



General Assembly

Distr.
GENERAL

A/37/206/Add.1
4 October 1982

ORIGINAL: ENGLISH

Thirty-seventh session
Agenda item 104

PROGRAMME PLANNING

Draft rules governing programme planning, the programme aspects
of the Budget, the monitoring of implementation and methods of
evaluation

Report of the Secretary-General

Addendum

CONTENTS

	<u>Page</u>
I. INTRODUCTION	2
II. DRAFT RULES GOVERNING PROGRAMME PLANNING, THE PROGRAMME ASPECTS OF THE BUDGET, THE MONITORING OF IMPLEMENTATION AND THE METHODS OF EVALUATION	5

ANNEXES

- I. Terms to be defined in an annex to the final text of the Rules
- II. Intergovernmental organs involved in the review of drafts of
the medium-term plan for the period 1984-1989

26 p.

I. INTRODUCTION

1. In section I, paragraph 2 (a) of its resolution 36/228 A, the General Assembly, following a suggestion by the Joint Inspection Unit (A/36/171, para. 102) and endorsing a recommendation of the Committee for Programme and Co-ordination, 1/ requested the Secretary-General "to present to the General Assembly at its thirty-seventh session, through the Committee for Programme and Co-ordination at its twenty-second session, proposals enabling it to adopt official rules and regulations governing programme planning, the programme aspects of the budget, the monitoring of implementation and the methods of evaluation, such proposals to take into account all decisions so far taken with respect to planning, programming and evaluation".
2. Pursuant to section I, paragraph 2 (a) of resolution 36/228 A, the Secretary-General submitted to the Committee at its twenty-second session a set of draft regulations (A/37/206).. The Committee was informed that the Secretary-General planned to issue the corresponding rules to implement these regulations as soon as practicable after the adoption of the regulations.
3. The Committee discussed the draft regulations in detail. 2/ While the Committee agreed that the issuance of the rules to implement the regulations was the prerogative of the Secretary-General, it was agreed that the rules would be given to the General Assembly for information as an aid to decisions on the regulations. As for the substance of the draft regulations before the Committee, omissions were noted relating to the specification of the functions of the monitoring unit referred to in General Assembly resolution 36/228, and on the procedures and methodology of evaluation. Certain structural imbalances were also identified by the Committee. As a result of its deliberations, the Committee formulated a revised set of regulations for review and adoption by the General Assembly. 3/
4. Beyond these specific substantive recommendations, the Committee requested 4/ the Secretary-General to prepare rules in implementation of the revised draft regulations and to issue them no later than 30 September 1982, for the consideration of the General Assembly at its thirty-seventh session, and specified that those rules should, inter alia, reflect the Committee's understandings on several of the revised draft regulations as set out in its report. Furthermore, the Committee requested the Joint Inspection Unit to prepare a report to assist the General Assembly in its consideration of this item.
5. The Committee also recommended that the General Assembly should consider the draft regulations as revised by the Committee, and adopt them, together with the proposed revisions to the Financial Regulations of the United Nations, after making whatever further adjustments it deemed necessary 5/ and requested the Secretary-General to submit to the General Assembly at its thirty-seventh session a comprehensive list of revisions to the Financial Rules and Regulations of the United Nations which might be required as a consequence of the restructuring of the economic and social sectors of the United Nations under General Assembly resolution 32/197 of 20 December 1977. The proposed revisions to the Financial Regulations are provided in a separate report.

6. The draft rules have been prepared after consultations with all programme managers in the Secretariat who would be responsible for their implementation and with the approval of the Programme Planning and Budgeting Board. The most serious policy problems concerned the methods of monitoring programme performance and the application of rules to activities funded from extrabudgetary sources.

7. As requested by the Committee, these draft rules are herewith provided to the General Assembly as background to its deliberations on the adoption of the regulations. It should be noted that changes as suggested by the Joint Inspection Unit in its report (A/37/460) have not been incorporated into the draft rules which have been prepared in relation to the regulations recommended by the Committee to the General Assembly.

8. In the event that the General Assembly decides on any further changes in the regulations, for example as a result of the recommendations of the Joint Inspection Unit, the Secretary-General would, of course, make corresponding adjustments in the draft rules. A final set of rules will be issued by the Secretary-General during the first quarter following the adoption of the regulations by the General Assembly.

9. The attached regulations and draft rules represent the culmination of a process which started in the 1960s. In its resolution 2150 (XXI) of 4 November 1966, the General Assembly endorsed the general recommendations of its Ad Hoc Committee of Experts to Examine the Finances of the United Nations and the Specialized Agencies which favoured the development and adoption of "an integrated system of long-term planning, of programme formulation and of budget preparation". 7/

10. The intervening years have confirmed the value of planning and programming to the Organization. The process enables Member States to form a clearer picture of the relation between the resources allocated to the Organization and the outputs that are generated through the various programmes and activities. No less importantly, it builds into the preparation and execution of programmes by the Secretariat a more systematic scrutiny of the costs and benefits associated with alternative means of meeting the objectives of the Organization.

11. The process ensures the accountability of the Secretariat for delivering the programmed activities and services and, in so doing, establishes the standards against which their implementation can be judged. Furthermore, it facilitates the evaluation of completed programmes against the objectives and work plans set out in the medium-term plan and the programme budget as reviewed and approved by intergovernmental bodies. Programme planning enables the United Nations to take a long-term, organic view of its activities, and provides a vehicle for translating legislative mandates into Secretariat activities and for the consideration of proposals made by the Secretary-General in the exercise of his responsibility in this context.

12. In the years before restructuring, the United Nations was only beginning to develop methodologies for medium-term planning, programme budgeting and programme evaluation. In the course of reviewing the first documents incorporating these

methodologies, a preliminary system of programme-oriented planning and resource management was established. In this first phase, both the organizational units within the Secretariat and the intergovernmental bodies which reviewed programme planning documents had to become familiar with the application of well-known but difficult programming concepts (such as objectives, strategies and output) to the special case of the United Nations. The entire machinery of central and regional substantive Secretariat units, central Secretariat review units and central, regional and specialized intergovernmental review bodies, having accepted in principle the notion of planning and evaluation, then had to start applying and familiarizing themselves with these basic concepts in the exercise of their respective functions. This first phase resulted in the recommendations of the Committee for Programme and Co-ordination at its sixteenth session 8/ and in the subsequent adoption by the General Assembly of resolution 31/93 of 14 December 1976 on the medium-term plan.

13. The implementation of restructuring saw the establishment of the Office of the Director-General for Development and International Economic Co-operation and the Office of Programme Planning and Co-ordination in DIESA. This was followed by a re-examination of the experience gained, a reformulation of approaches and, in some cases, the abandoning of old methods, such as the establishment of relative real growth rates. The Committee for Programme and Co-ordination was the venue of extensive debates on ways of involving specialized and regional intergovernmental bodies in the formulation of the plan, the respective merits of having a rolling or a fixed-horizon basis for the plan and whether the time-horizon should be four or six years, the distinction between intergovernmental and Secretariat objectives, the definition of final output and other related matters. Consequently, the Committee for Programme and Co-ordination at its nineteenth session made recommendations 9/ which resulted in General Assembly resolution 34/224 of 20 December 1979 on medium-term planning in the United Nations. The debate on the setting of priorities was based on reports by the Secretary-General (A/C.5/36/1) and by the Joint Inspection Unit (A/36/171 and Add.1, A/36/181 and A/36/82) and resulted in General Assembly resolution 36/228 of 18 December 1981 on programme planning.

14. No planning, programming, budgeting and evaluation system, however perfectly designed in theory, provides a panacea for the solution of all the problems it addresses. Its purpose is not to replace the exercise of judgement, obviate the need to reconcile conflicting demands or substitute for the need to make difficult decisions by the Secretary-General with regard to the proposals he submits and by the intergovernmental bodies in determining the final shape of medium-term plans and programme budgets. On the contrary, it should put such issues in a proper perspective and provide tools for their resolution. The system developed by the United Nations has no claim to perfection. Further improvement is both possible and necessary and will result from the continued learning from applying the principles and practices set out in recent intergovernmental decisions.

15. The preparation and scrutiny of successive medium-term plans, programme budgets and performance reports, as well as the evaluation of selected programmes, has been accompanied by the development of a body of practices, experience and precedents which have been expressed in the instructions addressed to the

Secretariat units involved in the process. The attached regulations and draft rules governing programme planning, the programming aspects of the budget, the monitoring of implementation and methods of evaluation thus represent the crystallization and codification of a process in which the Secretariat and the intergovernmental organs concerned have been engaged for over a decade.

II. DRAFT RULES GOVERNING PROGRAMME PLANNING, THE PROGRAMME ASPECTS OF THE BUDGET, THE MONITORING OF IMPLEMENTATION AND METHODS OF EVALUATION

ARTICLE I. APPLICABILITY

Regulation 1.1: These regulations shall govern the planning, programming, monitoring and evaluation of all activities undertaken by the United Nations, irrespective of their source of financing.

Proposed rule 101.1

(a) These rules are promulgated in accordance with the provisions of the Planning and Programming Regulations. They shall govern the planning, programming, monitoring and evaluation of the United Nations activities, except as may otherwise be provided by the General Assembly or specifically exempted by the Secretary-General. The Programme Planning and Budgeting Board,* shall be responsible for the administration of these rules, on behalf of the Secretary-General.

(b) Planning for activities to be partially or fully financed from extrabudgetary funds shall be provisional and such activities will be implemented only if adequate funds are made available.

ARTICLE II. INSTRUMENTS OF INTEGRATED MANAGEMENT

Regulation 2.1: Activities undertaken by the United Nations shall be submitted to an integrated management process reflected in the following instruments:

- (a) Medium-term plans;
- (b) Programme budgets;
- (c) Reports on programme performance;
- (d) Evaluation reports.

* See ST/SGB/190.

Each of these instruments corresponds to one phase in a programme planning cycle and consequently shall serve as a framework for the subsequent phases.

No rules needed.

Regulation 2.2: The planning, programming, budgeting and evaluation cycle shall form an integral part of the general policy-making and management process of the Organization. The above 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.

No rules needed.

ARTICLE III. MEDIUM-TERM PLAN

Regulation 3.1: A medium-term plan shall be proposed by the Secretary-General.

Proposed rule 103.1

Instructions shall be issued in accordance with the present regulations and rules for the formulation of the medium-term plan proposals. Heads of departments (in accordance with Financial Rule 101.2(c)) shall submit to the Secretary-General proposals for the programmes falling within their area(s) of competence, in such detail, at such time and through such channels as he may require.

Regulation 3.2: The medium-term plan shall be a translation of legislative mandates into programmes. Its objectives and strategies shall be derived from the policy orientations and goals set by the intergovernmental organs. It shall reflect Member States' priorities as set out in legislation adopted by functional and regional intergovernmental bodies within their spheres of competence and by the General Assembly, on advice from the Committee for Programme and Co-ordination. In this context, subsidiary intergovernmental and expert bodies should accordingly refrain from making recommendations on the relative priorities of the major programme as outlined in the medium-term plan and should instead propose, through the Committee, the relative priorities to be accorded to the various subprogrammes within their respective fields of competence. It shall clearly identify new activities.

Proposed rule 103.2

(a) Requests and directives to the Secretary-General contained in resolutions or decisions of relevant intergovernmental organs constitute legislative mandates for proposed activities. Legislation establishing an organizational unit or providing the general mandate for work in the area should not be cited unless it is the only mandate for the activities proposed.

(b) Only United Nations intergovernmental organs are competent to provide a legislative mandate. Decisions or conclusions of intergovernmental organs that are not organs of the United Nations may become a mandate after they are endorsed by an intergovernmental organ of the United Nations.

(c) A legislative mandate adopted more than five years before the medium-term plan review should be accompanied by an explanation justifying its retention as a mandate.

(d) New activities which may be proposed by the Secretary-General in fulfilment of the general objectives of the Organization shall be given a legislative mandate by the adoption of the medium-term plan by the General Assembly.

Regulation 3.3: After adoption by the General Assembly, the medium-term plan shall constitute the principal policy directive of the United Nations which:

- (a) States the medium-term objectives to be attained in the plan period;
- (b) Describes the strategy to be followed to that effect and the means of action to be used;
- (c) Gives an indicative estimate of the necessary resources.

Proposed rule 103.3

In the subprogrammes of the proposed medium-term plan:

(a) The objectives for Governments or for intergovernmental action shall be presented separately from the objectives for Secretariat action.

(b) Objectives for Secretariat action shall be, to the greatest extent possible, concrete and time-limited; achievement of the objectives should be verifiable either directly or through evaluation.

(c) When an objective for Secretariat action cannot be achieved by the end of the plan period, both this longer-term objective and more specific objective(s), to be achieved within the plan period shall be set.

(d) The strategy for the subprogramme shall describe the course of action which can be expected to result in the partial or complete fulfilment of its objective.

(e) The strategy shall briefly describe the situation that is expected to have been reached at the beginning of the plan period and the approach that will be taken during the plan period to achieve the objective.

(f) The strategy shall indicate the type of activities (research, technical assistance, support of negotiations, etc.) that will be undertaken and, to the extent possible, their sequence.

(g) The continuing activities of the Secretariat shall be identified as such.

(h) The strategy shall provide the programme framework within which the programme budgets for the bienniums covered by the plan will be prepared; the programme elements and outputs in these biennial programme budget proposals shall be derived from the plan strategy.

(i) The objectives and strategy shall encompass all activities proposed within a subprogramme.

(j) At the major programme level, the medium-term plan shall include indicative estimates of its resource implications, by stating alternative-growth assumptions; the estimates shall include assumptions on the availability of extrabudgetary funds.

(k) Where an entire subprogramme, or an entire identifiable segment thereof, is expected to be financed from extrabudgetary resources this shall be indicated.

Regulation 3.4: The medium-term plan shall serve as a framework for the formulation of the biennial programme budgets within the period covered by the plan.

No rules needed.

Regulation 3.5: The plan shall cover all activities, substantive and servicing, including those to be financed partially or fully from extrabudgetary resources.

Proposed rule 103.5

Medium-term plan proposals:

(a) For substantive services shall be submitted to the General Assembly through the Committee for Programme and Co-ordination and the Advisory Committee on Administrative and Budgetary Questions.

(b) For Common Services shall be submitted to the General Assembly through the Advisory Committee on Administrative and Budgetary Questions.

(c) For Conference Services shall be submitted to the General Assembly through the Committee on Conferences and the Advisory Committee on Administrative and Budgetary Questions.

Regulation 3.6: The plan shall be presented by programme and not by organizational unit. It shall emphasize the description of objectives and strategies; the presentation and format of the analysis provided therein shall vary accordingly to the type and nature of activities; objectives shall be time-limited as far as possible and the plan shall be objective-based in all programmes where that is feasible. The medium-term plan shall identify:

(a) Major programmes, consisting of all activities conducted in a sector;

(b) Programmes, consisting within a major programme, of all activities in a sector which are under the responsibility of a distinct organizational unit, normally at the division level;

(c) Subprogrammes, consisting, within a programme, of all activities that are directed at the accomplishment of one medium-term objective or several closely related objectives.

Proposed rule 103.6

- (a) Each major programme in the plan shall be presented in a separate chapter.
- (b) Submissions shall be made in accordance with a common set of major programme categories.
- (c) Each major programme shall contain an introductory narrative describing the relation of planned activities to the over-all strategy reflected in the decisions of the General Assembly for the medium-term period. The narrative shall describe the actions expected from both Member States and international organizations, as well as the linkages with other major programmes.
- (d) Each programme shall contain an introductory narrative describing general orientation and main features as well as the recommendations of intergovernmental organs regarding the relative priorities of its constituent subprogrammes.
- (e) The subprogramme shall be the main unit of analysis, review and evaluation in the United Nations planning and programming system.
- (f) The subprogramme structure shall be based on objectives, rather than on the internal administrative structure of the Secretariat unit responsible for the programme.
- (g) The subprogramme structure of the programme budgets for the bienniums covered by the plan shall be identical to that of the plan so that each programme element of the budget can be derived from a subprogramme of the plan.
- (h) The medium-term plan proposals for common services shall provide descriptions of their objectives and of the activities expected to be undertaken during the plan period.

Regulation 3.7: The plan shall be preceded by an introduction, which will constitute a key integral element in the planning process and shall:

- (a) Highlight in a co-ordinated manner the policy orientations of the United Nations system;
- (b) Indicate the medium-term objectives and strategy and trends deduced from mandates which reflect priorities set by intergovernmental organizations;
- (c) Contain the Secretary-General's proposals on priorities.

Proposed rule 103.7

The introduction to the plan shall highlight the policy orientations and priorities of the United Nations in the context of the United Nations system.

Regulation 3.8: In order to facilitate the planning process, the Secretary-General shall request the Executive heads of the voluntary funds to indicate the likely

future volume of extrabudgetary funds, sufficiently in advance for this information to be taken into consideration in the preparation of the medium-term plan.

No rules needed.

Regulation 3.9: The medium-term plan shall cover a six-year period and be submitted to the session of the General Assembly one year before the submission of the proposed programme budget covering the first biennium of the plan period.

No rules needed.

Regulation 3.10: Sectoral, functional and regional programme-formulating organs shall refrain from undertaking new activities not programmed in the medium-term plan unless a pressing need of an unforeseeable nature arises as determined by the General Assembly.

No rules needed.

Regulation 3.11: The medium-term plan shall be revised every two years to incorporate required programme changes; revisions to the plan shall be considered by the General Assembly one year before the submission of the programme budget providing for implementation of the changes. The proposed revisions shall be as detailed as required to incorporate the programme implications of the resolutions and decisions adopted by the intergovernmental organs or international conferences since the adoption of the plan.

Proposed rule 103.11

(a) Revisions to the plan are required, inter alia:

- (i) When intergovernmental mandates passed after the adoption of the plan call for new or substantially modified subprogrammes;
- (ii) When the programme mandates in the opinion of the Secretary-General have become obsolete;
- (iii) When changes in the amount of voluntary resources available result in programme changes;
- (iv) When the Secretary-General deems it necessary to propose new activities at the subprogramme level not covered by existing legislative mandates.

(b) Proposed revisions submitted by Executive Heads to the Secretary-General should be identified as:

- (i) Completely new programmes or subprogrammes;
- (ii) Substantive revisions of existing programmes or subprogrammes;
- (iii) Other revisions.

(c) Substantive revisions shall be those which propose a change in the objective(s) and/or the strategy of the programme or subprogramme.

Regulation 3.12: The chapters of the proposed medium-term plan shall be reviewed by the relevant sectoral, functional and regional intergovernmental bodies prior to their review by the Committee for Programme and Co-ordination, the Economic and Social Council and the General Assembly. The Committee for Programme and Co-ordination and the Advisory Committee on Administrative and Budgetary Questions shall consider the medium-term plan in accordance with their terms of reference.

Proposed rule 103.12

(a) Programme managers shall prepare, in conformity with these regulations and rules and with the instructions issued by the Secretary-General and under the policy guidance of the heads of secretariats, departments and offices, a draft of their portion of the plan.

(b) Programme managers shall draft their portions of the plan in time for them to be reviewed by the organs referred to in regulation 3.13.

(c) When those organs are considering the proposed plan, the Secretariat shall draw their attention to the provisions of these regulations and rules.

(d) After this review has been completed, the submitting unit shall send the following documents, in the numbers and languages required, to the central secretariat units (i) the draft plan as presented to the relevant body, (ii) that part of the report of the body covering its review of the draft plan and its recommendations for changes, and (iii) the redrafted plan reflecting those recommendations where appropriate.

(e) When all specialized intergovernmental reviews have been completed and the documents mentioned above received, the plans will be adjusted to incorporate changes needed to ensure coherence, improve co-ordination and avoid overlaps. The financial information required will be prepared by the Office of Financial Services.

(f) The proposed plan will then be issued in fascicles as a General Assembly document. Only the Secretary-General's proposed plan will be made available to the Committee for Programme and Co-ordination, the Economic and Social Council and the General Assembly.

(g) The plan, as approved by the General Assembly, will be printed in one document.

Regulation 3.13: The participation of sectoral, functional and the regional organs in the formulation of the plan shall be achieved by means of an appropriate preparation period. To that end, the Secretary-General shall provide proposals for the co-ordination of their calendars of meetings.

The planned activities shall be co-ordinated with the concerned specialized agencies through prior consultations.

Proposed rule 103.13

(a) To ensure that all relevant intergovernmental organs are appropriately involved in the planning process, the Secretary-General shall make proposals to the Committee on Conferences with a view to co-ordinating the calendar of meetings of the intergovernmental organs concerned.

(b) Medium-term plan proposals shall be circulated to the specialized agencies in accordance with the agreed procedures for prior consultations, in time for their comments to be taken into account by the Committee for Programme and Co-ordination.

Regulation 3.14: The General Assembly shall consider the proposed medium-term plan in the light of the comments and recommendations of the Economic and Social Council, the Committee for Programme and Co-ordination and the Advisory Committee on Administrative and Budgetary Questions. The Assembly shall decide to accept, curtail, reformulate or reject each of the subprogrammes proposed in the plan.

No rules needed.

Regulation 3.15: The establishment of priorities among both substantive programmes and common services shall form an integral part of the general planning and management process without prejudice to arrangements and procedures now in force and to the specific character of the common services. Such priorities shall be based on the importance of the objective to Member States, the Organization's capacity to achieve it, and the effectiveness and usefulness of the results expected.

Regulation 3.16: Intergovernmental and expert bodies shall, when reviewing the relevant chapters of the medium-term plan, recommend priorities among subprogrammes in their field of competence. They shall refrain from making recommendations on priority among major programmes. The Committee for Programme and Co-ordination shall, when making recommendations on programme priorities, take into account the views of the above bodies.

Proposed rule 103.16

The Secretary-General, on the basis of the recommendations of sectoral, functional and regional bodies as provided in regulation 3.16, shall indicate the subprogrammes in the proposed medium-term plan which he considers to be of the highest and lowest priority in the light of the criteria mentioned in regulation 3.15.

Regulation 3.17: On the basis of the Secretary-General's proposals and of the recommendations of the Committee for Programme and Co-ordination, the General Assembly shall designate, among the subprogrammes it accepts, those which are of the highest and lowest priority.

No rules needed.

Regulation 3.18: Priorities as determined by the General Assembly in its review of the medium-term plan shall guide the allocation of budgetary and extrabudgetary resources in the subsequent programme budgets. After the medium-term plan has been approved by the Assembly, the Secretary-General shall bring the decisions on priorities to the attention of Member States and the Governing Boards of the voluntary funds.

Proposed rule 103.18

(a) The allocation of resources proposed by the Secretary-General in the subsequent programme budgets shall be made in accordance with Regulations 4.1 to 4.9 below and the attendant rules.

(b) The Secretary-General shall communicate the decisions of the General Assembly on plan priorities to the Member States and the Governing Boards of the voluntary funds not later than three months after these decisions have been taken.

ARTICLE IV. PROGRAMME ASPECTS OF THE BUDGET

Regulation 4.1: The medium-term plan as approved and revised by the General Assembly shall serve as the framework for the formulation of the biennial programme budget. In order to facilitate this relationship, the programme budget shall have financial information corresponding to at least one of the three programming levels in the medium-term plan.

Proposed Rule 104.1

As provided in Rule 103.6 (g), the subprogramme structure of the programme budget shall be identical to that of the plan unless a change in the subprogramme structure has been authorized under a subsequent legislative mandate. Financial information shall be provided at the major programme level in an annex to the foreword of the proposed programme budget. As a rule, the detailed financial data in the proposed programme budget shall be linked to the medium-term plan at the programme level. At the subprogramme level, estimates of the required resources, expressed as a percentage of the programme resources, shall be provided.

Regulation 4.2: The programme proposals in the budget shall aim at implementing the strategy in the plan and therefore shall be derived from its strategy statements. Programme proposals that are not derived from the plan strategies shall be submitted only as a result of legislation passed subsequent to the adoption of the plan or its last revision.

Proposed rule 104.2

No activity shall be included in the proposed programme budget unless it is clearly in implementation of the plan strategy and likely to help to achieve the plan objectives, or in implementation of legislation passed subsequent to the approval or revision of the medium-term plan.

Regulation 4.3: In the proposed programme budget, requested resources shall be justified in terms of the requirements of output delivery. The highest priority subprogrammes as decided by the General Assembly shall have first claim on resources, if budgetary needs are demonstrated, and, if possible, through redeployment in the event that low-priority activities are curtailed or terminated with intergovernmental agreement.

Proposed rule 104.3

For substantive activities, programme budget submissions to the Secretary-General will provide, at the appropriate level, data on resources required such as professional workmonths, travel, consultants and other relevant items of expenditure. These data will be used in internal budget formulation procedures as a basis for proposals in the proposed programme budget submitted to the Committee for Programme and Co-ordination, the Advisory Committee on Administrative and Budgetary Questions and the General Assembly. The programme narratives describing administrative and common services activities shall include, wherever possible, quantitative indicators measuring the services rendered and showing any expected change in productivity during the biennium.

Regulation 4.4: The proposed programme budget shall be divided into parts, sections and programmes. Programme narratives shall set out subprogrammes, programme elements, outputs and users. The proposed programme budget shall be accompanied by such information annexes and explanatory statements as may be requested by or on behalf of the General Assembly, including a brief statement on the main changes in the programme content in comparison with the previous biennium, and such further annexes or statements as the Secretary-General may deem necessary and useful.

Proposed rule 104.4

The programme narratives shall conform to the following standards:

(a) A programme element shall consist of one activity or a cluster of a small number of related activities. Clearly identified final outputs to be delivered to Member States or other designated external users during the biennium shall be listed under each programme element.

(b) All outputs included in the proposed programme budget shall clearly contribute to the achievement of a subprogramme objective in the medium-term plan.

(c) Output citations shall conform to the following standard categories of output:

- (i) Organization of intergovernmental meetings including substantive support of negotiations and international years and conferences;
- (ii) Reports to intergovernmental bodies;
- (iii) Peace-keeping and humanitarian operations;

- (iv) Technical publications, including periodicals, computer print-out and tapes and ad hoc information services;
 - (v) Public information services;
 - (vi) Technical co-operation projects, including advisory services;
 - (vii) Financial contributions, including grants and fellowships;
 - (viii) Other final outputs.
- (d) Each citation shall specify inter alia:
 - (i) Category of output;
 - (ii) Content of the output;
 - (iii) Primary user(s);
 - (iv) Completion date as provided for in programme element information forms to be attached to the Secretary-General's instructions for the preparation of the programme budget.

(e) When a Secretariat activity under a programme element will not result in any final output during the budgetary period concerned, the activities expected to be carried out may be briefly described, if this is not clear from the title of the programme element.

Regulation 4.5: All activities for which resources are requested in the programme budget shall be programmed.

Proposed rule 104.5

All activities, whether financed from regular budget or extrabudgetary resources, shall be programmed in the sense that:

- (a) Output citations as stipulated under rule 104.4 above shall apply irrespective of the resources used for producing the output.
- (b) Financial information as stipulated under rule 104.3 above shall be provided in internal budget formulation data for both categories of funds.

Regulation 4.6: Within the proposed programme budget the Secretary-General shall provide the General Assembly with (a) a list of programme elements and outputs required by legislation or approved in the previous budgetary period but which, in his judgement, can be discontinued and, as a consequence, have not been included in the proposed programme budget; (b) an identification within each programme of programme elements of high and low priority.

Proposed rule 104.6

In their budgetary submissions:

(a) Heads of organizational units shall provide the Secretary-General with a list of programme elements and outputs required by legislation or approved in a previous budgetary period which have not been included in the proposed programme budget because they are considered obsolete, of marginal usefulness or ineffective, and which therefore could be proposed for termination by the General Assembly. The determination of such activities shall be made by applying, inter alia, the following criteria:

- (i) Programme elements derived from mandates five years old or older, unless an appropriate intergovernmental body specifically has reaffirmed the continuing validity of the mandate;
- (ii) Programme elements whose legislative basis has been superseded by new mandates;
- (iii) Programme elements which were programmed as new elements in the budget for the previous biennium but not begun in that biennium;
- (iv) Programme elements which, during the in-depth evaluation of a programme by the Committee for Programme and Co-ordination or a review of the programme by the relevant functional or regional intergovernmental organ, were found to be obsolete, of marginal usefulness or ineffective;
- (v) Programme elements of low priority that would have required a level of resources for their implementation so large that, in order to accommodate them, high-priority programme elements would have had to be restricted.

(b) Heads of organizational units shall provide in respect of each programme an indication of (i) those programme elements fully or partially financed from the regular budget which represent approximately 10 per cent of the regular budget resources requested in the proposed programme and to which the highest priority is to be assigned; (ii) those programme elements representing approximately 10 per cent of the same resources and to which the lowest priority is to be assigned. Where the priority of individual outputs differs from that of the programme element as a whole, this should also be indicated.

Regulation 4.7: The Secretary-General shall provide the Committee for Programme and Co-ordination and the Advisory Committee on Administrative and Budgetary Questions with advance copies of the proposed programme budget by the end of April of the year preceding the budgetary period.

Proposed rule 104.7

(a) Heads of organizational units shall submit programme proposals and corresponding budget estimates at such time and in such detail as the Secretary-General may prescribe and in accordance with the present regulations and rules.

(b) The programme proposals shall be reviewed by the Programme Planning and Budgeting Board. In the light of the deliberations of the Board, the Secretary-General shall decide on the programme content and resource allocation of the budget to be submitted to the General Assembly.

(c) The programmes of work submitted by programme managers to specialized intergovernmental organs should contain programme elements and output specifications identical to those in the programme portion of the proposed programme budget. This does not preclude the addition of further information and detail, if required, by the specialized intergovernmental organs.

Regulation 4.8: The Committee for Programme and Co-ordination shall prepare a report on the programme budget, containing its programme recommendations and its assessment of the related resource proposals. It shall receive a statement by the Secretary-General on the programme budget implications of its recommendations. The report of the Committee for Programme and Co-ordination shall be communicated simultaneously to the Economic and Social Council and to the Advisory Committee on Administrative and Budgetary Questions. The Advisory Committee shall receive the report of the Committee for Programme and Co-ordination and study the statement by the Secretary-General on its programme budget implications. The reports of the Committee for Programme and Co-ordination and the Advisory Committee on each section of the programme budget shall be considered simultaneously by the General Assembly.

No rule needed.

Regulation 4.9: No Council, Commission or other competent body shall take a decision involving either a change in the programme budget approved by the General Assembly or the possible requirement of expenditure unless it has received and taken account of a report from the Secretary-General on the programme budget implications of the proposal.

Proposed rule 104.9

Reports on programme implications shall be included in the report on administrative and financial implications required by regulation 13.1 of the Financial Regulations and Rules. They shall be the responsibility of the head of the department concerned in consultation with the Programme Planning and Co-ordination Office for programmes in the economic and social sectors, and with the Office of Financial Services in other sectors.

Such statements shall be submitted to the competent intergovernmental body requesting a change in the programme and include the following detailed information (a) modifications to the work programme necessitated by the proposed changes, additions or deletions; (b) indications, where applicable, of similar work carried out elsewhere in the Secretariat; (c) in cases where such additional activities have to be absorbed and financed from within existing resources, an indication of which activities in the current work programme would have to be curtailed or terminated. It shall be the responsibility of the head of department or office concerned to transmit such detailed information on the programme and administrative

and financial implications of the proposed changes and the final views of the competent intergovernmental body to the Programme Planning and Co-ordination Office for programmes in the economic and social sectors, and the Office of Financial Services in other sectors.

ARTICLE V. MONITORING OF PROGRAMME IMPLEMENTATION

Regulation 5.1: The Secretary-General shall monitor the delivery of output scheduled in the approved programme budget. 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 5.2: Reformulation of an entire subprogramme in the programme budget shall not be implemented before it is approved by an intergovernmental body in an explicit legislative decision. The Secretary-General may propose such reformulations if he considers that circumstances so warrant.

Proposed rule 105.1

(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, and
- (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.

Proposed rule 105.2

Programme implementation shall be monitored under the following procedures:

- (a) Heads of departments or offices shall establish internal programme monitoring procedures pursuant to guidelines established by the central monitoring unit.
- (b) Within any subprogramme, heads of departments or offices shall have the discretion to modify the approved programme budget by reformulating programme elements and final outputs, postponing delivery of outputs to the following biennium, or terminating programme elements or outputs, provided that such changes are in pursuance of the objective and strategy of the subprogramme as set out in the medium-term plan. Such proposed changes shall be reported through the central monitoring unit to the Programme Planning and Budgeting board whose concurrence shall be required for changes affecting more than one third of the final outputs in the subprogramme.
- (c) The head of a department or office planning to reformulate an entire subprogramme by substantial changes of its objective or strategy, terminate a subprogramme or introduce a new subprogramme shall:
 - (i) Propose such changes through the central monitoring unit to the Programme Planning and Budget Board accompanied by a programme budget implications statement, as provided for in rule 104.9;
 - (ii) Obtain approval by a competent sectoral, functional or regional or other intergovernmental organ prior to implementation.
- (d) Changes in the programme of work set out in the approved programme budget which are mandated by a competent intergovernmental organ may be implemented by the department or office concerned provided this can be done within its approved budget and is reported ex post facto to the central monitoring unit.

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.

No rules needed.

ARTICLE VI. EVALUATION

Regulation 6.1: All activities programmed in the budget shall be evaluated over a fixed time period. Evaluations shall assess the efficiency, effectiveness and impact of programme activity in terms of progress towards achievement of objectives set out in the medium-term plan, and their findings, if approved by the competent intergovernmental body, shall be incorporated in subsequent programme design, delivery and policy directives.

Proposed rule 106.1

(a) At the subprogramme level, evaluation plans shall be linked to the medium-term plan and, at the programme-element level, they shall be integrated with the programme-budget cycle. The evaluation system shall include periodic self-evaluation of time-limited and continuing subprogrammes and ad hoc evaluations of selected programme areas or topics conducted internally or externally at the request of intergovernmental bodies or at the Secretariat's initiative.

(b) The timing, depth, intensity and other characteristics of a self-evaluation study shall be determined by the nature and characteristics of the activities programmed, the importance of the decision to be taken and other relevant factors. All subprogrammes shall be submitted to self-evaluation at least once in every six years, the results of which would be taken into account in determining whether an ad hoc internal evaluation would be carried out.

Regulation 6.2: Evaluation shall be conducted both internally and externally. The Secretary-General shall develop an internal evaluation system. The General Assembly shall invite such bodies as it sees fit, including the Joint Inspection Unit, to perform ad hoc external evaluation and to report on them.

Proposed rule 106.2

(a) The internal evaluation system shall be an integral part of the programme management function. Self-evaluation shall be conducted by programme managers advised by a central evaluation unit and guided by a methodological manual. Subprogramme and programme-element formats shall be designed with the requirements of evaluation taken fully into account. The evaluation system shall use the United Nations programme categories as a reference, but primary focus shall be placed on the subprogramme and programme-element levels.

(b) Evaluation methods shall be made consistent and comparable so as to facilitate adaptation and transfer of evaluation findings between United Nations major programmes.

(c) The evaluation system shall utilize all information collected during the implementation monitoring and programmes performance reporting process, but shall remain separate and distinct from that process.

(d) The evaluation system shall provide for the examination of the factors associated with results, shall include the feedback and utilization of findings, and provide for monitoring the follow-up of evaluation conclusions and recommendations.

Notes

1/ Official Records of the General Assembly, Thirty-sixth Session, Supplement No. 38 (A/36/38), para. 465.

2/ Official Records of the General Assembly, Thirty-seventh Session, Supplement No. 38 (A/37/38), paras. 40-44.

3/ Ibid., regulations following para. 302.

4/ Ibid., para. 300.

5/ Ibid., para. 301.

6/ Ibid., para. 302.

7/ Official Records of the General Assembly, Twenty-first Session, Annexes, agenda item 80, document A/6343.

8/ Official Records of the General Assembly, Thirty-first Session, Supplement No. 38 (A/31/38) paras. 1-34.

9/ Official Records of the General Assembly, Thirty-fourth Session, Supplement No. 38 (A/34/38) paras. 304-306.

ANNEX I

Terms to be defined in an annex to the final text of the rules

Major programme

Programme

Subprogramme

Programme element

Programme structure

Programme manager

Programme design

Intergovernmental objective

Secretariat objective

Priority

Output

Output of delivery

Monitor output delivery

Means of action

Strategy

Central Secretariat units

Intergovernmental organ

Legislative mandate

Competent intergovernmental organ

Common services

ANNEX II

Intergovernmental organs involved in the review of drafts of the
medium-term plan for the period 1984-1989

Committee on the Peaceful Uses of Outer Space

Special Committee against Apartheid

International Law Commission, United Nations Commission on International Trade Law

Special Committee of 24

United Nations Council for Namibia

Commission on Human Rights

Commission on Narcotic Drugs

International Narcotics Control Board

Executive Committee of the High Commissioner's Programme for Refugees

Committee on Information

Committee for Development Planning (not an intergovernmental body)

Governing Council of the United Nations Environment Programme

World Food Council

Commission on Human Settlements

Permanent Committee on the Fifteenth Session of the Industrial Development Board,
Permanent Committee on the Sixteenth Session

Working Party of the Trade and Development Board on the UNCTAD programme budget
and the medium-term plan

Joint Advisory Group (not an intergovernmental body)

Committee on Natural Resources

Population Commission

Intergovernmental Committee on Science and Technology

Commission for Social Development

Statistical Commission

Commission on Transnational Corporations

Technical Preparatory Committee of the Whole Meeting

Economic Commission for Africa

Economic Commission for Europe

Economic Commission for Latin America

Economic and Social Commission for Asia and the Pacific

Economic Commission for Western Asia
