



# General Assembly

Distr.: General  
17 April 2002

Original: English

## Fifty-seventh session

Item 116 of the preliminary list\*

### Programme planning

## Programme performance of the United Nations for the biennium 2000-2001

### Report of the Secretary-General\*\*

## Contents

	<i>Paragraphs</i>	<i>Page</i>
I. Introduction . . . . .	1–5	3
II. Strengthening the monitoring modalities. . . . .	6–10	4
III. Discipline of monitoring and reporting . . . . .	11–14	5
IV. Overview of programme performance for the biennium 2000-2001 . . . . .	15–18	7
V. Implementation . . . . .	19–39	8
VI. Resource utilization. . . . .	40–50	22
VII. Qualitative assessment of programme performance . . . . .	51–66	27
VIII. Findings and conclusions . . . . .	67–72	31
Annex		
Programme performance by section of the programme budget for the biennium 2000-2001 . . .		33

\* A/57/50.

\*\* Completion of the report was delayed owing to late submission from some departments, the need to carry out an unforeseen investigation and to start implementing requests contained in paragraphs 128 and 153 of General Assembly resolution 56/253 of 24 December 2001.

*Summary*

In accordance with the established regulations, the Secretary-General reports to the General Assembly on the programme performance of the United Nations after the completion of each biennial budget period.

The programme budget of the United Nations for 2000-2001 included 23,657 programmed quantifiable outputs. In addition, 1,080 outputs were carried over from the previous biennium, 1,979 outputs were added by legislative bodies and 1,689 outputs were initiated by the Secretariat, bringing the total number of outputs to be implemented to 28,405. Of this number 3,943 were terminated, 68 per cent of them by legislation and the rest for programmatic reasons, and 622 were postponed, 5 per cent by legislation and 95 per cent for programmatic reasons.

A total of 23,840 outputs were implemented utilizing 35,550 work-months. This comprised 58 per cent of all work-months available to the Secretariat, with the remaining 42 per cent devoted to non-quantifiable activities such as international cooperation, inter-agency coordination and liaison and technical cooperation activities. The implementation rate of initially programmed outputs, including those carried over from the biennium 1998-1999 and added by legislation, ranges from 51 to 98 per cent among the budget sections. The average is 83 per cent. However, if the 2,692 outputs terminated by legislation are deducted from the total workload, the overall implementation rate of the mandated outputs increases by 9.2 percentage points to 92.2 per cent.

If the overall outputs are to include those added by the Secretariat for programmatic reasons, the average implementation rate would vary from 51 per cent to 98 per cent and average 84 per cent. Finally, the implementation rate calculated as the ratio of all implemented outputs (programmed, reformulated, added by legislation and by the Secretariat) to the outputs initially programmed in the 2000-2001 budget, would range from 58 to 291 per cent, with the average at 101 per cent. This last figure is an indication of how much was achieved by the Secretariat with the resources provided to deliver the initial set of programmed outputs.

The present report also describes advances in enhancing monitoring and reporting modalities throughout the Organization by the further development of the Integrated Monitoring and Documentation Information System, and reviews the current status of the monitoring and reporting function throughout the Secretariat.

The distinct new feature of the 2000-2001 budget was the inclusion of expected accomplishments into each of its subprogrammes. These were replicated as the reporting goals for the qualitative assessments of programme performance for each subprogramme of the budget, along with the indicators of achievement and the accomplishments realized. The resultant narrative provides a relatively succinct but thorough review of the programme developments throughout the Secretariat.

## I. Introduction

1. The Office of Internal Oversight Services (OIOS) has prepared the present report based on the modalities of the monitoring of programme performance as stipulated in article VI of the Regulations and Rules Governing Programme Planning, the Programme Aspects of the Budget, the Monitoring of Implementation and the Methods of Evaluation (ST/SGB/2000/8). Article VI states, *inter alia*, the following:

“Regulation 6.1. The Secretary-General shall monitor accomplishments, as measured by the delivery of outputs 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 Coordination, on programme performance during that period.

“...

“Regulation 6.3. 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.”

2. The report was also guided by relevant provisions of General Assembly resolutions 54/236 of 23 December 1999, 55/231 of 23 December 2000, 55/234 of 23 December 2000 and 56/253 of 24 December 2001.

3. The report analyses the programme performance of the Organization from two angles: (a) in terms of the implementation of outputs explicitly identified in the 2000-2001 budget narrative related to the programme of work, as well as of those carried over from the biennium 1998-1999 and added by legislation and the Secretariat in the course of 2000-2001; and (b) in regard to realizing the expected accomplishments as formulated in the programme budget and subsequently amended, where applicable, by the General Assembly in annex I to its resolution 54/249 of 23 December 1999. The reporting on the implementation of outputs provides explanations for non-implementation of outputs and reviews resources utilized broken down by sources of funding. Information on “non-quantifiable” activities that are described in the programme budget in more general terms without specific indication of quantities to be delivered, such as international cooperation, inter-agency coordination and liaison and operational activities, is included. In reporting on expected accomplishments, OIOS applied all possible efforts to direct programme managers towards relevant and clear formulation of indicators of achievement and accomplishments realized.<sup>1</sup>

4. In calculating the status of implementation of outputs, the report follows the approach prescribed by rule 106.1 (d) of the Regulations and Rules Governing Programme Planning, the Programme Aspects of the Budget, the Monitoring of Implementation and the Methods of Evaluation. Conference and administrative services continue to be reported in terms of the relevant workload indicators.

5. At its fortieth session, in June 2000, the Committee for Programme and Coordination requested all reporting entities to bear in mind that systemic and consistent programme monitoring were critical components of programme management, and all departments/offices that had not already done so should establish viable and compatible monitoring systems.<sup>2</sup> OIOS followed up on this

conclusion by helping to strengthen the Integrated Monitoring and Documentation Information System capabilities and providing guidance to all users on its operation, as will be explained below. The Committee also noted with appreciation the inclusion of the qualitative assessments in the report and looked forward to their further refinement. In line with this guidance, OIOS worked jointly with programme managers and their focal points for reporting on the programme performance to achieve consistent improvements in the substance and presentation of reports on accomplishments realized. OIOS realizes, however, that there is still considerable room for improvement in this regard and that this work should continue with emphasis on the quality of reporting.

## **II. Strengthening the monitoring modalities**

6. As was the case in the previous biennium, all programme managers were provided by OIOS with guidelines on programme performance reporting for 2000-2001. The guidelines underscored the responsibility of the heads of department and office for the continuous and effective internal monitoring of programme performance as prescribed by rule 106.2 of the Regulations and Rules Governing Programme Planning, the Programme Aspects of the Budget, the Monitoring of Implementation and the Methods of Evaluation. Heads of department and office were urged not only to monitor the production of outputs, but also to make a concerted effort to identify the major users of their outputs and services, to track indicators of the use made of their work and to shift to a more active concern with client satisfaction. They were also requested to strengthen their programme monitoring procedures and managerial accountability for fulfilling this responsibility.

7. The lessons learned from the preparation of the 1998-1999 programme performance report highlighted the imperatives of further developing qualitative performance measurements, and making computer-based reporting an integral part of the Organization's management culture. Acting on these lessons, OIOS focused its efforts in improving the programme performance monitoring and reporting on further development and the Secretariat-wide introduction and acceptance of the Integrated Monitoring and Documentation Information System.

8. The Integrated Monitoring and Documentation Information System is an online tool originally developed by the Department of Economic and Social Affairs to assist its senior level management in tracking the implementation of programme outputs and in meeting the performance reporting requirements of the General Assembly. OIOS decided to adopt the System in 1998 for deployment across the Secretariat and, with expanded functionality, has used it in preparation of the Secretary-General's programme performance reports for both 1998-1999 and 2000-2001.

9. Continuous improvements have been made to the Integrated Monitoring and Documentation Information System since its inception with one major and six minor new releases launched during the biennium 2000-2001. Three enhancements in particular are noteworthy for the impact they have had on productivity of programme oversight functions:

(a) In early 2000 the System was moved from the United Nations wide area network — connecting Headquarters with major offices away from Headquarters —

to a secure Internet environment. The application was thus made accessible at any duty station with Internet connectivity, as well as to staff working at remote locations, for example while on mission or telecommuting. As at the end of 2001, there were approximately 450 registered users based in 14 cities;

(b) At the request of the Office of Programme Planning, Budget and Accounts, the System was further expanded by the Department of Economic and Social Affairs in 2000 to include all programme components of all sections of the programme budget for 2002-2003. Thus the full database consists of all the objectives, expected accomplishments and indicators of achievement, for each subprogramme of the medium-term plan for the period 2002-2005 directly linked to the related outputs. The System was used from the start of the budget preparation process to capture departmental programmatic content and, subsequently, the information was extracted from the system and incorporated into the programme budget for the biennium 2002-2003. The partnership between the Office of Programme Planning, Budget and Accounts, OIOS and the Department of Economic and Social Affairs begins to permit end-to-end execution of the programme management process within an integrated, online environment;

(c) A basic workflow component was introduced in 2001 that facilitates more active interaction between an implementing unit and OIOS. Rather than submit entire performance reports at the 18 and 24-month points in the biennium, departments are now asked to monitor and report on individual outputs as soon as they are implemented. Records of completed outputs are available to OIOS for validation throughout the biennium, so that reporting and monitoring become a more continuous and less cumbersome administrative exercise.

10. Experience gained over the biennium shows that departmental commitment to the utilization of a monitoring tool is crucial to obtaining the desired results. If programme managers perceive the Integrated Monitoring and Documentation Information System only as a reporting device and not as a managerial aide, the System will not be able to realize its full potential. OIOS will require regular reporting through the System and will continue to support improvements that encourage more programme managers to adopt the System for day-to-day oversight within the context of a United Nations management culture of accountability and administrative efficiency.

### **III. Discipline of monitoring and reporting**

11. The lessons learned from the 1998-1999 programme performance reporting exercise highlighted the importance of making the Integrated Monitoring and Documentation Information System-based monitoring and reporting of programme performance an integral part of the Organization's management culture at all levels. Another important conclusion was the need to continue developing qualitative performance assessments through more relevant, and comprehensive formulation of indicators of achievement and accomplishments realized. In the course of the last biennium, OIOS applied considerable efforts towards these ends.

12. To enhance the knowledge and acceptance of the new reporting modalities, OIOS organized in June 2001 a meeting of programme managers and focal points for the programme performance reporting. Details and specific concerns of using the Integrated Monitoring and Documentation Information System as the main reporting

tool were discussed, along with the seminal points of the qualitative assessments. OIOS also conducted jointly with the Information Support Unit of the Department of Economic and Social Affairs, eight training sessions at Headquarters and overseas, in which programme managers and programme performance reporting focal points were given a hands-on presentation and guidance on fully utilizing all Integrated Monitoring and Documentation Information System capabilities. A user-friendly manual on operating the System was produced and distributed to all reporting entities. Detailed guidelines on preparing and submitting qualitative assessment were also provided to all programme managers and programme performance reporting focal points. In addition, the OIOS staff responsible for specific programmes were continuously available for substantive and technical support and advice to their client departments and for resolving any monitoring or reporting difficulties.

13. While these efforts have had some positive impact on the monitoring and reporting discipline throughout the Secretariat, the situation still leaves much to be desired. Many departments and offices have yet to put in place a system for programme performance monitoring on a regular basis. As a result, the majority of the Secretariat departments and offices were not able to observe the established deadlines in regard to both quantitative and qualitative reporting. In many cases, middle-level managers questioned the relevance of such reporting, considering the reporting exercise as an unnecessary burden and giving it low priority; in some cases, there was a loss of institutional memory through the movement of staff responsible for Integrated Monitoring and Documentation Information System reporting and OIOS had to educate newly assigned programme performance reporting focal points. Difficulties in regard to qualitative assessment included confusion on the part of departments and offices between indicators of achievement and working processes, as well as the propensity to report expected accomplishments in general and vague terms. OIOS has, therefore, had to apply pressure to ensure the compliance with the requirements of, and deadlines for, programme performance reporting.

14. Given the more complex tasks to be accomplished in preparing the programme performance reporting for the current biennium 2002-2003, OIOS intends to start early the review of the reporting modalities in regard to the expected accomplishments and the indicators of achievement. For reporting on implementation, the programmed outputs of all budget sections have been uploaded into the Integrated Monitoring and Documentation Information System and all departments and offices can access the system to monitor and report implementation of the work programme as it occurs. More intensive training of all users in both quantitative and qualitative aspects of programme performance reporting is being considered.

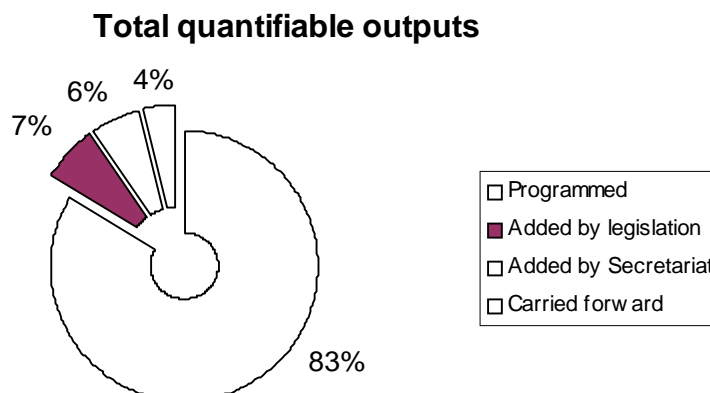
#### **IV. Overview of programme performance for the biennium 2000-2001**

15. The categories of the quantifiable outputs covered by the implementation reporting exercise remained the same as in the biennium 1998-1999:

- (a) Substantive servicing of meetings;
- (b) Parliamentary documentation;
- (c) Ad hoc expert groups;
- (d) Non-recurrent publications;
- (e) Recurrent publications;
- (f) Other substantive activities (such as exhibits, booklets, special events, etc.).

16. Outputs are defined in the annex to the Regulations and Rules Governing Programme Planning, the Programme Aspects of the Budget, the Monitoring of Implementation and the Methods of Evaluation as final products or services delivered by a programme or subprogramme to end-users. Quantifiable outputs can, of course, be identified in the programme budget with sufficient precision. Other products and services included in the budget, such as advisory services, are considerably more difficult to identify as separate outputs and are less “measurable”. Activities of the Organization also include those that do not generate “physical outputs” but are reflected in the programme budget as they are part of the Organization’s work and consume resources. Examples of such activities include intra-Secretariat and system-wide coordination and consultation, “good offices”, fact-finding and humanitarian missions, etc. These activities are considered as “non-quantifiable” and therefore not reflected in the implementation report. They are, however, taken into account in the qualitative assessment of programme performance.

17. The inventory of the programmed outputs subject to reporting was as per the “programme of work” narratives of the relevant subprogrammes of the proposed programme budget for the biennium 2001-2002 as amended by the General Assembly in its resolution 54/249. The 2001-2002 programme budget contained 23,657 final outputs specifically identified in the budget. In addition, 1,080 outputs carried over from the previous biennium as well as 1,979 outputs added to the Organization’s programme of work during the biennium by legislative bodies, were also due for implementation in 2000-2001, thus bringing the total number of mandated outputs to 26,716. Furthermore, 1,689 outputs were added to the workload and implemented at the initiative of the Secretariat. The four different sources of activities scheduled for implementation are reflected in the following graph:



18. Of the initially programmed outputs, 19,440 were completed as programmed during the biennium and 339 were completed after reformulations (both are counted as implemented). It should be recalled that an output is considered reformulated when its description as cited in the programme budget has been modified, but it continues to address the subject matter of the originally programmed output. In addition, 1,979 outputs added by legislation and 1,689 outputs added by the Secretariat were also implemented. A total of 620 outputs were postponed to the following biennium (whether commenced, substantially in progress or not started) and 3,943 were terminated. Postponements and terminations of outputs occurred either by legislative decisions or at the discretion of programme managers in line with rule 106.2 (b) of the Regulations and Rules Governing Programme Planning, the Programme Aspects of the Budget, the Monitoring of Implementation and the Methods of Evaluation. The annex to the present report provides, for each section of the biennial budget, a summary of the status of implementation, including departures from commitments and work-months utilized, as well as a qualitative assessment of programme performance.

## V. Implementation

19. The mandated focus of the report is on the delivery of outputs, which is best described by an implementation rate of the Secretariat's work programme. There are three different ways to calculate this rate, depending on what is considered as the workload of the biennium. The first calculation ( $I_1$ ) shows the ratio of outputs implemented to the sum of all mandated outputs (those initially programmed plus those carried over plus those added by legislation). It reflects the delivery of outputs, which were scheduled for implementation in the programme budget including those additionally mandated in the course of the biennium.

20. In the second calculation, the total implementation rate ( $I_2$ ) will show performance in respect of all commitments made during the biennium, which includes all mandated outputs (as defined immediately above) plus additional outputs initiated by the Secretariat. This rate indicates how much of the overall workload of the biennium was accomplished.



21. Finally, the third implementation rate ( $I_3$ ) is calculated as the ratio of all implemented outputs (programmed, reformulated and added by legislation and by the Secretariat) to the outputs programmed in the 2000-2001 budget. This indicator shows what was achieved overall with the available resources. To understand its purpose one should note that while budgetary resources were provided to deliver the outputs programmed in the biennial budget, unforeseen developments during the biennium resulted in additions to the workload, which had to be implemented within the allocated resources. This indicator shows best how much was delivered by a particular programme compared to what had been planned at the outset of the biennium.

22. The three implementation rates for each programme are summarized in table 1 below. Data on outputs reflect the total number, which is the sum of initially programmed, carried forward, additions by legislation and the Secretariat. In analysing the implementation rates, it is important to keep in mind that they refer only to quantifiable outputs. It should be recalled that in addition to them, the programmes of work of each department or office include non-quantifiable activities as described in paragraph 16 above. Those non-quantified activities accounted for a significant 42 per cent of the total Professional work-months reported as utilized in the implementation of the 2000-2001 programme of work.

23. The overall implementation rate of mandated quantifiable outputs ( $I_1$ ) amounted to 83 per cent. This was lower by 5 percentage points than the rate of 88 per cent achieved in 1998-1999 but was still higher than comparable performance throughout the 1990s: 76.7 per cent in 1992-1993, 75.5 per cent in 1994-1995 and 80 per cent in 1996-1997 (see A/53/122, table 1).

24. OIOS examined the factors responsible for this slackening of the implementation rate. The primary reason was the increase in the number of terminated outputs, from 1,925 (or 8.4 per cent of programmed outputs) in 1998-1999, to 3,943 (or 16.6 per cent of programmed outputs) in 2000-2001. Of the 3,943 terminated outputs in 2000-2001, 2,692 or 68.2 per cent were terminated by legislation, another 1,054 or 26.7 per cent were terminated by the Secretariat, and the remaining 197 outputs or 4.9 per cent, were terminated due to vacancies and the shortage of extrabudgetary resources. Since the number of terminated outputs has a direct bearing on the implementation rate, it would be useful to recalculate the implementation rate of mandated outputs after deducting those outputs terminated by legislation (since the Secretariat bears no responsibility for outputs terminated through legislation). In doing so, the implementation rate of mandated outputs rises to 92.2 per cent. If this calculation is repeated for the previous biennium, 1998-1999, the implementation rate works out to 92.5 per cent, which is only marginally higher than in the current biennium.

25. The impact of the termination of outputs by legislation is stark in the Department for Disarmament Affairs. Of all the 23 budget sections for which programme implementation is covered by the present report, the Department had the largest absolute and relative number of output terminations — 1,463. This accounted for 38.9 per cent of all outputs terminated for the Secretariat. The 1,463 outputs terminated amounted to 52 per cent of the Department's programmed outputs (programmed in the biennial budget plus those carried forward from the biennium 1998-1999) and to 48 per cent of its total number of outputs.<sup>3</sup> Out of 1,463 outputs terminated, 1,380 outputs (94.3 per cent) were terminated by legislative decisions,

another 2.7 per cent were terminated by the Secretariat and 3 per cent were terminated owing to the lack of extrabudgetary resources. As a result, the Department's implementation rate decreased from 71 per cent in the previous biennium to 51 per cent in the current one, the lowest throughout the Secretariat. However, the total number of implemented outputs did not decrease as drastically: the Department implemented 1,559 outputs in the current biennium compared with 1,795 outputs in the previous one — a decrease of only 13 per cent.

26. Almost all of the outputs of the Department for Disarmament Affairs that were terminated were divided between two activity types — “substantive servicing of meetings” and “parliamentary documentation”. A closer look revealed that the bulk of terminated outputs were due to legislative decisions to cancel numerous meetings of States parties to multilateral treaties and the related parliamentary documentation. The meetings of the subsidiary bodies of the Conference on Disarmament, the Convention on the Prohibition of the Development, Production and Stockpiling of Bacteriological (Biological) and Toxin Weapons and on Their Destruction and the Fourth Review Conference of the Parties to the Treaty on the Prohibition of the Emplacement of Nuclear Weapons and Other Weapons of Mass Destruction on the Sea-bed and the Ocean Floor and in the Subsoil Thereof were among other meetings and conferences that did not take place as initially planned. Accordingly, hundreds of outputs programmed in support of these meetings had to be terminated. It should be emphasized that the decision to convene or cancel a meeting or series of them is entirely the purview of Member States. Consequently, implementation of related outputs was entirely beyond the control of the Department. Given the highly political content of disarmament issues, predictability has become a harder exercise to master and the Department cannot be blamed for the sharp drop in its implementation rate.

27. Overall among budget sections, the implementation rate of mandated outputs varied by 47 percentage points. Within that range, 11 out of 23 budget sections (about 48 per cent of them) achieved implementation rates of 90 per cent or higher; another 8 (more than one third of all) implemented between 80 per cent and 90 per cent of mandated outputs; and only 4 had implementation rates lower than 80 per cent.

28. The reasons for low implementation rates are varied. As explained above, legislative termination of outputs played a predominant role in the case of the Department for Disarmament Affairs. The same is true in regard to the Department of General Assembly Affairs and Conference Services, where out of the total 2,769 outputs programmed, 607, or 22 per cent, were terminated by legislative decisions. In other cases, while termination of outputs negatively affected the implementation rate, it was more than compensated for by additions to the programme of work due to programmatic refocusing and restructuring. For example, in the International Trade Centre UNCTAD/WTO (ITC), 10 programmed outputs were terminated and 5 were postponed out of the total of 99 outputs scheduled for implementation. At the same time, the addition of 43 outputs by the Secretariat resulted in an implementation rate of 73 per cent based on mandated activities, and a rate of 175 per cent when all implemented outputs are taken into account. The dynamic nature of demand for ITC products and services was reflected in frequent adjustments to its programme of work in line with the programmatic orientation and direction set by its annual legislative Joint Advisory Group meeting.

Table 1  
Implementation rates by programme budget section<sup>a</sup>

Section	Total outputs	Implementation rates (percentage)		
		I <sub>1</sub>	I <sub>2</sub>	I <sub>3</sub>
2 General Assembly affairs and conference services	2 769	67	68	82
3 Political affairs	1 285	95	95	97
4 Disarmament	3 063	51	51	58
5 Peacekeeping operations	343	86	86	87
6 Peaceful uses of outer space	440	95	96	153
8 Legal affairs	1 941	91	92	113
9 Economic and social affairs	2 948	95	95	114
10 Africa: New Agenda for Development	113	82	85	126
11A Trade and development	1 208	83	84	91
11B International Trade Centre UNCTAD/WTO	99	73	85	175
12 Environment	505	89	89	110
13 Human settlements	170	90	96	291
14 Crime prevention and criminal justice	514	96	96	138
15 International drug control	846	82	86	120
16 Economic and social development in Africa	503	79	80	86
17 Economic and social development in Asia and the Pacific	1 128	93	94	114
18 Economic development in Europe	3 842	90	90	118
19 Economic and social development in Latin America and the Caribbean	655	90	90	91
20 Economic and social development in Western Asia	231	88	89	95
22 Human rights	3 952	84	85	103
23 Protection and assistance to refugees	114	98	98	102
25 Humanitarian assistance	1 339	96	96	103
26 Public information	397	88	90	127
<b>Total</b>	<b>28 405</b>	<b>83</b>	<b>84</b>	<b>101</b>

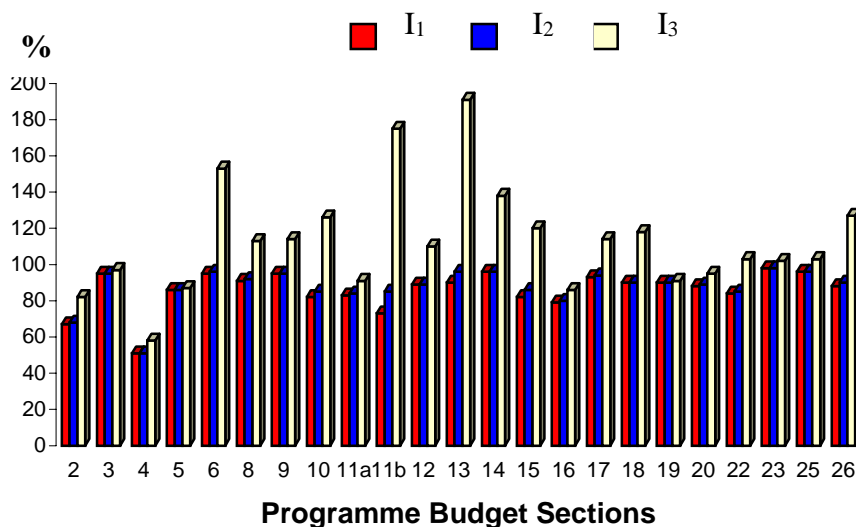
<sup>a</sup> I<sub>1</sub> — implementation rate of all mandated outputs (programmed + carried over + added by legislation) [(implemented + reformulated) – (additional outputs initiated by secretariat)/(programmed + carried over + added by legislation)]

I<sub>2</sub> — implementation rate of all mandated outputs + additional outputs initiated by programme managers [(implemented + reformulated)/(programmed + carried over + added by legislation + additional outputs initiated by secretariat)]

I<sub>3</sub> — ratio of all implemented outputs to outputs programmed in 2000-2001 budget (i.e. those for which resources were approved) [(implemented + reformulated)/programmed]

29. The  $I_1$  and  $I_2$  indicators, which are in most cases relatively close, reflect the implementation of the programme commitments. In the view of OIOS, the  $I_3$  implementation rate, which is the ratio of all implemented outputs to the outputs initially programmed, provides a better perspective on the intensity of work implementation in different organizational entities. This indicator recognizes that it is not always feasible to plan output delivery with certainty two to three years in advance. The impact of emerging issues and changing priorities requires adequate programmatic response by the delivery of additional outputs within available budgetary resources. Such additions could be quite drastic. In programme budget section 13, Human settlements, 56 outputs were initially programmed in the biennial budget, 13 outputs were carried forward from the biennium 1998-1999 and 101 outputs were added by the Secretariat due to reprioritization and refocusing in the course of preparations for the special session of the General Assembly and follow-up, bringing the total number of outputs to be implemented to 170. Of this number, only one output was terminated and six were postponed, all of them belonging to those initially programmed. All additional outputs were implemented. As a result, the implementation rate of total programmed outputs ( $I_1$ ) was 90 per cent, whereas the ratio of all implemented outputs to the outputs initially programmed ( $I_3$ ) amounted to 291 per cent. In the case of section 6, Peaceful uses of outer space, 279 outputs were initially programmed, 86 outputs were added by legislation and 75 were added by the Secretariat, bringing the total number of outputs in the work programme to 440. Of these, only 10 were terminated and 8 were postponed. The resultant  $I_1$  rate was a respectable 95 per cent, but the  $I_3$  rate was an even more impressive 153 per cent. Given that there was no tangible increase in the resources of the Office of Outer Space Affairs, these figures attest to its ability to produce more with less.

### Implementation rates for all budget sections<sup>a</sup>



<sup>a</sup> I<sub>1</sub> — implementation rate of all mandated outputs (programmed + carried over + added by legislation) [(implemented + reformulated) – (additional outputs initiated by secretariat)/(programmed + carried over + added by legislation)]

I<sub>2</sub> — implementation rate of all mandated outputs + additional outputs initiated by programme managers [(implemented + reformulated)/(programmed + carried over + added by legislation + additional outputs initiated by secretariat)]

I<sub>3</sub> — ratio of all implemented outputs to outputs programmed in 2000-2001 budget (i.e. those for which resources were approved) [(implemented + reformulated)/programmed]

30. The quantifiable outputs in the work programme of the Secretariat fall under six main activity types. Table 2 below presents the relative significance of each category both in terms of quantifiable outputs, as well as the implementation results reflected in the three different rates explained above. The category “substantive servicing of meetings” reflects only United Nations meetings and conferences with a three-hour meeting (or segment of it) being counted as one output. The category of “other substantive activities” incorporates such diverse activities as: fact-finding and other special missions on behalf of the Secretary-General; issuance of appeals for international assistance and fund-raising missions; promotion of legal instruments, including development of related standards; electronic, audio and video issuances, exhibits, booklets, information kits, special events and seminars; and technical material for outside users. The other four categories are self-explanatory.

Table 2  
Implementation results for major categories of activities<sup>a</sup>

Activity type	Total outputs	Percentage	Implementation rates (percentage)		
			I <sub>1</sub>	I <sub>2</sub>	I <sub>3</sub>
Substantive servicing of meetings	15 480	54	82	83	95
Parliamentary documentation	5 832	21	84	86	117
Ad hoc expert groups	781	3	91	91	105
Recurrent publications	1 420	5	74	75	87
Non-recurrent publications	1 458	5	74	76	105
Other substantive activities	3 434	12	92	93	108
<b>Total</b>	<b>28 405</b>	<b>100</b>	<b>83</b>	<b>84</b>	<b>101</b>

<sup>a</sup> I<sub>1</sub> — implementation rate of all mandated outputs (programmed + carried over + added by legislation) [(implemented + reformulated) – (additional outputs initiated by secretariat)/(programmed + carried over + added by legislation)]

I<sub>2</sub> — implementation rate of all mandated outputs + additional outputs initiated by programme managers [(implemented + reformulated)/(programmed + carried over + added by legislation + additional outputs initiated by secretariat)]

I<sub>3</sub> — ratio of all implemented outputs to outputs programmed in 2000-2001 budget (i.e., those for which resources were approved) [(implemented + reformulated)/programmed]

31. The lower than average implementation rates for recurrent and non-recurrent publications are mostly due to postponements (which account for 10.8 per cent and 11.2 per cent, respectively, of total outputs) and terminations (14.5 per cent and 12.6 per cent respectively, of total outputs). The main reasons behind deviations are: programmatic, such as unforeseen developments requiring the redeployment of resources to other activities, which accounted for 67 per cent of postponements and terminations in both categories. The shortage of extrabudgetary resources resulted in 17 per cent of all postponements and terminations; regular budget vacancies accounted for 6.5 per cent; and legislative decisions accounted for 8.5 per cent.

### Additions

32. In the course of the biennium, 3,668 outputs or 15 per cent were added to the programme of work either by legislative bodies or the Secretariat and implemented. This was slightly lower than the figure of 16 per cent for the previous biennium. More than half (54 per cent) of the additional outputs were introduced by legislative bodies, mostly in two categories: parliamentary documentation (47 per cent), and substantive servicing of meetings (43 per cent).

Table 3  
Additional outputs in major categories of activities

Activity type	Total added	Reason for additions				Additions (percentage) <sup>a</sup>
		Legislation	Secretariat			
			Total	Programmatic	XB availability	
Substantive servicing of meetings	1 437	857	580	558	22	10
Parliamentary documentation	1 510	932	578	545	33	35
Ad hoc expert groups	88	40	48	46	2	13
Recurrent publications	48	14	34	34	0	3
Non-recurrent publications	217	51	166	155	11	17
Other substantive activities	368	85	283	263	20	12
<b>Total</b>	<b>3 668</b>	<b>1 979</b>	<b>1 689</b>	<b>1 601</b>	<b>88</b>	<b>15</b>

<sup>a</sup> As a percentage of total programmed and carried-forward quantifiable outputs.

33. Concerning additions by the Secretariat, parliamentary documentation comprised 34 per cent and substantive servicing of meetings accounted for 35 per cent, while recurrent and non-recurrent publications comprised 12 per cent and other substantive activities were responsible for 17 per cent. Programmatic reasons accounted for 95 per cent of additions by the Secretariat.

Table 4  
Additions by programme budget section

Section		Reason for additions					Additions (percentage) <sup>a</sup>
		Total added	Legislation	Secretariat		XB availability	
				Total	Programmatic		
2	General Assembly affairs and conference services	90	17	73	73	0	3
3	Political affairs	5	5	0	0	0	<1
4	Disarmament	251	213	38	13	25	9
5	Peacekeeping operations	4	4	0	0	0	1
6	Peaceful uses of outer space	161	86	75	75	0	58
8	Legal affairs	335	123	212	212	0	21
9	Economic and social affairs	398	318	80	67	13	16
10	Africa: New Agenda for Development	35	17	18	18	0	45
11A	Trade and development	53	9	44	44	0	5
11B	International Trade Centre UNCTAD/WTO	43	0	43	43	0	77
12	Environment	17	4	13	11	2	3
13	Human settlements	101	0	101	101	0	146

		Reason for additions					
		Secretariat					
Section		Total added	Legislation	Total	Programmatic	XB availability	Additions (percentage) <sup>a</sup>
14	Crime prevention and criminal justice	154	102	52	52	0	43
15	International drug control	226	30	196	195	1	36
16	Economic and social development in Africa	29	7	22	22	0	6
17	Economic and social development in Asia and the Pacific	134	57	77	72	5	13
18	Economic development in Europe	820	505	315	312	3	27
19	Economic and social development in Latin America and the Caribbean	0	0	0	0	0	0
20	Economic and social development in Western Asia	14	8	6	6	0	6
22	Human rights	612	446	166	132	34	18
23	Protection and assistance to refugees	3	0	3	3	0	3
24	Palestine refugees	0	0	0	0	0	0
25	Humanitarian assistance	80	0	80	79	1	6
26	Public information	103	28	75	71	4	35
Total		3 668	1 979	1 689	1 601	88	15

<sup>a</sup> As a percentage of total programmed and carried-forward quantifiable outputs.

34. Six budget sections (Disarmament, Legal affairs, Economic and social affairs, International drug control, Economic development in Europe and Human rights) accounted for 72 per cent of all additional outputs. In those six sections, 62 per cent of additions were introduced by legislative bodies.

#### Departures from programmed commitments

35. Of the 26,716 mandated outputs,<sup>4</sup> 622 or 2.3 per cent were postponed. The number of postponements was significantly lower compared with the previous biennium, when 1,080 outputs were postponed. An output is considered "postponed" if, irrespective of its stage of completion, it was not delivered to primary users by the end of the biennium. Table 5 shows the distribution of postponements between the main categories of activities, while table 6 provides explanations for the main reasons for the postponement of outputs by sections of the programme budget.



Table 5  
Postponement of outputs in the main categories of activities

Activity type	Total postponed	Reason for postponement					Postponements (percentage) <sup>a</sup>
		Legislation	Programmatic	RB vacancy	XB vacancy	XB shortage	
Substantive servicing of meetings	159	11	138	0	0	10	1
Parliamentary documentation	36	11	20	4	1	0	<1
Ad hoc expert groups	20	1	14	3	0	2	3
Recurrent publications	154	3	117	4	0	30	11
Non-recurrent publications	164	2	137	9	3	13	13
Other substantive activities	89	1	64	4	0	20	3
<b>Total</b>	<b>622</b>	<b>29</b>	<b>490</b>	<b>24</b>	<b>4</b>	<b>75</b>	<b>3</b>

<sup>a</sup> As a percentage of total programmed and carried-forward quantifiable outputs.

36. The postponements mostly concerned meetings and publications, which jointly accounted for 82 per cent of the total. This pattern is similar to previous bienniums, as conflicting schedules or the intense programme of work of various intergovernmental and expert bodies often required shifting planned meetings to the future. When the programme budget was formulated, a number of sessions and meetings of legislative and intergovernmental bodies were predicted, together with the required supporting parliamentary documentation. However, the subsequent restructuring of the intergovernmental machinery in several areas, as well as revisions to the programme of work of various bodies, led to the postponement of a number of meetings, the related documentation and publications.

Table 6  
Reasons for the postponement of outputs

Section	Total postponed	Reason for postponement					Postponements (percentage) <sup>a</sup>
		Legislation	Programmatic	RB vacancy	XB vacancy	XB shortage	
2 General Assembly affairs and conference services	16	10	5	0	0	1	<1
3 Political affairs	28	0	24	4	0	0	2
4 Disarmament	29	5	10	0	0	14	1
5 Peacekeeping operations	1	0	0	0	1	0	<1
6 Peaceful uses of outer space	8	0	8	0	0	0	3
8 Legal affairs	28	0	25	1	0	2	2
9 Economic and social affairs	80	4	67	8	0	1	3
10 Africa: New Agenda for Development	5	1	4	0	0	0	6
11A Trade and development	42	3	32	3	0	4	4

Section	Total postponed	Reason for postponement					Postponements (percentage) <sup>a</sup>
		Legislation	Programmatic	RB vacancy	XB vacancy	XB shortage	
11B International Trade Centre UNCTAD/WTO	5	0	4	0	0	1	9
12 Environment	27	0	17	0	0	10	6
13 Human settlements	6	0	5	0	0	1	9
14 Crime prevention and criminal justice	0	0	0	0	0	0	0
15 International drug control	34	0	28	1	0	5	5
16 Economic and social development in Africa	48	0	43	5	0	0	10
17 Economic and social development in Asia and the Pacific	18	0	17	0	0	1	2
18 Economic development in Europe	56	0	51	0	3	2	2
19 Economic and social development in Latin America and the Caribbean	21	0	21	0	0	0	3
20 Economic and social development in Western Asia	10	0	8	2	0	0	5
22 Human rights	138	6	100	0	0	32	4
23 Protection and assistance to refugees	0	0	0	0	0	0	0
25 Humanitarian assistance	10	0	9	0	0	1	<1
26 Public information	12	0	12	0	0	0	4
<b>Total</b>	<b>622</b>	<b>29</b>	<b>490</b>	<b>24</b>	<b>4</b>	<b>75</b>	<b>3</b>

<sup>a</sup> As a percentage of total programmed and carried-forward quantifiable outputs.

37. A total of 3,943 outputs were terminated in 2000-2001, representing 14.7 per cent of the 26,716 mandated outputs. This compares with 1,925 outputs, or 8 per cent of the total, terminated in the previous biennium. Some 68 per cent of terminations were based on legislative decisions (compared with 52 per cent in the previous biennium); programmatic reasons at the discretion of programme managers in accordance with rule 106.2 (b) of the PPBME accounted for 27 per cent (compared with 33 per cent in the previous biennium); and 5 per cent were attributed to vacancies and shortage of extrabudgetary resources. Some 85 per cent of all terminations were in the categories of substantive servicing of meetings and parliamentary documentation.

Table 7  
Termination of outputs in the main categories of activities

Activity type	Total terminated	Reason for terminations					Terminations (percentage) <sup>a</sup>
		Legislation	Programmatic	RB vacancy	XB vacancy	XB shortage	
Substantive servicing of meetings	2 536	1 916	604	8	0	8	18
Parliamentary documentation	809	716	89	2	1	1	19
Ad hoc expert groups	48	1	34	9	0	4	7
Recurrent publications	206	22	113	21	2	48	15
Non-recurrent publications	183	33	107	12	2	29	15
Other substantive activities	161	4	107	10	0	40	5
<b>Total</b>	<b>3 943</b>	<b>2 692</b>	<b>1 054</b>	<b>62</b>	<b>5</b>	<b>130</b>	<b>16</b>

<sup>a</sup> As a percentage of total programmed and carried-forward quantifiable outputs.

38. At its thirty-ninth session, in June 1999, the Committee for Programme and Coordination requested that future performance reports should provide clear explanation for the termination of outputs (see A/54/15, para. 43). Table 8 below summarizes the reasons for the termination of outputs by budget section. Four budget sections (Disarmament, General Assembly affairs, Human rights and Economic development in Europe) accounted for 79 per cent of all terminated outputs. Of 3,110 outputs terminated in these sections, 78 per cent were terminated by legislative decisions, another 21 per cent were terminated for programmatic reasons and about 1 per cent was due to vacancies and the shortage of extrabudgetary funds. The reasons for terminations in section 4, Disarmament, are explained in paragraph 25 above. In the other three budget sections they were largely similar in nature: cancellation of initially scheduled meetings owing to various reasons and the refocusing of different subprogrammes in the light of new or emerging issues that needed to be addressed.

Table 8  
Reasons for the termination of outputs by budget sections

Section	Total terminated	Reason for termination					Terminations (percentage) <sup>a</sup>
		Legislation	Programmatic	RB vacancy	XB vacancy	XB shortage	
2 General Assembly affairs and conference services	882	607	275	0	0	0	33
3 Political affairs	41	40	1	0	0	0	3
4 Disarmament	1 467	1 384	40	0	0	43	52
5 Peacekeeping operations	46	46	0	0	0	0	14
6 Peaceful uses of outer space	10	2	3	0	0	5	4
8 Legal affairs	127	102	25	0	0	0	8
9 Economic and social affairs	58	13	36	3	0	6	2

		Total terminated	Reason for termination					Terminations (percentage) <sup>a</sup>
			Legislation	Programmatic	RB vacancy	XB vacancy	XB shortage	
10	Africa: New Agenda for Development	12	0	6	6	0	0	15
11A	Trade and development	156	43	91	2	0	20	14
11B	International Trade Centre UNCTAD/WTO	10	0	8	0	1	1	18
12	Environment	27	1	16	0	0	10	6
13	Human settlements	1	0	1	0	0	0	1
14	Crime prevention and criminal justice	19	16	3	0	0	0	5
15	International drug control	86	1	78	3	0	4	14
16	Economic and social development in Africa	54	0	30	24	0	0	11
17	Economic and social development in Asia and the Pacific	53	22	23	5	0	3	5
18	Economic development in Europe	309	29	263	15	1	1	10
19	Economic and social development in Latin America and the Caribbean	47	0	28	0	0	19	7
20	Economic and social development in Western Asia	16	14	2	0	0	0	7
22	Human rights	452	372	61	0	3	16	14
23	Protection and assistance to refugees	2	0	0	0	0	2	2
25	Humanitarian assistance	40	0	40	0	0	0	3
26	Public information	28	0	24	4	0	0	10
Total		3 943	2 692	1 054	62	5	130	16

<sup>a</sup> As a percentage of total programmed and carried-forward quantifiable outputs.

### Outputs brought forward

39. Tables 9 and 10 provide information on the status of implementation of outputs that were due for implementation in 1998-1999 but were subsequently reported as postponed to 2000-2001 in the report of the Secretary-General on programme performance for the biennium 1998-1999 (A/55/73). Of 1,080 outputs brought forward, 37 per cent were implemented, 7 per cent were further postponed and the remaining 56 per cent were terminated. The bulk of terminations — 78 per cent — fell under the category of substantive servicing of meetings, while recurrent and non-recurrent publications accounted for 74 per cent of postponements. There is an obvious need to review the continuing relevance and usefulness of such publications, when they have been postponed over two bienniums.

Table 9  
Status of outputs brought forward by categories of activities

Activity type	Brought forward from 1998-1999	Status of implementation		
		Implemented	Postponed to 2002-2003	Terminated
Substantive servicing of meetings	572	90	10	472
Parliamentary documentation	50	41	0	9
Ad hoc expert groups	16	11	1	4
Recurrent publications	147	73	35	39
Non-recurrent publications	184	121	23	40
Other substantive activities	111	59	9	43
<b>Total</b>	<b>1 080</b>	<b>395</b>	<b>78</b>	<b>607</b>

Table 10  
Status of outputs brought forward by budget section

Section	Brought forward from 1998-1999	Status of implementation		
		Implemented	Postponed to 2002-2003	Terminated
2 General Assembly affairs and conference services	406	2	11	393
3 Political affairs	21	6	1	14
4 Disarmament	114	66	0	48
5 Peacekeeping operations	0	0	0	0
6 Peaceful uses of outer space	3	1	0	2
8 Legal affairs	30	22	7	1
9 Economic and social affairs	85	58	12	15
10 Africa: New Agenda for Development	2	1	0	1
11A Trade and development	47	29	1	17
11B International Trade Centre UNCTAD/WTO	8	5	1	2
12 Environment	79	54	4	21
13 Human settlements	13	12	1	0
14 Crime prevention and criminal justice	1	1	0	0
15 International drug control	17	4	6	7
16 Economic and social development in Africa	9	3	1	5
17 Economic and social development in Asia and the Pacific	63	61	0	2
18 Economic development in Europe	67	40	7	20
19 Economic and social development in Latin America and the Caribbean	7	4	0	3
20 Economic and social development in Western Asia	1	1	0	0

Section	<i>Brought forward from 1998-1999</i>	<i>Status of implementation</i>		
		<i>Implemented</i>	<i>Postponed to 2002-2003</i>	<i>Terminated</i>
22 Human rights	80	14	22	44
23 Protection and assistance to refugees	1	0	0	1
25 Humanitarian assistance	13	2	3	8
26 Public information	13	9	1	3
<b>Total</b>	<b>1 080</b>	<b>395</b>	<b>78</b>	<b>607</b>

## VI. Resource utilization

40. A total of 61,321 work-months (including consultant work-months) was utilized by programme managers to deliver the 2000-2001 programme of work. Table 11 below shows the breakdown of the total number of work-months for each budget section along with the percentage of work-months utilized to produce quantifiable outputs.

Table 11  
Work-months utilized

Programme	<i>Regular</i>		<i>Extrabudgetary</i>		<i>Total</i>				<i>Grand total</i>	<i>Q<sup>a</sup></i>
	<i>Professional</i>	<i>Consultant</i>	<i>Professional</i>	<i>Consultant</i>	<i>Regular</i>	<i>Extrabudgetary</i>	<i>Professional</i>	<i>Consultant</i>		
General Assembly affairs and conference services	261.25	16	0	0	277.25	0	261.25	16	277.25	99
Political affairs	2 094.9	130	203.1	34	2 224.9	237.1	2 298	164	2 462	86
Disarmament	396.45	15	36.7	77.4	411.45	114.1	433.15	92.4	525.55	91
Peacekeeping operations	771.2	24	4 434.8	27.5	795.2	4 462.3	5 206	51.5	5 257.5	25
Peaceful uses of outer space	263.3	0	32.5	0	263.3	32.5	295.8	0	295.8	51
Legal affairs	1 517.25	39	394	2.5	1 556.25	396.5	1 911.25	41.5	1 952.75	67
Economic and social affairs	4 868.75	218	396.5	191	5 086.75	587.5	5 265.25	409	5 674.25	82
Africa: New Agenda for Development	231.5	130.5	54	2	362	56	285.5	132.5	418	96
Trade and development	3 146.3	134.5	932.7	723.3	3 280.8	1 656	4 079	857.8	4 936.8	64

Programme	Regular		Extrabudgetary		Total				Grand total	Q <sup>a</sup>
	Professional	Consultant	Professional	Consultant	Regular	Extrabudgetary	Professional	Consultant		
International Trade Centre UNCTAD/WTO	566.25	3	349.3	544.7	569.25	894	915.55	547.7	1 463.25	18
Environment	341.7	29.5	2 210.1	242.8	371.2	2 452.9	2 551.8	272.3	2 824.1	61
Human settlements	493.25	81.1	558.15	174.3	574.35	732.45	1 051.4	255.4	1 306.8	92
Crime prevention and criminal justice	457	16	341	68	473	409	798	84	882	38
International drug control	671	31	550.2	121.5	702	671.7	1 221.2	152.5	1 373.7	65
Economic and social development in Africa	1 293.2	249.5	19	43	1 542.7	62	1 312.2	292.5	1 604.7	79
Economic and social development in Asia and the Pacific	2 058.15	65.75	584.13	544.2	2 123.9	1 128.33	2 642.28	609.95	3 252.23	52
Economic development in Europe	2 321	116	247	118	2 437	365	2 568	234	2 802	86
Economic and social development in Latin America and the Caribbean	2 621.65	65.02	836.51	401.9	2 686.67	1 238.41	3 458.16	466.92	3 925.08	62
Economic and social development in Western Asia	1 182.5	155.25	85.5	65.75	1 337.75	151.25	1 268	221	1 489	82
Human rights	1 982.3	13	1 154.2	58	1 995.3	1 212.2	3 136.5	71	3 207.5	62
Protection and assistance to refugees	2 760	0	5 339	0	2 760	5 339	8 099	0	8 099	6
Humanitarian assistance	492.5	36.75	1 001.5	112.25	529.25	1 113.75	1 494	149	1 643	78
Public information	5 192.15	215	145	97	5 407.15	242	5 337.15	312	5 649.15	79
<b>Total</b>	<b>35 983.55</b>	<b>1 783.87</b>	<b>19 904.89</b>	<b>3 649.1</b>	<b>37 767.42</b>	<b>23 553.99</b>	<b>55 888.44</b>	<b>5 432.97</b>	<b>61 321.41</b>	<b>58</b>

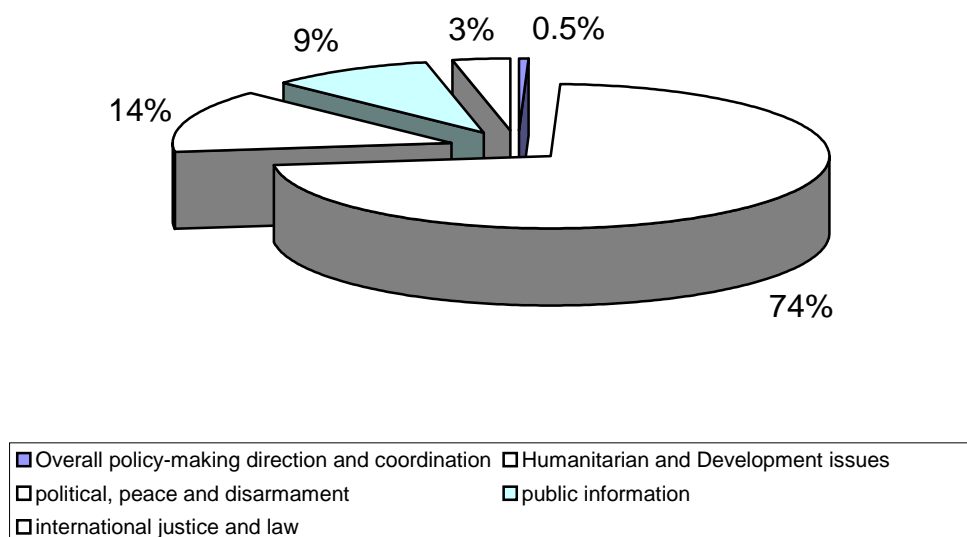
<sup>a</sup> Q = Quantifiable outputs — the percentage of work-months available in the budget section devoted to quantifiable outputs.

41. Of the above total number of work-months, 37,767 work-months or 62 per cent of the total were funded through the regular budget, while 23,554 work-months or 38 per cent were financed with extrabudgetary resources. Of the regular budget work-months, 95 per cent were of Professional staff and 5 per cent of consultants. The breakdown of extrabudgetary work-months was slightly different: 84 per cent were provided by Professional staff and 16 per cent by consultants. Altogether, Professionals provided 91 per cent of the total work-months, and only 9 per cent was provided by consultants.

42. Of the total 61,321 work-months, 35,550 work-months or 58 per cent were utilized to produce the 23,840 quantifiable outputs.

43. Among all budget sections, the Department of General Assembly Affairs and Conference Services, Africa: New Agenda for Development, Human settlements and Disarmament all devoted more than 90 per cent of the available work-months to the production of quantifiable outputs. On the other hand, for Peacekeeping operations, ITC and Protection and assistance to refugees the delivery of quantifiable outputs was a minor part of their overall activities accounting for less than 25 per cent of the available work-months.

44. With regard to the substantive content, 74 per cent of the total reported work-months was devoted to development activities and humanitarian assistance, while 14 per cent was committed to Disarmament, peace and security matters and 3.5 per cent to General policy-making and Legal affairs. The chart below shows the detailed breakdown:



45. In terms of activity type, the servicing of intergovernmental and expert bodies accounted for 20 per cent of the total number of outputs, while other substantive activities (recurrent, non-recurrent publications and others) accounted for 38 per cent. All quantifiable outputs were under those two activity types. The 42 per cent of work-months devoted to non-quantifiable activities were largely divided between international cooperation and liaison with 11,149.9 work-months (or 18 per cent), and technical cooperation activities with 12,305 work-months (or 20 per cent). Table 12 shows the distribution of work-months by activity type and source of funding for both quantifiable and non-quantifiable outputs.

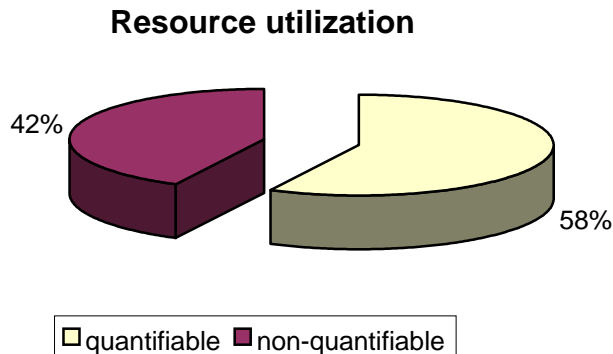


Table 12  
**Distribution of Professional work-months utilized by major category of activity  
in the biennium 2000-2001**

<i>Activity type</i>	<i>Regular budget</i>	<i>Percentage</i>	<i>Extrabudgetary</i>	<i>Percentage</i>	<i>Total</i>	<i>Percentage</i>
Servicing of intergovernmental and expert bodies	9 652.3	26	2 572.3	11	12 224.6	20
Substantive servicing of meetings	3 266.7	9	562.4	2	3 829.0	6
Parliamentary documentation	4 567.6	12	1 231.0	5	5 798.6	9
Ad hoc expert groups	1 818.1	5	779.0	3	2 597.1	4
Other substantive activities	16 923.8	45	6 401.3	27	23 325.1	38
Recurrent publications	4 051.1	11	833.8	4	4 884.8	8
Non-recurrent publications	3 809.3	10	1 605.8	7	5 415.1	9
Other substantive activities	9 063.5	24	3 961.8	17	13 025.2	21
International cooperation, inter-agency coordination and liaison	4 849.6	13	6 300.3	27	11 149.9	18
Technical cooperation	5 043.8	13	7 261.3	31	12 305.1	20
Advisory services	1 880.8	5	1 733.0	7	3 613.8	6
Training courses, seminars and workshops	1 702.7	5	1 635.5	7	3 338.2	5
Fellowships and grants	34.0	<1	29.0	<1	63.0	<1
Field projects	1 426.3	4	3 863.9	16	5 290.1	9
Conference services, administration, oversight	1 298.0	3	1 018.8	4	2 316.8	4
<b>Total</b>	<b>37 767.4</b>	<b>100</b>	<b>23 554.0</b>	<b>100</b>	<b>61 321.4</b>	<b>100</b>

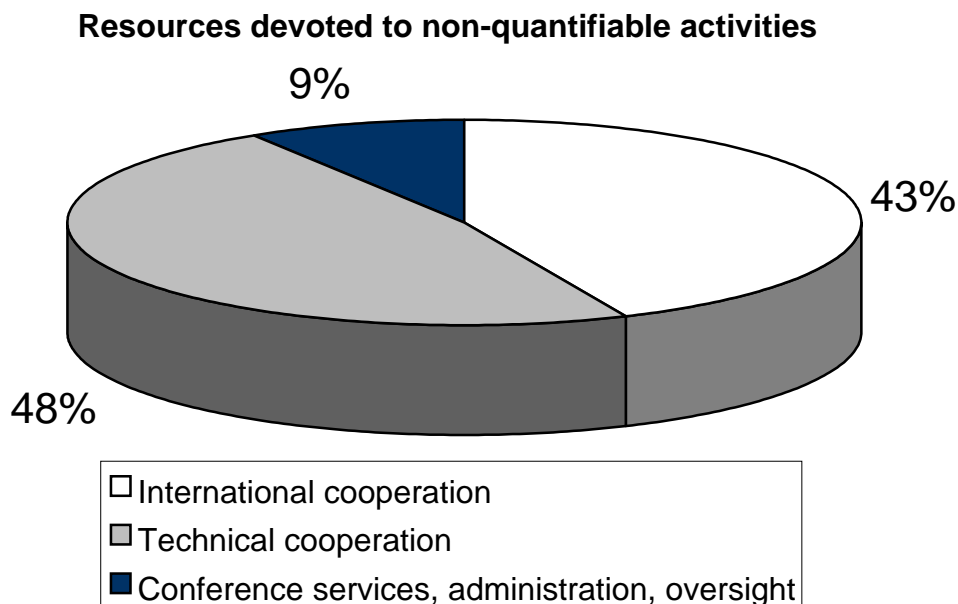
46. The amount of resources devoted to quantifiable outputs remained practically the same as in the biennium 1998-1999 — 34,589 work-months then and 35,550 in 2000-2001. However the amount of work-months spent on non-quantifiable activities almost doubled: from 14,550 work-months in the biennium 1998-1999 to 25,772 in the biennium 2000-2001. It should be recalled that non-quantifiable activities comprise outputs devoted to international cooperation, inter-agency coordination and liaison and such technical cooperation activities as advisory services, training courses, seminars and workshops, fellowships and grants, and field projects.

47. The total number of available work-months increased by a quarter — from 49,140 in 1998-1999 to 61,321 in 2000-2001. Almost all of this increase (91 per cent) was on non-quantifiable activities, which accounted for some 11,222 work-months in such areas as international cooperation and technical cooperation.



48. The share of non-quantifiable activities in terms of work-months increased from 30 per cent in 1998-1999 to 42 per cent in 2000-2001. The largest increase was in the area of international cooperation activity, whose share of the total increased from 7 per cent to 18 per cent. In nominal terms, the figure increased more than threefold, from 3,667 work-months to 11,149 work-months. Technical cooperation activities also showed an increase in resource utilization, from 10,883 to 12,305 work-months.

49. Some 11,191 work-months or 30 per cent of the total financed from the regular budget were used for non-quantifiable activities, while 62 per cent of total number of work-months financed by extrabudgetary resources (14,580 work-months) were devoted to the same activities.



50. Of 25,772 work-months utilized for non-quantifiable activities, 43 per cent accounted for international cooperation and inter-agency coordination and liaison, 48 per cent were used on technical cooperation activities and the remaining 8 per cent were devoted to administration and oversight.

## VII. Qualitative assessment of programme performance

51. In response to legislative requests and in line with the Secretary-General's policy on introducing the core elements of results-based budgeting into the modalities of reporting on programme performance of the Organization, a qualitative assessment of programme performance for each budget section was incorporated for the first time into the annex to the programme performance report for the biennium 1998-1999 (A/55/73). This received a positive response from the General Assembly. The current report further develops and enhances this portion of the performance reporting. The main lessons learned from the initial experience amounted to:

(a) The preparation of qualitative assessment should start no later than six months before the end of the biennium;

(b) The preparation of the qualitative assessment should be viewed by managers at all levels as an opportunity to self-assess their performance in realizing the expected accomplishments and lay the foundation for drawing the course of action for the next biennium;

(c) The top management of each programme should be actively involved in the exercise from start to finish;

(d) It is vitally important to maintain continuous dialogue between OIOS and the reporting department throughout the whole process of preparing the qualitative assessment.

52. These four preconditions ensure that the formulation of the indicators of achievement and the accomplishments realized is precise, informative and comprehensive and that it reflects fully the seminal points of the programme's accomplishments during the reporting period. OIOS has had an uneven success in obtaining the programme managers cooperation along these lines: while some of them were responsive, prompt and cooperative in addressing OIOS concerns, others had to be pressured to extract necessary information which was often submitted bit by bit, in a patchwork manner and of substandard quality. In some cases, the programme managers had difficulty in distinguishing a mere listing of activities from accomplishments realized through carrying out these activities. Others provided submissions with mismatched indicators of achievement and the accomplishments realized. Still others delayed their submissions till a few days before the report's deadline.

53. Both OIOS and programme managers will face a much more complicated task in preparing the next programme performance report for the biennium 2000-2003. This will involve a results-based budgeting format and will shift the focus of reporting from a mainly quantitative one to one more aligned with a qualitative approach, incorporating accomplishments reporting, programme delivery and measurement of the effectiveness of the Organization's activities. The current qualitative assessment represents an important step towards this goal. Given the difficulty many programme managers face now, it is imperative that they take stock of what went wrong and see how they can address the new challenge as early and as comprehensively as possible. OIOS, jointly with the Office of Programme Planning, Budget and Accounts, will render all necessary assistance in this regard.

54. The qualitative assessments presented in the current report have an important difference compared to the ones of the 1998-1999 programme performance report. The previous assessment did not contain any elements mandated by legislature; all three — objectives, assessment criteria and major benefits realized — were prepared

with the guidance of the medium-term plan and the best common judgement of OIOS and the reporting entity. To keep the length of the 1998-1999 report to a minimum, each budget section was allotted only two pages for its qualitative assessment. This resulted in several subprogrammes being reported in one cluster with their objectives and benefits realized reduced to very concise statements.

55. For the current report, the expected accomplishments were legislated in the proposed programme budget with subsequent amendments by General Assembly resolution 54/249. As all of them, without exception, have to be reported separately without combining any, the result is a considerably longer report.

56. Unlike the previous report, the current report excludes any reporting on external and internal reviews and evaluations. All such information has been included in a separate OIOS report on strengthening the role of evaluation findings in programme design, delivery and policy directives, which contains a critical analysis of evaluation reports submitted to OIOS by different programmes.

57. The qualitative assessments of the current report for each budget section contain four elements:

- (a) Expected accomplishments as approved by the General Assembly;
- (b) Indicators of achievement, by which the progress in realizing these expectations is judged;
- (c) Reporting on accomplishments realized during the biennium, including their impact on various beneficiaries at different levels;
- (d) Assessments of programme delivery by relevant legislative bodies.

58. The qualitative assessments complement the statistics on the delivery of outputs by highlighting the substance behind the numbers and provides a bird's eye view of the benefits brought about by the diverse substantive, operational and servicing activities of the Organization. It should be borne in mind that these assessments are condensed versions of much more detailed, in-depth substantive reporting by departments and offices on their work to the relevant legislative, sectoral, functional, expert, and other intergovernmental bodies in the course of the biennium. Each programme and subprogramme submits substantive outputs to its specialized intergovernmental oversight bodies, which provide, in the first instance, guidance on substantive matters and judgement on the quality of outputs delivered. Furthermore, various programmes are subjected to in-depth evaluations, triennial reviews of the implementation of recommendations by the Committee for Programme and Coordination on such evaluations, external expert reviews, management audits and numerous other programmatic oversight exercises during the past biennium. Thus, the qualitative assessments in the present report need to be seen in the light of presenting the sum total of the Organization's accomplishments; each segment can be further examined, if desired, by referring to the more detailed and specialized assessments and evaluations contained in other reports.

59. In line with the key objectives of the United Nations Millennium Declaration (General Assembly resolution 55/2), the following conclusions can be drawn from the qualitative assessments.

#### **Peace, security and disarmament**

60. Cooperation with regional organizations was enhanced through a high-level meeting at the United Nations and by collaboration in specific situations of conflict

prevention, peacemaking and peace-building. A peace-building plan of action for the United Nations system was developed and adopted. Effective assistance was provided in negotiations, deliberations, consensus-building and review conferences of States parties to various multilateral arms limitation and disarmament agreements, along with substantive assistance in the establishment of a nuclear-weapon-free zone in Central Asia and the strengthening of Mongolia's nuclear-weapon-free status. Member States were assisted in initiatives taken to address illicit trafficking in small arms and light weapons in all its aspects.

61. Timely and comprehensive operational and political direction was provided to peacekeeping operations, resulting in: the resumption of the peace process in Sierra Leone; disengagement of troops in the Democratic Republic of the Congo and completion of the second phase of the United Nations Organization Mission in the Democratic Republic of the Congo (MONUC), as well as initiation of withdrawal; establishment of the temporary security zone in Ethiopia and Eritrea to assist the peaceful settlement of the border dispute between the two countries; election of a Constituent Assembly in East Timor and the successful initiation of a transition towards independence; reconfiguration of the United Nations Interim Force in Lebanon (UNIFIL) in the light of Israel's withdrawal from southern Lebanon; creation of a legal framework and successful local elections in Kosovo, in preparation for the handing-over of the United Nations administration to local authorities; and significant improvements in the public security sector in Bosnia and Herzegovina, where the United Nations Mission in Bosnia and Herzegovina (UNMIBH) is on schedule to complete its mandate in late 2002. There was a major surge in activities towards the end of the biennium in preparing for an enhanced United Nations role in Afghanistan.

### **Development and poverty eradication**

62. The Organization contributed to the renewed attention to economic issues in intergovernmental deliberations and to improved coherence in multilateral policy-making on economic and financial issues. It assisted developing countries in formulating sustainable development strategies and facilitated regional stakeholder dialogues to review the implementation of Agenda 21 and agree on priorities for future action to be presented to the World Summit on Sustainable Development. Further progress was achieved in the implementation of gender mainstreaming through development of relevant policies, strategies and institutional mechanisms. Governments of developing countries and economies in transition were assisted with the Debt Management and Financial Analysis System, which managed more than 30 per cent of their guaranteed long-term debt. The research and technical assistance by the Secretariat contributed to reassessing macroeconomic policies towards giving the central place to employment generation and reduction of poverty and increased awareness of various approaches to tackling poverty eradication. The Secretariat promoted the increased sharing of "best practices" on rural poverty alleviation between national and regional partners participating in United Nations projects.

### **Protecting the common environment**

63. The *Global Environment Outlook* reports established and promoted the integrated environmental assessment framework. The methodology was shared with countries and partners in the production of national assessments in various regions. Cooperative frameworks comprising African subregional centres of excellence were established and strengthened to assist in the production of the "Africa Environment Outlook" report, as well as the subregional State of the Environment reports for

southern and West Africa. The research on climate change impacts and adaptation to them examined existing and emerging concepts of vulnerability and adaptability in order to refine them into a dependable tool for policy makers to prioritize preventive actions. The Environmental Management Group was established to enhance inter-agency coordination in the field of environment and human settlements. Substantive assistance was provided in Member States ratifications and accessions to environmental conventions and protocols. Advisory, clearing-house services, technical assistance on specific issues and training were provided to 120 Governments, more than 300 civil society organizations and close to 200 academic institutions.

### **Human rights, democracy and good governance**

64. Seven principal treaties concerning human rights were ratified, acceded to or succeeded to by 29 States. The World Conference against Racism, Racial Discrimination, Xenophobia and Related Intolerance was successfully held. The follow-up work has started to ensure the implementation of the Declaration and the Programme of Action adopted at the Conference. The establishment of new facilities and databases and the strengthening of existing capacities resulted in improved and more effective functioning of the United Nations human rights monitoring mechanisms. Direct electoral assistance was provided to 25 Member States and technical support to 27 different electoral processes, thus enhancing the capacity of national electoral management bodies to organize elections. Complex technical assistance projects were executed at the national level to further strengthen electoral management bodies in Member States. Through the development of the United Nations Public Administration Network, institutional public administrators worldwide were able to exchange information and experiences through direct linkage. More effective advisory services as well as training and technical cooperation projects carried out in the areas of public policy, public administration and public finance contributed to government capacities at national and local levels in a number of Member States.

### **Protecting the vulnerable**

65. Activities dealing with issues of women and minorities and vulnerable groups have increased and cooperation between United Nations agencies, international organizations and non-governmental organizations have achieved substantive progress in incorporating relevant dimensions into the programmes and projects at international, regional and national levels. The recommendations on protection of civilians in armed conflict were endorsed and are being widely promoted. The mechanisms for improved field coordination of humanitarian operations were strengthened. Advances were made in the development of humanitarian strategies and the broad promotion of humanitarian principles, leading to improved protection of the vulnerable populations and expanded humanitarian access. Close to 100 services concerning national legislation reforms favourable to refugees were provided to more than 50 Member States. The Protection Learning Programme including the priority protection concerns of refugee women, refugee children and adolescents, was developed and successfully piloted. System-wide collaboration in providing humanitarian assistance in an environmentally sound manner was enhanced and more effective implementation of policies relating to refugee women, children and adolescents from the early phases of an emergency was achieved.

### **Meeting the special needs of Africa**

66. Activities in the area of public administration facilitated the consensus of policy makers at the African regional level, which led to the adoption of the African

Public Service Charter. South-South cooperation activities were promoted, including the Africa-Asia Business Forum. Facilitating a high-level dialogue on the economics of conflicts in Africa resulted in a forged consensus, the development of a strategy and steps towards a programme of post-conflict economic rehabilitation and social integration in response to rising peace prospects on the continent. Research on capital flows and growth in Africa analysed the resource requirements of African countries to enable them to meet the growth targets envisaged by the United Nations New Agenda for the Development of Africa and offered relevant policy recommendations. Policy advice was also provided towards strengthening the capacity of Member States to accelerate and sustain economic growth, boost domestic resource mobilization and investment and coordinate policies. Key elements and measures were developed to establish the foundation of broad-based growth with equity; recommendations were proposed to foster the role of the private sector as an engine of growth; and key policy components formulated to strengthen institutional capacity and create investment-hospitable environment.

## VIII. Findings and conclusions

67. The implementation rate of the total programmed outputs in 2000-2001 was 83 per cent, which is 5 percentage points lower than the rate of 88 per cent achieved in 1998-1999. However, the drop was largely beyond the control of the Secretariat, as the final performance was affected by a large increase in the number of terminated outputs, from 1,925 or 8.4 per cent of programmed outputs in 1998-1999 to 3,943 or 16.6 per cent of outputs in 2000-2001. Of these 3,943 outputs, 2,692 or 68.2 per cent were terminated by legislation. Since the number of terminated outputs directly affects the implementation rate, OIOS has recalculated the implementation rate by deducting outputs terminated by legislation from the mandated workload. The resulting adjusted implementation rate of mandated outputs rose from 83 per cent to 92.2 per cent. The same recalculation for the biennium 1998-1999 yields an adjusted implementation rate of 92.5 per cent, which is only marginally higher than that of 2000-2001.

68. The implementation rates also revealed a large degree of flexibility and resourcefulness in programme management. The ratio ( $I_3$ ) of all implemented outputs to those initially programmed amounted to 101 per cent with three departments attaining implementation rates as high as 153, 175 and 291 per cent, respectively. This indicates a strong ability of programme managers to respond well to unforeseen programmatic demands and mobilize resources efficiently to attain high rates of programme delivery.

69. The analysis of the utilization of resources points out the strong emphasis in the Organization's work on development activities and humanitarian assistance, which accounted for 74 per cent of total reported work-months, as well as considerable strengthening of its operational activities. The latter is reflected in the 77 per cent increase over 1998-1999 in the amount of work-months utilized for non-quantifiable outputs (the majority of which were of an operational nature) and in the increase of their share in the total work-months from 30 per cent in 1998-1999 to 42 per cent in 2000-2001.

70. Considerable effort is still required to muster sufficient expertise in translating programmatic goals into clear and comprehensive indicators of expected accomplishments, achievement and accomplishments realized. The degree of such expertise varies widely between programmes and even within different parts of the same programme. OIOS believes that intensive and focused training is necessary to

raise this competence throughout the Secretariat. Only with such consistent effort will a more structured and more informative qualitative assessment of programme performance become a common standard. OIOS hopes to highlight and disseminate best practices in performance monitoring to strengthen its use as a cogent tool of managerial decision-making by all organizational entities.

71. With the introduction of results-based budgeting, as approved by the General Assembly in its resolution 55/231, by which objectives, expected accomplishments and indicators of achievement are articulated in programme budgets prior to implementation of activities, as a guide for the direction of the work of the Organization, the importance of keeping good records for measuring expected accomplishments at the close of a biennium has been further reinforced. Results-based budgeting, as a management tool for focusing on expected accomplishments before, during and after budget implementation, will facilitate improved programme monitoring and evaluation as a basis for performance measurement.

72. It is expected that implementation of the programme budget for the biennium 2002-2003, the first biennium to fully incorporate the concepts of results-based budgeting, will lead to better fulfilment of requirements for facilitating Member States in determining the effectiveness of the work of the Organization. In this connection, OIOS and the Office of Programme Planning, Budget and Accounts will be working closely to harmonize and streamline efforts to address the question of improving the Organization's implementation of legislative mandates, bearing in mind the interrelationships between the elements of the programme planning, budgeting, monitoring and evaluation cycle and in full compliance with the PPBME. An example of such collaboration will be the conduct of training workshops during 2002-2003 on implementation of results-based budgeting, with particular emphasis on data collection for measuring the indicators in order to determine whether or not the expected accomplishments have been achieved.

#### *Notes*

<sup>1</sup> As requested by the General Assembly in section II, paragraph 4, of its resolution 55/234 of 23 December 2000.

<sup>2</sup> *Official Records of the General Assembly, Fifty-fifth Session, Supplement No. 16 (A/55/16)*, paras. 21 and 22.

<sup>3</sup> The total number of outputs includes programmed outputs plus additions (legislative and by Secretariat).

<sup>4</sup> These include outputs initially programmed in the biennial budget, those carried over from the previous biennium and those added by legislation.