information
- 28. Administration, finance and management
- 29. Conference and library services

ANNEX*

Resource information related to the programme performance in the biennium 1982-1983 for those units in the present report

I. INTRODUCTION

A. Background

1. By its resolution 33/118 of 19 December 1978, the General Assembly approved the recommendations of the Joint Inspection Unit on programming and evaluation in the United Nations (A/33/226) which, inter alia, called for the establishment of a system for monitoring programme performance and for an improved system of identifying output in the United Nations programme budget. In response to that resolution, two programme performance reports, for the bienniums 1978-1979 (A/C.5/35/1 and Corr.1 and Add.1 and Add.1/Corr.1 and 2) and 1980-1981 (A/C.5/37/154 and Corr.1 and 2) were submitted by the Secretary-General and considered by the Committee for Programme and Co-ordination (CPC), the Advisory Committee on Administrative and Budgetary Questions and the General Assembly.

2. At its twenty-second session, CPC welcomed the improvements made in the 1980-1981 report but pointed also to many weaknesses. It recommended the following improvements in future reports: 1/

(a) Quantitative information on outputs should be supported by information on the resource situation in each programme;

(b) Both regular and extrabudgetary resources should be taken into account;

(c) Administrative and common services should be included in the reporting account;

(d) The category of additional output should be divided into two sub-categories, namely, (i) output specifically required by a legislative decision subsequent to the formulation or approval of a programme budget and (ii) output added at the discretion of the programme manager;

(e) Explanations for low implementation rates should contain thoroughly examined and clear information on all major reasons, including resource constraints, staffing problems and overprogramming; in cases of high implementation rates, the possibilities of underprogramming, overfinancing and overstaffing should not be overlooked;

(f) Comprehensive and more precise information should be provided regarding the termination of planned output and the disposal of the resources released as a result of terminations, as well as regarding output carried over to the following biennium;

(g) The number of high priority and low-priority output should be indicated for each category of output implementation in the tables of the performance report.

These recommendations have been implemented in the preparation of the present report and, as appropriate, in its presentation.

3. In the same report, CPC also called for the early establishment of a central monitoring unit to monitor the delivery of output and prepare for the Secretary-General a report for submission to the General Assembly, through CPC, on programme implementation for the United Nations as a whole. 2/ This unit was established in October 1982. 3/

4. At its thirty-seventh session, the General Assembly adopted the Regulations Governing Programme Planning, the Programme Aspects of the Budget, the Monitoring of Implementation and the Methods of Evaluation (resolution 37/234 of 21 December 1982, annex) recommended by CPC in its report on its twenty-second session. 4/ Regulation 2.1 states that the activities undertaken by the United Nations shall be submitted to an integrated management process reflected in four instruments, namely, medium-term plans, programme budgets, reports on programme performance and evaluation reports. Regulation 2.2 envisages that these instruments shall be used to ensure that activities are co-ordinated and that available resources are utilized according to legislative intent and in the most effective and economic manner. Two other regulations deal specifically with reports on programme performance:

"Regulation 5.1. The Secretary-General shall monitor the delivery of output scheduled in the approved programme budget through a central unit in the Secretariat. After the completion of the biennial budget period, the Secretary-General shall report to the General Assembly, through the Committee for Programme and Co-ordination, on programme performance during that period.

"Regulation 5.3. The Secretary-General shall transmit the biennial programme performance report to all Member States by the end of the first quarter following the completion of the biennial budget period."

5. The Secretary-General submitted a report (A/38/126) to the General Assembly at its thirty-eighth session setting out rules governing programme planning, the programme aspects of the budget, the monitoring of implementation and methods of evaluation. Proposed rule 105.1 reads as follows:

"(a) Under the guidance of the Programme Planning and Budgeting Board, the central monitoring unit shall:

"(i) Monitor changes made during the biennium in the programme of work in the programme budget approved by the General Assembly;

"(ii) At the end of the biennium, determine the actual delivery of final output in comparison with the commitments set out in the programme narratives of the approved programme budget and report thereon to the General Assembly through the Committee for Programme and Co-ordination. This monitoring and performance reporting shall cover all activities in the programme budget;

"(b) Programme performance shall be reported under the following procedures:

"(i) Heads of departments or offices shall submit biennial programme performance reports for their departments at such time and in such detail as the Secretary-General may prescribe;

/...

"(ii) A central monitoring unit shall be responsible for the determination of actual programme delivery and the preparation of the related report to the General Assembly.

"(c) The Internal Audit Division shall conduct ad hoc detailed audits of output delivery.

"(d) In the programme performance report, final outputs actually delivered during the biennium shall be listed according to the following categories:

"(i) Completed as programmed;

"(ii) Postponed to the following biennium whether commenced or not;

"(iii) Completed while significantly reformulated;

"(iv) Terminated as obsolete, of marginal usefulness or ineffective;

"(v) Additional output required by a legislative decision subsequent to the approval of the programme budget;

"(vi) Additional output initiated by the programme manager.

"An implementation rate based on the above categories shall be assigned to each programme in the programme performance report. Explanations shall be provided in the programme performance report for low-implementation rates and, on request of Member States, for any other departures from programmed commitments."

B. Methodology of the preparation of the programme performance report

6. In late 1983, the head of the Central Monitoring Unit, under the authority of the Programme Planning and Budgeting Board, transmitted instructions for the preparation of the programme performance report for the biennium 1982-1983 to all heads of departments in the United Nations. Submitting units were informed that, as part of its review, the Internal Audit Division would conduct ad hoc audits of programme performance reporting by organizational units to determine the validity of their submissions.

7. The frame of reference for the present report is the proposed programme budget for the biennium 1982-1983. ^{5/} As with previous reports, although to a much lesser extent, some modification of procedures was necessary where the programme narratives in the proposed programme budget for the biennium 1982-1983 were not precise in their specification of output.

8. The submitting units were requested to give information on all departures from programmed commitments; however, the explanations below focus only on those programmes where the rate of implementation was low. Full explanations of all departures are given for programmes with implementation ratings (see para. 9 (h) below for definitions) of "C" and "D". Explanations for all other cases can be provided in response to questions during the intergovernmental review process.

/...

9. The following annotations refer to key terms in the tables and accompanying explanations for each budget section:

(a) Programme of activity. This refers to the programme as defined in the medium-term plan for the period 1980-1983 ^{6/} and used in the proposed programme budget for the biennium 1982-1983, ^{5/} which usually consists of the work of one division.

(b) As programmed in the 1982-1983 programme budget. This refers to the descriptions of output in the narrative of the proposed programme budget for the biennium 1982-1983, including output financed from extrabudgetary resources.

(c) Implemented as programmed. An output is considered implemented as programmed if it has been completed within the biennium in conformity with the description in the narrative of the proposed programme budget for the biennium 1982-1983, even if it was programmed for 1982 and only completed in 1983. An output is considered completed when it has been delivered to final users, such as an intergovernmental body in the case of the report or, in the case of technical assistance, when the project has been formally closed by agreement between the United Nations executing agency and the Government concerned.

(d) Significantly reformulated. Entries under this category were made where the output was completed during the biennium 1982-1983 but differed significantly in nature or scope from the indications in the programme narrative in the 1982-1983 programme budget.

(e) Postponed to the following biennium whether commenced or not. Where the output was expected to be completed and delivered to final users in the biennium 1982-1983 but has been postponed to the following biennium or to a later date, it was entered in this category even if the delay was simply from an expected completion date of 1983 to an expected actual delivery in 1984.

(f) Terminated. An output was considered terminated as obsolete, of marginal usefulness or ineffective if it had not been commenced or if work had ceased on it before it was completed and there was no intention of recommencing this work at some later date.

(g) Additional output. Entries under this category are of two distinct types:

(i) Additional output required by legislation: output which has been required at the output level by legislative decision subsequent to the formulation of the 1982-1983 programme budget;

(ii) Additional output added at initiative of Secretariat: output for which there is no specific legislative authority at the output level other than that cited in the medium-term plan for 1980-1983 but which has been added at the initiative of programme managers in response to general legislation or other new developments.

(h) Percentage implementation. The percentage implementation is indicated in terms of four ranges, namely:

/...

Percentage

- A: 75-100
- B: 50-74
- C: 25-49
- D: 0-24

It is believed that the ranges provide a useful indicator of performance even though the limitations of such a classification, which attempts a quantitative rather than a qualitative assessment, should be borne in mind in evaluating the relative performance of individual programmes. It is also pertinent to add that, as was stated in the internal instructions referred to in paragraph 6 above, the effective use by programme managers of their prerogative to reformulate programmed output is part of good management.

C. Treatment of administrative and common support services

10. The presentation of administrative and common support services in the narrative patterns adopted for substantive activities has presented a number of problems. One such problem has been the lack of a frame of reference as the programme narratives for these services in the proposed programme budget for 1982-1983 did not provide specific and quantifiable outputs. Despite such problems it was decided that the recommendation of CPC (see para. 2 (c) above) should be implemented at this time rather than await future improvements in the formulation of the programme narratives. Other problems encountered in the preparation of the portion of this report which relate to administration and common support services include the following:

(a) A methodology including the establishment of standard categories of output or classifications of the functions under the administrative and common support services had not been developed and tested before action was initiated to include these services in the present report;

(b) Many of the outputs associated with these services are difficult to quantify although some of them consume considerable resources;

(c) The required programme performance data were not readily available and their compilation, in many cases, necessitated a great deal of ex post facto reconstruction.

It has therefore been decided to start only with the services provided at the three main centres of the United Nations (New York, Geneva and Vienna) by the departments of Administration and Management (sect. 28) and Conference and Library Services (sect. 29).

11. Because of the difficulties outlined above, it has not been possible to indicate the services delivered in the standard format. The information provided is not exhaustive with regard to the totality of the activities undertaken.

/...

Although the activities in the administration and common support services are numerous and varied in nature, in many cases only key output indicators have been utilized. Many other activities such as the numbers of internal meetings held or attended have been excluded. It is nevertheless felt that an initial step has been made and the experience gained from this exercise will be useful in improving the treatment of administration and common support services in the preparation of the proposed programme budget for the biennium 1986-1987 and future programme performance reports.

II. SUMMARY OF RESULTS

A. Overall ratings

12. From the viewpoint of programme performance reporting the biennium 1982-1983 is still a transitional period. Many of the texts in the proposed programme budget for the biennium 1982-1983 were not precise enough in their specifications of output to permit them to be used as a standard against which to report performance. In particular, it is necessary to distinguish the following:

(a) Sections where there was no specification of output in the budget: in these cases an attempt was made in this report to list what was produced during the biennium and so lay the foundation for more precise narratives in future budgets.

(b) Sections where the nature of the output to be produced was specified, in some cases with precision, but not in a quantitative manner: the text indicated for example that reports would be written on certain topics or substantive servicing of meetings would be provided but the numbers of reports or meetings were not indicated. This means that an accounting can be made in such a manner as to permit judgements on the overall conformity of actual performance with the commitments in the proposed budget, but that no quantitative rating in terms of the percentage of programme implementation is possible. For these sections a great deal of ex post facto reconstruction is necessary in order to specify the numbers of outputs programmed in the 1982-1983 budget. Where this was done the numbers in the first column of the standard tables in section III are bracketed and no rating is given in column 8. In certain cases, such as the Department of Political and Security Council Affairs, some but not all of the units within the Department specified quantities of outputs; as a consequence while the entire Department could not be given a performance rating some programmes within it could be and were given ratings.

(c) For sections where both the nature and quantities of outputs were specified, a performance rating in terms of the four ranges given in paragraph 9 (h) above was calculated. Many of these sections, however, while precise in all other respects in their programming for the 1982-1983 biennium, did not specify priorities.

(d) For sections where priorities were specified in addition to the nature and quantities of outputs, a separate analysis of implementation rates in terms of priority designations is provided below.

13. A summary, by budget section and organization unit, showing the overall performance rating is provided in table 1.

/...

Table 1. Summary of programme performance for the biennium 1982-1983
by budget section

Budget section a/	Not specified	Specification of output in proposed programme budget for the biennium 1982-1983			Performance rating: percentage implementation A: 75-100% B: 50-74%
		Nature specified but not quantities or priorities	Nature and quantities specified but not priorities	Nature, quantities and priorities specified	
1.A.6		World Food Council			- b/
2.B		Department of Political and Security Coun- cil Affairs (excluding disarmament			- b/
2.E			Disarmament A United Nations Relief and Works Agency for Palestine Refugees in the Near East		- b/
3.B		Department of Political Affairs, Trusteeship and Decolo- nization			- b/
3.C.2			Office of the United Nations Commissioner for Namibia		A
3.D			Centre against <u>Apartheid</u>		A
5B			Centre for Science and Technology for Development		A

/...

Table 1 (continued)

Budget section <u>a/</u>	Not specified	Specification of output in proposed programme budget for the biennium 1982-1983			Performance rating: percentage implementation A: 75-100% B: 50-74%
		Nature specified but not quantities or priorities	Nature and quantities specified but not priorities	Nature, quantities and priorities specified	
6				Department of International Economic and Social Affairs	A
7				Department of Technical Co-operation for Develop- ment	A
9				Centre for Trans- national Corpo- rations	A
10			Economic Commission for Europe		A
11				Economic and Social Com- mission for Asia and the Pacific	B
12				Economic Com- mission for Latin America	B
13				Economic Com- mission for Africa	A
14				Economic Com- mission for Western Asia	B
15		United Nations Conference on Trade and Development			- <u>b/</u>

/...

Table 1 (continued)

Budget section <u>a/</u>	Not specified	Specification of output in proposed programme budget for the biennium 1982-1983			Performance rating: percentage implementation A: 75-100% B: 50-74%
		Nature specified but not quantities or priorities	Nature and quantities specified but not priorities	Nature, quantities and priorities specified	
16	International Trade Centre				- <u>c/</u>
17			United Nations Industrial Development Organization		A
18			United Nations Environment Programme		B
19				United Nations Centre for Human Settle- ments (Habitat)	A
20.B			Division of Narcotic Drugs		A
20.C			International Narcotics Control Board secretariat		A
21	Office of the United Nations High Commissioner for Refugees				- <u>c/</u>
22		Office of the United Nations Disaster Relief Co-ordinator			- <u>b/</u>

Table 1 (continued)

Budget section <u>a/</u>	Not specified	Specification of output in proposed programme budget for the biennium 1982-1983			Performance rating: percentage implementation A: 75-100% B: 50-74%
		Nature specified but not quantities or priorities	Nature and quantities specified but not priorities	Nature, quantities and priorities specified	
23				Human rights	A
26			Legal activities		A
27			Public inform- ation		- <u>c/</u>
28	Administration, finance and management				- <u>c/</u>
29	Conference and library services				- <u>c/</u>

a/ The following sections are not included in this report because the activities covered in them, as presented in the programme budget for the biennium 1982-1983 do not lend themselves to assessment in terms of programme performance: 1 (except 1.A.6), 2 (except 2B and 2E), 3 (except 3.B, 3.C.2, and 3.D), 4, 5A, 8, 24 and 25. An attempt will be made to include at least some of these sections in future programme performance reports.

b/ Although a rating in terms of percentage implementation was not possible for this section, detailed quantitative information in the standard format is provided in section III. See explanation in paragraph 12 (b) above.

c/ Although a rating in terms of percentage implementation was not possible for the section, a detailed list of output produced during the 1982-1983 biennium is provided in section III. See explanation in paragraph 12 (a) above.

B. Analysis of departures from programme commitments

14. For sections with precise programming in the 1982-1983 programme budget, quantitative analysis of actual programme performance at the output level in relation to the commitments in the proposed programme budget for the biennium 1982-1983 has been possible. The details of this analysis in terms of the categories indicated in paragraph 9 above are shown in table 2.

/...

Table 4. Analysis of actual programme performance at the output level in 1982-1983 in relation to the designation of priorities in the proposed programme budget for the biennium 1982-1983 (excluding technical assistance)

Priority designation	Number of outputs							Percentage implementation (2 plus 3 over 1) A: 75-100% B: 50-74% C: 25-49%
	Departures from programmed commitments							
	As programmed in 1982-1983 programme budget	Implemented as programmed	Significantly reformulated but implemented in full	Postponed to following biennium whether commenced or not	Terminated	Additional outputs		
						Required by legislation	Added at initiative of Secretariat	
(1)	(2)	(3)	(4)	(5)	(6)	(7)	(8)	
Highest priority	725	515	48	93	69	-	-	A (78%)
No designation	1 682	1 064	155	208	255	[291]	[193]	B (72%) <u>a/</u>
Lowest priority	187	75	14	24	74	-	-	C (48%)
Total	2 594	1 654	217	325	398	[291]	[193]	B (72%) <u>a/</u>

a/ Excluding additional outputs.

/...

15. As table 2 shows, all sections with precise programming in the 1982-1983 programme budget had "A" ratings, that is, implementation rates of over 75 per cent, with the exception of ESCAP, ECLA, ECWA and UNEP, which had "B" ratings with implementation rates in the range of 50 to 74 per cent. In the case of ESCAP, the rating is largely an artifact of the ranges being used since the actual percentage was 73, only two points below the "A" range. Given the many methodological shortcomings of the system there is no significant difference in implementation rates between ESCAP and a unit which has, for example, a 76 per cent rate and so is in the "A" category. Details of the components of the overall ratings for these units are provided in section III.

16. The major factors involved in the departures from programmed commitments shown in table 2 are given below.

Reformulations

17. Many of the reformulations of output consisted of reducing the number of publications by combining them. For example, the Office of the United Nations Commissioner for Namibia produced a newsletter on a bi-weekly rather than weekly basis over the biennium.

18. The 61 reformulations in the Economic and Social Commission for Asia and the Pacific (ESCAP) were concentrated in programmes Development issues and policies, Industrial development, Natural resources and energy and Transport I and II. Reformulations most often took place in light of developments in the one-year period between the programme's formulation and its implementation or to adjust to difficulties encountered during the implementation, including shortfalls in extrabudgetary resources.

19. In the Economic Commission for Africa (ECA), of the 46 outputs significantly reformulated, two programmes account for more than one half of the departures. In Food and agriculture, of the 12 outputs programmed under programme elements 4.1 and 4.2, 9 have been significantly reformulated in order to bring together closely related subject matter. In the Population programme, several programme elements which were described in the text as having multiple outputs for one topic had only a single output for that topic. This affected 16 outputs. The remaining reformulations are scattered throughout the section.

20. The 52 reformulations in the Economic Commission for Latin America (ECLA) were concentrated in Development issues and policies, Economic co-operation among developing countries, Natural resources and energy and Transport and communications. Most of these reformulations consisted of outputs that were originally programmed as technical publications and were later changed to seminars and workshops in light of the interest expressed by member States.

Postponements

21. Postponements were mostly due to three factors. First, in several sections of the budget a lack of regular budget resources in the form of high levels of staff

vacancies or of extrabudgetary funding below anticipated levels, as shown in the annex, led to large number of postponements.

22. In the Economic Commission for Europe (ECE), of the 49 postponements, 15 are in Natural resources and energy, 11 in International trade, 6 in Human settlements and the remainder are spread widely among other programmes.

23. In ESCAP, of the 40 postponements, half were in two programmes, namely Human settlements and Transport II. In most cases these postponements were due to the unavailability of anticipated extrabudgetary resources. The other postponements are scattered among the remaining programmes and are also mainly due to resource constraints.

24. In ECA, one half of the 94 outputs postponed were in three programmes: in International trade, Natural resources and energy and Transport, a total of 47 outputs were postponed primarily for reasons of financial constraints of staffing problems. The other postponements are scattered among the remaining programmes and are also mainly due to resource constraints.

25. In the United Nations Environment Programme (UNEP), the 83 postponed outputs were largely concentrated under subprogramme 3 (Terrestrial ecosystems) and subprogramme 8 (Supporting measures). Most of these outputs were technical publications and their postponement was mainly due to lack of resources, specifically lack of extrabudgetary funds.

26. A second factor, affecting particularly the Department of International Economic and Social Affairs (DIESA) and the United Nations Industrial Development Organization (UNIDO), was various forms of intergovernmental decisions, including postponement of meetings, changes in agendas, recommendations for revisions in drafts, approval of conferences and the addition of new work of greater urgency than some of that programmed. For DIESA, resources had to be released to service the International Conference on Population and the World Conference to Review and Appraise the Achievements of the United Nations Decade for Women, resulting in the postponement of many discretionary outputs in the population and social development programmes.

27. In UNIDO, the three major components of the 42 outputs postponed were: (a) 10 outputs in programme element 1.2 (Evaluation of programmes and projects) of programme 1 (Policy co-ordination), for which the work programme was reformulated to give priority to the design and installation of a self-evaluation project system in accordance with the mandate of the Industrial Development Board (IDB) at its seventeenth session; (b) 4 outputs under subprogramme 4 (System of consultations on industry) of programme 1 in accordance with the programme of consultations decided upon by IDB at its fifteenth session and 6 outputs under subprogramme 3 (Sectoral studies and research) of programme 2 (Industrial studies and research), which had been designed to support the postponed consultations; and (c) 11 outputs under programme element 7.1 (Development and dissemination of data on industrial information sources) of programme 2, consisting of guides to information sources in specific industrial sectors.

28. The third general factor affecting postponements was largely technical. For many publications of the Office of Legal Affairs and DIESA substantive work was completed but adequate time had not been allocated for clearance, editing, translation and printing so that the outputs, though produced by the substantive office, will only be issued in 1984. The Office of Legal Affairs, for example, had 41 volumes of the United Nations Treaty Series ready for translation and printing and DIESA had a large number of studies, particularly in social development, awaiting final clearance, editing and printing.

Terminations

29. As with postponements, terminations also resulted from lack of resources and the consequences of intergovernmental decisions. Some of the terminations were made in 1982 and were thus included in annex XI to the introduction to the proposed programme budget for the biennium 1984-1985. In addition, many organizations, both those that had designated priorities and those that had not, terminated output in order to release resources for higher priority activities. In a few cases, such as the Statistics programme of DIESA, an intergovernmental body recommended terminations.

30. In ESCAP, a significant number of terminations are reported under all programmes; programmes with exceptionally high rates for termination were Environment, Industrial development, International trade, Science and technology, Transport I and II and Social development and humanitarian affairs. One fifth of the 155 outputs terminated were listed in annex XI of the proposed programme budget for the biennium 1984-1985. The majority of the other terminations resulted to some extent from anticipation of substantial extrabudgetary resources that did not materialize, combined with the lack of staff resources due to the vacancy situation among Professional posts that existed in the Commission throughout the biennium.

31. More than half of the 102 terminations in ECLA were concentrated in the Population programme, where most of the technical publications programmed could not be issued largely due to lack of extrabudgetary resources. The other terminations were scattered among the remaining programmes.

32. In ECA, of the 51 outputs terminated, 6 in the programme Human settlements, 9 in Industrial development and 7 in Natural resources and energy were terminated because the expected extrabudgetary funding for their implementation did not materialize. In the programme Social development and humanitarian affairs, 9 outputs were terminated partly because of staff vacancies and partly because of the necessity to release staff resources for outputs required by recent legislation. Of the 51 outputs terminated, 29 outputs were listed in annex XI of the proposed programme budget for the biennium 1984-1985.

33. In UNIDO, out of 50 outputs terminated, 49 were in programme 2 (Industrial studies and research). Of these, 37 outputs were to have been "updated issues of guides published earlier" under programme element 7.1 (Development and dissemination of data on industrial information sources). The UNIDO secretariat reconsidered the effectiveness of hard copy dissemination; an evaluation is being

undertaken of the possibility of providing the information through magnetic tapes which could be easily updated. The remaining 12 terminations in research occurred in programme element 3.10 (Inter-sectoral research) of programme 2, following the adoption by IDB of the provisional agenda for the fourth General Conference of UNIDO. Instead of the programmed publications, 8 technical publications were prepared for submission to the UNIDO General Conference and 4 were added at the initiative of the secretariat.

34. In UNEP, the 41 terminations occurred in subprogrammes 1 (Environmental assessment), 3 (Terrestrial ecosystems), 4 (Environment and development), 6 (Energy) and 9 (Environmental management, including environmental law) of programme 2 (Environment) and were mainly technical publications which were terminated due to extrabudgetary shortfalls.

Additional outputs required by legislation

35. Most of the additional outputs in this category for DIESA were to service the Conference on Population and Conference on Women. For ECA, they were responses to diverse intergovernmental requests such as, in the programme on industrial development, 31 technical publications mainly in the form of project profiles on the chemical, engineering, metal, agro- and forest industries, pursuant to ECA resolution 442 (XVII), paragraph 10 (a), and the conclusions of the seventh meeting of the Follow-up Committee on Industrialization in Africa, and in transport 23 outputs, mainly reports and servicing of meetings, concerning various aspects of the transport programme, including 4 outputs in connection with the programme of action for the second phase of the Transport and Communications Decade in Africa. For a number of bodies, such as DIESA and ECA, some additional output consisted of the production of publications which had been in the approved work programme for 1980-1981 but which were postponed to 1982-1983 but which, because the decisions on postponement were taken in 1981, could not be included in the 1982-1983 programme budget.

36. In UNIDO, the 78 additional outputs required are distributed as follows: 14 in Executive direction and management; 34 in Policy co-ordination; and 30 in Industrial studies and research. The outputs under Executive direction and management had been anticipated but not codified; they consist of substantive servicing of meetings, e.g. IDB and its Permanent Committee on various topics not included elsewhere. Two programme elements account for most of the additional output under Policy co-ordination: (a) programme element 2.1 (Development of technical co-operation programmes and projects for the least developed countries), which accounts for 14 outputs: 2 reports to IDB; 3 rehabilitation and reconstruction missions to assist countries facing special difficulties; and, as a follow-up to the Substantial New Programme of Action for the 1980s for the Least Developed Countries, technical assistance to 9 participating countries in round table ministerial meetings, and (b) programme element 5.1 (Industrial development field adviser programme and field reports, monitoring), which undertook 16 outputs that had not been codified: 8 reports to intergovernmental bodies and 8 training programmes and mid-assignment reviews for Junior Professional Officers. Under the programme Industrial studies and research, 8 additional outputs were produced under

programme element 3.10 (Inter-sectoral research) (see para. 33 above). Under the programme element on the wood and wood processing industries, 9 additional outputs were produced following the inclusion of this sector by IDB in the System of Consultations.

Additional outputs proposed at the initiative of the Secretariat

37. These were added by programme managers in response to new developments and general legislation. Half of the additional output of DIESA in this category consisted of computer tapes and special reports prepared under the Ocean economics and technology programme, while the remainder consisted of various types of discretionary publications. In ECLA, additional outputs occurred in all programmes except Human settlements. The highest concentration occurred in Transport, communications and tourism, Development issues and policies and Food and agriculture. The additional outputs were mainly seminars and activities related to them such as publications. These outputs were added in order to strengthen the programmes where they occurred and in view of the availability of resources.

38. In UNIDO, of the 69 additional outputs, 63 are in programme 2 (Industrial studies and research) and 6 in programme 1 (Policy co-ordination). The latter consist of reports on technical co-operation which, although not required by legislation, were submitted to IDB and its Permanent Committee. The additional outputs in programme 2 (Industrial studies and research) were spread very widely among the programme elements. Larger quantities include the following:
6 technical publications on aspects of industrialization in programme element 1.8 (Special studies on long-term development issues relating to industrialization);
7 on aspects of subregional industrial co-operation in ASEAN countries and Gulf countries in programme element 2.2 (Regional and subregional studies and analyses);
and 5 on aspects of technology in programme element 4.1 (Development of technology policies and programmes).

39. In UNEP, with the exception of subprogramme 7 (Natural disasters), all subprogrammes include outputs that have been added at the initiative of the secretariat. Almost half are concentrated under subprogramme 5 (Oceans) and specifically under the regional seas programme element, which accounts for 42 additional outputs. These were largely possible due to the development of the regional action plans, involving 11 regions and more than 120 coastal States. In addition, 20 publications were issued dealing with marine pollution. The other 50 per cent of additional outputs are scattered among the remaining subprogrammes.

40. Various subsidiary indicators of performance can be derived from table 2 in addition to the overall rating. In particular, it is of interest to examine the departures from programmed commitments as percentages of programmed output. Such percentage indicators are shown in table 3.

Table 3. Departures from programmed commitments as percentages of programmed output (excluding technical assistance)

Sections with precise programming in the 1982-1983 programme budget		Departures from programmed commitments <u>a/</u>	Of which Postponements and terminations	Additional outputs
(Percentage of programmed outputs)				
		(1)	(2)	(3)
2B	Department for Disarmament Affairs	17	3	13
3.C.2	Office of the United Nations Commissioner for Namibia	46	5	18
3.D	Centre against <u>Apartheid</u>	12	-	-
5B	Centre for Science and Technology for Development	54	21	23
6	Department of International Economic and Social Affairs	58	29	25
7	Department of Technical Co-operation for Development	44	18	17
9	Transnational corporations	49	21	22
10	Economic Commission for Europe	18	12	2
11	Economic and Social Commission for Asia and the Pacific	42	28	5
12	Economic Commission for Latin America	71	31	30
13	Economic Commission for Africa	65	27	29
14	Economic Commission for Western Asia	75	51	9
17	United Nations Industrial Development Organization	86	31	49
18	United Nations Environment Programme	83	36	41
19	United Nations Centre for Human Settlements (Habitat)	31	18	6
20.B	Division of Narcotic Drugs	7	4	2
20.C	International Narcotics Control Board secretariat	12	2	10
23	Human rights	14	8	6
26	Legal activities	<u>12</u>	<u>12</u>	<u>-</u>
		42	20	16

a/ Including outputs significantly reformulated but implemented in full.

41. As can be seen from table 3, half the units with precise programming have rates of postponements and terminations of over 20 per cent of programmed output. This in part reflects a significant volume of terminations in conformity with General Assembly resolution 3534 (XXX) and its subsequent reaffirmations. The table also shows that for many of these units such postponements and terminations are offset by a similar volume of additional output. If all departures from programmed commitments, including outputs which were significantly reformulated but implemented in full, are added and compared to the number of programmed outputs in the proposed programme budget for 1982-1983 we have an indicator, column 1 of table 3, showing the extent to which the initial programme was altered in the course of implementation. The table shows that, for over half the units with precise programming, such changes from the initial programme involved outputs representing more than 40 per cent of the output reviewed by the Assembly as the programme justification of the resources requested for 1982-1983.

C. Analysis of implementation rates for highest and lowest priority programme elements

42. The organizational units that designated highest and lowest priority programme elements in the proposed programme budget for the biennium 1982-1983 were: DIESA, Department of Technical Co-operation for Development, Centre on Transnational Corporations and Joint Units, ESCAP, ECLA, ECA, ECWA, United Nations Centre for Human Settlements (Habitat) and Division of Human Rights. The departures from programmed commitments and the percentage implementation rates for the programme elements with lowest and highest priority designations, and for those with no designation, are given in table 4.

43. As table 4 shows, outputs in programme elements with lowest priority designations were postponed or terminated at a significantly greater rate than those in programme elements of highest priority or with no designation. The differences in implementation rates between the "highest priority" and "no designation" categories, however, are not as great as might be expected. An examination of the components of these aggregate figures indicates that several of the units which designated priorities did not implement their programme in a manner consistent with these designations. In some units, programme elements designated highest priority were implemented at lower rates than those with no designation. This anomaly largely disappears if the treatment of outputs added by legislative bodies after the formulation of the budget is taken into account. Where such outputs must be implemented during the biennium they are clearly regarded as of an urgent nature by the legislative bodies requesting them and are therefore implemented by the Secretariat as highest priority. If such outputs are added to the category "highest priority" then the aggregate implementation rate for this category in table 4 would be 84 per cent and the rates for individual organizational units would be in closer conformity to expectations.

Table 2. Analysis of actual programme performance at the output level in 1982-1983 in relation to the commitment in the proposed programme budget for the biennium 1982-1983

Number of outputs a/								
Departures from programmed commitments								
Sections with precise programming in the 1982-1983 programme budget	As programmed in 1982-1983 programme budget	Implemented as programmed	Significantly reformulated but implemented in full	Postponed to following biennium whether commenced or not	Terminated	Additional outputs		Percentage implementation (2 plus 3 plus 6 over 1 plus 6) A: 75-100% B: 50-74% C: 25-49% D: 0-24%
						Required by legislation	Added at initiative of Secretariat	
	(1)	(2)	(3)	(4)	(5)	(6)	(7)	(8)
2B Department for Disarmament Affairs	187	181	-	-	6	24	1	A
3.C.2 Office of the United Nations Commissioner for Namibia	238	170	57	8	3	32	10	A
3.D Centre against Apartheid	319	280	39	-	-	-	-	A
5B Centre for Science and Technology for Development	39	27	4	8	-	8	1	A
6 Department of International Economic and Social Affairs	491	328	22	107	34	91	32	A
7 Department of Technical Co-operation for Development	72	52	7	10	3	10	2	A
9 Transnational corporations	85	62	5	12	6	14	5	A
10 Economic Commission for Europe	486	407	20	49	10	7	2	A
11 Economic and Social Commission for Asia and the Pacific	693	437	61	40	155	17	17	B
12 Economic Commission for Latin America	412	234	52	24	102	8	107	B
13 Economic Commission for Africa	540	349	46	94	51	136	23	A
14 Economic Commission for Western Asia	117	40	17	24	36	10	1	B
17 United Nations Industrial Development Organization	300	190	18	42	50	78	69	A
18 United Nations Environment Programme	346	200	22	83	41	10	132	B
19 United Nations Centre for Human Settlements (Habitat)	100	75	7	8	10	-	6	A
20.B Division of Narcotic Drugs	506	485	-	21	-	-	12	A
20.C International Narcotics Control Board secretariat	97	95	-	-	2	10	-	A
23 Human rights	84	77	-	6	1	5	-	A
26 Legal activities	458	403	-	54	1	2	-	A
Total	5 570	4 092	377	590	511	462	420	A

a/ Excluding technical assistance.

D. Concluding observations

44. This performance report examines departures from programmed commitments both in terms of causes of reformulations, postponements, terminations and additions, that is, by category of departures, and in terms of organizational units. These results will be utilized in the preparation of the programme budget for the biennium 1986-1987 after taking into account the programme and budgetary aspects of the 1984-1985 budget.

45. The departures from programmed commitments for those units which had precise programming in the 1982-1983 programme budget were large in percentage terms. For many units postponements and terminations were offset by a similar quantity of additional output. For some units the high implementation rate could in some circumstances indicate underprogramming or overstaffing. For many units there is clearly a degree of over-programming, which in some cases has already been the subject of preliminary reviews in preparation for the programme budget for the biennium 1986-1987 and in other cases will be the subject of discussions between the Office of Financial Services and the Office for Programme Planning and Co-ordination and the units concerned. In particular, the volume of postponements and terminations was greater than expected and, in the case of terminations, much greater than those listed in annex XI to the introduction to the programme budget for the biennium 1984-1985.

46. The causes of such a volume of postponements and terminations are varied, but a primary cause is that the United Nations budget consists of two very different sources of financing. One source, the regular budget, is predictable and stable and so can be more precisely and systematically programmed, but the other source, extrabudgetary resources, can only be estimated at the time of preparing the budget. It appears desirable that the narrative text in the programme budget should continue to list all programme elements and outputs to be produced regardless of source of funds so that extrabudgetary funding can be conducted within a framework that has been proposed to and approved by the General Assembly. The continuation of this practice, however, implies that there will always be a significant degree of uncertainty in the programme proposals set out in the narrative of the budget because of the uncertainties associated with extrabudgetary funding. Furthermore, it has been found by some units that a comprehensive or even ambitious approach to the initial programming, by providing a large range of approved work from which donors can select, facilitates the quest for extrabudgetary funding. Where such practices exist it may be necessary in the future to ask the intergovernmental bodies concerned to distinguish between a core programme to be funded from the regular budget and a supplementary programme to be funded from extrabudgetary sources to the extent possible.

47. In other respects also the mixture of funding presents difficulties in programming and performance reporting. In tables 2 to 4, technical assistance has been excluded; it is reported separately in the detailed tables in section III where the standard categories of departures from programme commitments are utilized even though they are not strictly applicable to outputs which are initiated only on the request of States. Thus, where a shortfall in technical assistance completions was due to a smaller number of requests by States than was expected this shortfall is reported as terminations even though no decisions to terminate were made by the Secretariat.

48. Priorities were designated in the programme budget for 1982-1983 by only nine units compared to the 22 that did so in the programme budget for 1984-1985. It is clear that a greater degree of consistency of implementation in terms of these designations must be obtained in the future than was evident in the 1982-1983 biennium. In the instructions for the proposed budget for the biennium 1986-1987 it will be emphasized that programme elements and outputs designated highest priority will be expected to be implemented at a rate close to 100 per cent and that adjustments in the work programme requiring the release of resources to ensure the implementation of high-priority activities should be obtained from the postponement or termination of lowest-priority activities. There will of course always be programmatic reasons for the postponement or even termination of a small percentage of work that, two or three years prior to implementation, was proposed as high priority.

49. In general, final decisions on postponements and terminations are made in the second year of the biennium and for that reason the implications of these decisions cannot be incorporated in the budget for the subsequent period, which must be prepared in the first year of the preceding biennium. As a result most outputs categorized as postponed in this report did not appear in the text of the proposed programme budget for the biennium 1984-1985, and their completion will involve activities over and above those programmed in the 1984-1985 programme budget. Such considerations will form part of the analysis by central units preparatory to a review of submissions for the proposed 1986-1987 programme budget.

50. As is pointed out in paragraph 44 above, outputs additional to the approved programme of work that are required by legislation to be implemented during the biennium are treated by programme managers as a matter of urgency and therefore of high priority. Consequently, their implementation generally displaces activities in the approved programme of work. In the 1982-1983 biennium this process was not governed by programming procedures equivalent to those which were used in the preparation of the initial programme of work. In the future the introduction of statements on programme implications in the General Assembly and subsequently in other intergovernmental bodies will permit the orderly integration of additional activities required by legislation into the programme of work; such reformulations, postponements or terminations as may be necessary to accommodate this additional work would then be reviewed by the Assembly or other appropriate intergovernmental bodies.

51. A number of methodological changes were made in this report in comparison with the previous report (A/37/154 and Corr.1 and 2), including the separation of additional outputs into two categories, namely, those required by legislation and those added at the initiative of the Secretariat. By and large, however, the detailed tables in chapter III of this report have the same appearance as those in the preceding performance report for the period 1980-1981. Behind this appearance of similarity there have been changes. First, the programme texts in the 1982-1983 programme budget were more precise than those in the preceding biennium and therefore the standard against which comparisons were made permitted a much more accurate assessment of performance. Furthermore, other programming documents such as the medium-term plan and evaluation reports have become more precise so that the context in which the submissions and central review took place permitted a much

/...

more reliable assessment. The Central Monitoring Unit had been established during the biennium and was involved in the formulation of the instructions and in drafting this report. The Programme Planning and Budgeting Board conducted a detailed review of a draft of this report submitted to it by the Central Monitoring Unit.

52. During the next year the Central Monitoring Unit will establish procedures:

(a) To reinforce the capacities for monitoring in individual organizational units and establish a common methodology for monitoring and performance reporting;

(b) To establish some mechanisms for an independent central check of the production of output, utilizing official daily document lists and records of meetings held;

(c) To require a periodic reporting of performance from submitting units on a half-yearly and perhaps later on a quarterly basis so as to enable the Secretary-General to keep the performance of the Organization under continuing review and take corrective measures as required;

(d) To develop procedures for consultations on significant departures from programmed commitments.

53. The financial rules are currently being changed to incorporate a programme audit function into the responsibilities of the Internal Audit Division. The Division has already conducted some programme audits and will develop in the next few months a work programme of audits of programme performance report submissions, in consultation with the Central Monitoring Unit and the Programme Planning and Budgeting Board.

54. It must be emphasized in conclusion that most of the units whose performance is being reviewed in this report have specialized intergovernmental bodies which review and adopt work programmes and modify these programmes in a manner which is vested with a significant degree of autonomy. Most of these specialized intergovernmental bodies have been in existence for many years and have developed procedures which meet their own particular requirements and therefore differ to some extent from each other. For example, where an organizational unit is serving as the secretariat of an intergovernmental body whose primary function is negotiation, or deliberations which have the character of negotiations, the demands on the secretariat for the production of reports are often difficult to predict up to three years ahead, as is required by the programming cycle. In such cases the programme text can be precise with respect to topics that would be covered during the biennium but must frequently resort to such phrases as "reports as required" rather than an exact specification of the numbers of such reports. This means, in terms of the methodology utilized here, that it is not possible to rate the performance of such secretariat units even though they may be performing to the satisfaction of the specialized intergovernmental bodies that they are serving. The United Nations Conference on Trade and Development (UNCTAD) and the Security Council and Political Committees Division of the Department of Political and Security Council Affairs are two units which are placed in such circumstances.

55. In other cases, such as UNEP, the distinction between outputs required by legislation and those added at the initiative of the secretariat is blurred by the fact that some of their activities, such as the regional seas programme in the case of UNEP, may be initiated as activities of a purely technical character but transform into the servicing of bodies of an intergovernmental character with considerable autonomy. For other units, as was indicated above, the methods by which they solicit extrabudgetary funds may require programming which, by the methodology used in this report, may appear to be overprogrammed. In the case of the Department of Public Information the nature of its programme presentation changed drastically between the 1982-1983 biennium and that of 1984-1985, at the request of the Committee on Information. 7/

56. There are many different managerial styles within the United Nations, determined by the interaction of specialized intergovernmental bodies and the secretariat units servicing them. The Secretary-General will, in the implementation of the system of programme planning and budgeting, of which programme performance monitoring and reporting is an integral part, continue to promote coherence and consistency in programming and in the implementation of programmes within the Organization.

Notes

1/ Official Records of the General Assembly, Thirty-seventh Session, Supplement No. 38 (A/37/38), paras. 18-30 and 291-298.

2/ Ibid., para. 292.

3/ See ST/SGB/196 of 14 October 1982.

4/ Official Records of the General Assembly, Thirty-seventh Session, Supplement No. 38 (A/37/38), pp. 58-62.

5/ Official Records of the General Assembly, Thirty-sixth Session, Supplement No. 6 (A/36/6 and Corr.1).

6/ Ibid., Thirty-third Session, Supplement No. 6 (A/33/6/Rev.1).

7/ Ibid., Thirty-sixth Session, Supplement No. 21 (A/36/21), para. 154, recommendation 11.
