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# **Regulations and Rules Governing Programme Planning, the Programme Aspects of the Budget, the Monitoring of Implementation and the Methods of Evaluation**

**SECRETARY-GENERAL'S BULLETIN**



**UNITED NATIONS**

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## SECRETARY-GENERAL'S BULLETIN

To: Members of the staff

Subject: REGULATIONS AND RULES GOVERNING PROGRAMME  
PLANNING, THE PROGRAMME ASPECTS OF THE BUDGET, THE  
MONITORING OF IMPLEMENTATION AND THE METHODS OF  
EVALUATION

The present bulletin contains the complete text of Regulations of the United Nations Governing Programme Planning, the Programming Aspects of the Budget, the Monitoring of Implementation and the Methods of Evaluation as adopted by the General Assembly (resolution 37/234) and the corresponding Rules formulated by the Secretary-General. These Regulations are the legislative directives established by the General Assembly governing the planning, programming, monitoring and evaluation of all activities undertaken by the United Nations, irrespective of their source of financing. The corresponding Rules promulgated herein are issued pursuant to General Assembly resolutions 37/234 and 38/227. 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.



Javier PÉREZ de CUÉLLAR  
*Secretary-General*



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Glossary of terms



## **PREAMBLE**

1. The planning, programming, budgeting, monitoring and evaluation cycle established by the United Nations by decisions of the General Assembly aims at the following:

(a) To subject all programmes of the Organization to periodic and thorough reviews;

(b) To afford an opportunity for reflection before choices among the various types of action possible are made in the light of all existing conditions;

(c) To associate in that reflection all participants in the Organization's actions, especially Member States and the Secretariat;

(d) To assess what is feasible and derive from this assessment objectives which are both feasible and politically acceptable to Member States as a whole;

(e) To translate those objectives into programmes and work plans where the responsibilities and tasks of those who are to implement them are specified;

(f) To indicate to Member States the resources needed to design and implement activities and to ensure that those resources are utilized according to legislative intent and in the most effective and economic manner;

(g) To provide a framework for setting priorities among activities;

(h) To establish an independent and effective system for monitoring implementation and verifying the effectiveness of the work actually done;

(i) To evaluate periodically the results achieved, with a view either to confirming the validity of the orientations chosen or to reshaping the programmes towards different orientations.

2. In pursuance of the above aims, the following instruments are to be utilized in the Organization:

(a) The introduction to the medium-term plan and the medium-term plan itself, whereby orientations are given to the Organization's activities;

(b) The programme budget and the programme performance report, where the Secretariat is committed to precise work plans involving delivery of output and where implementation thereof is monitored and reported;

(c) The evaluation system, which allows for continuing critical review of achievements, collective thinking thereon and formulation of subsequent plans.



# **REGULATIONS AND RULES GOVERNING PROGRAMME PLANNING, THE PROGRAMME ASPECTS OF THE BUDGET, THE MONITORING OF IMPLEMENTATION AND THE 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.***

### ***Rule 101.1***

(a) These Rules are promulgated in accordance with the provisions of the Regulations Governing Programme Planning, the Programme Aspects of the Budget, the Monitoring of Implementation and the Methods of Evaluation. They shall govern the planning, programming, monitoring and evaluation of United Nations activities, except as may otherwise be provided by the General Assembly or specifically exempted by the Secretary-General. Such cases will be brought to the attention of the General Assembly. The Programme Planning and Budgeting Board, on behalf of the Secretary-General, shall be responsible for the oversight of the application of these rules.

(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.

(c) Due consideration shall be given in the planning, programming, monitoring and evaluation process to the specific nature of the varied activities of the Organizations, some of which may arise from events that cannot be foreseen or planned, bearing in mind, in particular, the responsibilities of the Security Council under the Charter of the United Nations.

## **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.*

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

**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 instruments referred to in regulation 2.1 above 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.*

#### *Rule 102.2*

The Secretary-General shall establish a timetable in order to guarantee the submission of the proposed medium-term plan and its revisions to the Committee for Programme and Co-ordination, in accordance with the six-week rule, and to the Advisory Committee on Administrative and Budgetary Questions no later than by the end of April of the year preceding the budgetary period.

### **ARTICLE III. MEDIUM-TERM PLAN**

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

#### *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 and offices (as defined in 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 Commit-*

*tee 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 programmes 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. The medium-term plan shall clearly identify new activities.*

#### *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 an 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) Unless it mandates continuing functions of the Organization, 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.*

#### *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. Indicators of achievement should be given where possible.

(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 biennia covered by the plan will be prepared; the programme elements and output 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.*

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

#### *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 objective, 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 according to the type and nature of activities; to this end a distinction shall be made between substantive and servicing 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.*

**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) The subprogramme structure of the programme budgets for the biennia 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.
- (d) For substantive activities:
  - (i) Each major programme shall contain an introductory narrative describing the relation of planned activities to the overall strategy reflected in the decisions of the General Assembly for the medium-term period and the rationale for selecting the objectives and the subprogrammes intended to attain them. Such an analysis should take into account the situation in the sector in question, the problems which had been identified and the progress made by the international community towards solving these problems. The

narrative shall describe the actions expected from both Member States and international organizations, as well as the linkages with other major programmes.

- (ii) Each programme shall contain an introductory narrative describing general orientation and main features, and, where available, the recommendations of intergovernmental organs regarding the relative priorities of its constituent subprogrammes.
  - (iii) Unless provided otherwise in subparagraph (v) below, the subprogramme shall be the main unit of analysis, review and evaluation in the United Nations planning and programming system.
  - (iv) The subprogramme structure shall be based on objectives rather than on the internal administrative structure of the Secretariat unit responsible for the programme.
  - (v) Activities in fulfilment of continuing functions of the Organization, arising from provisions of the Charter, particularly in the political and related areas pertaining to the maintenance of international peace and security or recognized as such in their original mandates, or in the Secretary-General's bulletin establishing the terms of reference of the competent Secretariat unit, may not necessarily require planning at the subprogramme level. They may be adequately planned along the lines provided for in subparagraph (e) concerning servicing activities.
- (e) For servicing activities:
- (i) The format of the medium-term plan proposals shall be by organizational unit and by function; a list of established functions shall be provided in the instructions issued by the Secretary-General, as referred to in rule 103.1.
  - (ii) The functions shall be such as to allow for a clear definition and measurement of their resource input and the corresponding delivery of services.
  - (iii) The planned objectives shall indicate:
    - (a) Expected changes in nature, quality and quantity of services to be delivered;
    - (b) Expected changes in the methods and technology of production of the services.
  - (iv) Changes in quantity of services expected to be delivered shall be related whenever possible and relevant to changes in substantive activities to be serviced.

**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.*

*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.*

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

**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.*

**Regulation 3.11:** *The medium-term plan shall be revised as necessary 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 proposed 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.*

*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 the heads of departments and offices 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) 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, if possible during the regular cycle of their meetings 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 proposed medium-term plan in accordance with their terms of reference.*

#### *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 departments and offices, a draft of their portions 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;
- (iii) The redrafted plan reflecting those recommendations where appropriate.

(e) When all specialized intergovernmental reviews have been completed and the above-mentioned documents received, the plans will be adjusted to incorporate changes needed to ensure coherence, improve co-ordination and avoid overlap. The formulation of the proposed medium-term plan shall be supervised by the Programme Planning and Budgeting Board. 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 as a single document.

**Regulation 3.13:** *The participation of sectoral, functional and 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 activities in the medium-term plan shall be co-ordinated with those of the concerned specialized agencies through prior consultations.*

#### *Rule 103.13*

(a) To ensure that all intergovernmental organs concerned 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.*

**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 or to the specific character of servicing activities. Such priorities shall be based on the importance of the objective to Member States, the Organization's capacity to achieve it and the real effectiveness and usefulness of the results.*

**Regulation 3.16:** *Intergovernmental and expert bodies shall, when reviewing the relevant chapters of the proposed 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, when making recommendations, and the Secretary-General, when making proposals on programme priorities, shall take into account the views of the above-mentioned bodies.*

#### *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.*

**Regulation 3.18:** *Priorities, as determined by the General Assembly, in 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 adopted 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.*

*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.*

*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 Introduction 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.*

*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 by intergovernmental decision.*

#### *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 work months, travel, consultants and other relevant objects 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 narrative describing servicing 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, output and users. The proposed programme budget shall be preceded by a statement explaining the main changes made in the content of the programme and the volume of resources allocated to them in relation to the previous biennium and indicating the progress envisaged for all activities with time-limited objectives in implementing the plan. 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 and such further annexes or statements as the Secretary-General may deem necessary and useful.*

#### *Rule 104.4*

1. The programme narratives for substantive activities shall conform to the following standards:

(a) A programme element shall consist of activities within a subprogramme addressing a specific and well-circumscribed subject-matter and shall be designed to produce one or a few final output per biennium. Clearly identified final output to be delivered to Member States or other designated external users during the biennium shall be listed under each programme element.

(b) All final output 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 final output:

- (i) Substantive servicing of intergovernmental meetings, including support of negotiations;
- (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 output.

(d) Each citation shall specify:

- (i) Category of final output;
- (ii) Content of final output;
- (iii) Primary user(s);
- (iv) Completion date.

(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.

2. The programme narratives for servicing activities shall identify the services to be delivered by nature and quantity. Wherever possible, standard categories of services shall be established.

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

#### **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 output included in the previous budgetary period 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, each category representing approximately 10 per cent of the resources requested.*

#### **Rule 104.6**

In their budgetary submissions:

(a) Heads of departments and offices shall provide the Secretary-General with a list of programme elements and output 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 at least five years old, unless a relevant intergovernmental body 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; if such elements are to be included in the budget, justification must be provided;
- (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 departments and offices shall provide in respect of each programme an indication of:

- (i) Those programme elements 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.

**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.*

#### **Rule 104.7**

(a) Heads of departments and offices 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 submissions 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 proposed programme budget, containing its programme recommendations and its general 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. The reports of the Committee for Programme and Co-ordination and the Advisory Committee on each section of the proposed programme budget shall be considered simultaneously by the General Assembly.*

**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.*

#### *Rule 104.9*

It shall be the responsibility of the head of the department concerned, in consultation with the Office of Financial Services and, as required, with the Programme Planning and Co-ordination Office of the Department of International Economic and Social Affairs to ensure that a report on programme budget implications, as required by regulation 4.9, is submitted to the General Assembly prior to its adoption of any decision. The report should integrate programme, financial and administrative implications of draft resolutions and include the following information:

- (a) Modification of the work programme necessitated should the proposed draft resolution, recommendation or decision be adopted, listing additions, changes or deletions to programmes, subprogrammes and programme elements;
- (b) Indications, where applicable, of similar or closely related work being carried out elsewhere in the Secretariat and, if possible, indications of related activities being conducted in the specialized agencies of the United Nations system;
- (c) In cases where it is proposed to finance such additional activities totally or partly by redeployment of existing resources, an indication of the output, programme elements or subprogrammes in the current work programme that would be changed, curtailed or terminated in consequence.

### **ARTICLE V. MONITORING OF PROGRAMME IMPLEMENTATION**

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

**Regulation 5.2:** *An entire subprogramme shall not be reformulated nor a new programme introduced in the programme budget without the prior approval of an intergovernmental body and the General Assembly. The Secretary-General may make such proposals for review by*

*the relevant intergovernmental body if he considers that circumstances so warrant.*

**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;
- (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 and offices shall submit biennial programme performance reports for their departments at such time and in such detail as the Secretary-General may prescribe;
- (ii) The 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 output 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.



## 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 output, postponing delivery of output to the following biennium or terminating programme elements or output, 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 output 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, to terminate a subprogramme or to introduce a new subprogramme shall:

- (i) Propose such changes through the Central Monitoring Unit to the Programme Planning and Budget Board, accompanied by a statement of programme budget implications, as provided for in rule 104.9 (c);
- (ii) Obtain approval by a competent intergovernmental organ prior to implementation.

(d) Subject to the procedures established under (a), (b) and (c) above, changes in the programme of work mandated by a competent intergovernmental organ which can be implemented within existing resources may be implemented by the department or office concerned with the concurrence of the Programme Planning and Budgeting Board.

(e) Changes in the programme of work requiring net additional resources may not be implemented before they are approved by the General Assembly.

**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.*

## ARTICLE VI. EVALUATION

**Regulation 6.1:** *The objective of evaluation is:*

- (a) *To determine as systematically and objectively as possible the relevance, efficiency, effectiveness and*

*impact of the Organization's activities in relation to their objectives;*

- (b) *To enable the Secretariat and Member States to engage in systematic reflections, with a view to increasing the effectiveness of the main programmes of the Organization by altering their content and, if necessary, reviewing their objectives.*

*Rule 106.1*

(a) The intergovernmental objectives of a programme or subprogramme shall be the standards against which its relevance, effectiveness and impact will be assessed. As a necessary component of programme evaluation there shall be an assessment of the relevance, quality and usefulness of individual output and the effectiveness of the output in achieving the time-limited subprogramme secretariat objective.

(b) Evaluation shall utilize baseline data and indicators of progress accomplishment to assess programme impact in terms of the intergovernmental objectives. An attempt shall be made to identify and analyse the factors associated with effectiveness and impact.

(c) Evaluation findings shall be communicated to Member States through intergovernmental bodies and to heads of departments and offices, in order to facilitate reconsideration of existing mandates, policies, strategies and objectives, the substantive content of programmes and its utility to the user(s).

**Regulation 6.2:** *All activities programmed shall be evaluated over a fixed time period. An evaluation programme as well as a timetable for intergovernmental review of evaluation studies shall be proposed by the Secretary-General and approved by the General Assembly at the same time as the proposed medium-term plan.*

*Rule 106.2*

(a) All programmes shall be evaluated on a regular, periodic basis. At the programme or 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.

(b) The evaluation system shall include periodic self-evaluation of activities directed at time-limited objectives and continuing functions. Programme managers shall, in collaboration with their staff, undertake self-evaluation of all subprogrammes under their responsibility:

- (i) The timing, scope and other characteristics of a self-evaluation study shall be determined by the nature and characteristics of the activities programmed and other relevant factors;

- (ii) Methodological support shall be provided by the Central Evaluation Unit in connection with the preparation of self-evaluation reports;
  - (iii) Evaluation plans, which are required for each new and ongoing subprogramme, shall be prepared by programme managers and shall contain the following elements: a definition of the purpose of the evaluation and the anticipated application of evaluation findings; the evaluation methodology to be employed; the characteristics of the evaluation (e.g., scope of coverage, period covered); measures of change (e.g., nature of the progress and impact indicators to be employed); means of information collection; administrative arrangements and resource requirements.
- (c) In addition to self-evaluation, the evaluation system shall include *ad hoc* in-depth evaluation of selected programme areas or topics conducted internally or externally at the request of intergovernmental bodies or at the Secretariat's initiative. In determining whether an in-depth evaluation should be carried out, the results of self-evaluation shall be taken into account.
- (i) The evaluation proposals submitted by the Secretary-General to the General Assembly for its approval shall include a list of programmes or portions of programmes to be covered on a regular, periodic basis by in-depth evaluations and a timetable indicating the years in which the related reports are due.
  - (ii) In-depth evaluation reports to be submitted for consideration by the Committee for Programme and Co-ordination or by the intergovernmental or expert organs directly concerned with each programme, shall be prepared by the central evaluation unit, in collaboration with the programme managers concerned and, if necessary, competent experts in the fields involved. The Joint Inspection Unit may also assist in the preparation of such reports.
  - (iii) At least one in-depth evaluation study shall be undertaken each year. Such a study shall normally be completed within two years.

**Regulation 6.3:** *Evaluation shall be internal and/or external. The Secretary-General shall develop internal evaluation systems and seek the co-operation of Member States in the evaluation process, as appropriate. Evaluation methods shall be adapted to the nature of the programme being evaluated. The General Assembly shall invite such bodies as it sees fit, including the Joint Inspection Unit, to perform ad hoc external evaluations and to report on them.*

#### Rule 106.3

- (a) Self-evaluation shall be conducted by programme managers in compliance with guidelines established by the central evaluation unit, which will be responsible for

quality standards, methodology, the adaptation and transfer of evaluation information and *ad hoc* studies.

(b) The United Nations programme categories shall be used as a reference, but the primary focus of self-evaluation shall be on the subprogramme and programme elements.

(c) Self-evaluation reports shall be concerned with effectiveness and impact of subprogrammes. In them, programme managers shall:

- (i) Assess the quality and relevance of the output of each subprogramme and their usefulness to the user(s);
- (ii) Compare the situation existing at the start of the implementation of each subprogramme and what remains to be done in order to ascertain the extent to which a subprogramme has attained its objective;
- (iii) Analyse the extent to which the objectives of the programme have been attained and the impact of the totality of subprogrammes implemented in the context of the programme;
- (iv) Identify, in the light of such findings, other possible designs for the programme, that is, alternative subprogrammes which might be considered in order to improve performance in attaining the programme objectives.

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

(e) The programme evaluation system is separate and distinct from the personnel performance evaluation system. Since the programme evaluation system is concerned with programme effectiveness and impact rather than the performance of individual staff members, no information shall be transmitted between the two systems.

**Regulation 6.4:** *The findings of intergovernmental review of evaluations shall be reflected in subsequent programme design, delivery and policy directives. To this end, a brief report, summarizing the conclusions of the Secretary-General on all evaluation studies conducted in the established evaluation programme shall be submitted to the General Assembly at the same time as the text of the proposed medium-term plan.*

#### *Rule 106.4*

(a) Evaluation findings in respect of ongoing or continuing activities shall be directly and immediately communicated to those responsible for programme planning and management to permit mid-course correction, if required.

(b) The evaluation system shall include the monitoring of action taken on the basis of evaluation conclusions and recommendations.

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

(d) The reporting of evaluation results shall include a statement on the comprehensiveness and rigour of the evaluation process; it shall clearly differentiate between objective evidence, professional technical judgement and political judgements by Member States, and all its conclusions and recommendations shall be supported by such evidence and judgements. The recommendations contained in the report shall be unambiguous and capable of implementation.

(e) Intergovernmental or expert committees directly concerned with each programme or major programme shall formulate, in connection with evaluation reports submitted to them, recommendations concerning methods of implementation and shall suggest, where appropriate, a new design for the programme, resulting in a new set of subprogrammes. These recommendations shall be transmitted to the Committee for Programme and Co-ordination for consideration and, in the case of programmes concerning servicing activities, to the Committee for Programme and Co-ordination and the Advisory Committee on Administrative and Budgetary Questions.

(f) After considering the recommendations of the competent intergovernmental or expert organs and the recommendations contained in the reports prepared by the central evaluation unit, the Committee for Programme and Co-ordination shall propose to the Economic and Social Council and to the General Assembly measures which may relate to:

(i) Changes in procedures used in implementing ongoing programmes;

(ii) The redefinition of the content of programmes and subprogrammes.

(g) Measures thus proposed shall be considered either in connection with the formulation of a new plan after study by the intergovernmental bodies concerned of the report of the Secretary-General envisaged in regulation 6.4, summarizing his conclusions on the relevant evaluation studies, or in connection with a biennial revision of the plan as envisaged in regulation 3.11.

(h) A summary report shall be prepared periodically to include findings of individual reports and general conclusions on the design of the programmes reviewed in order to assist in the preparation of the medium-term plan.

## ANNEX

### Glossary of terms\*

*Activity.* The term is used in two senses depending on the context. In a general sense the term is used to denote a programme, subprogramme, programme element or project. In a narrower sense, it refers to the action taken to transform inputs into outputs.

*Appraisal.* An appraisal is the critical assessment of the relevance, feasibility and potential effectiveness of an activity before a decision is made to undertake it, as distinct from "review and appraisal" (see definition below).

*Central secretariat unit.* Any department, office or division in the Secretariat, regardless of geographic location, that, in substantive areas, is responsible for global as distinct from regional or subregional issues or, in administrative or managerial areas, has responsibilities involving more than one department.

*Common services.* Common services are either conference services rendered to Member States or administrative services rendered by a single unit to more than one department or office.

*Competent intergovernmental organ.* An intergovernmental organ is competent to provide legislative mandates to the Secretariat in the areas covered by its terms of reference as set out in intergovernmental resolutions or decisions, normally those establishing its existence. Such competence may be global, regional, sectoral or functional.

*Delivery of output.* An output is delivered when the service is completed or when the products resulting from a programme activity are made available to the intended primary user(s): e.g., in the case of services to a session of an intergovernmental meeting, when the final report of the session has been circulated to Member States; in the case of a report or a technical publication, when these have been circulated to Member States, interested Governments or other primary users; in the case of a sales publication, when it is placed on sale; in the case of a technical co-operation project, when the final report following completion of the project has been received by the recipient country; in the case of a grant, when the recipient has received the final

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\* The glossary includes programming and planning terms previously annexed to bulletin ST/SGB/204 of 4 September 1984 and terms included in annex I to the United Nations Evaluation Manual, suitably revised. For purposes of evaluation, key term definitions are based on the report of the Joint Inspection Unit entitled "Glossary of Evaluation Terms" (JIU/REP/78/5, A/34/286), as approved by General Assembly resolution 34/164 of 17 December 1979.

payment; and in the case of a fellowship, when the recipient has completed the course of study.

*Effectiveness* is the extent to which an activity achieves its stated objectives.

*Efficiency* is measured by how well inputs are converted into outputs.

*Evaluation* is a process that seeks to determine as systematically and objectively as possible the relevance, effectiveness and impact of an activity in the light of its goals and objectives.

*Ex post evaluation* is the assessment of the relevance, effectiveness and impact of an activity carried out some time after its completion.

*External evaluation* is performed by entities outside the United Nations Secretariat. The General Assembly invites such bodies as it sees fit, including the Joint Inspection Unit, to carry out this type of evaluation.

*External factors* are events and/or conditions that are beyond the control of those responsible for an activity but that have an influence on the success or failure of the activity. They may be anticipated in the form of assumptions or they may be unanticipated.

*Final output.* In the United Nations, a final output is a product or service delivered by the Secretariat to users external to the secretariats of the organizations of the United Nations system. All Secretariat work needed to generate the final output is intermediate activity.

*Impact* is an expression of the changes produced in a situation as the result of an activity that has been undertaken.

*In-depth evaluation* is undertaken by the Central Evaluation Unit at the request of the Committee for Programme and Co-ordination (CPC), as endorsed by the General Assembly, or of other intergovernmental bodies. It may also be undertaken by evaluation units in regional and sectoral secretariats at the request of their governing bodies. This type of evaluation may also be initiated by the Secretary-General for a particular programme as the need arises. In-depth evaluation focuses on the programme. On the basis of studies conducted by the relevant evaluation unit for their consideration, CPC, intergovernmental bodies at the regional and sectoral levels, other technical intergovernmental bodies and appropriate expert bodies concerned review entire programmes or the entire work of an entity in depth. The objective is to make recommendations that would help the Economic and Social Council and the General Assembly to formulate decisions for increasing the overall relevance, effectiveness and impact of the programmes of the United Nations in the context of the intergovernmental goals and policies.

*Indicators* are measures of the results or changes that an activity is intended to produce. They are designed to provide an objective and specific scale against which the activity's progress towards its objectives, the actual achievement of its objectives and the impact of such achievement can be determined.

*Inputs* are goods, services, personnel and other resources provided for the purpose of producing an activity's outputs and achieving its objectives.

*Intended primary users* are those for whom an output is designed and to whom it is directed.

*Intergovernmental objective.* An intergovernmental objective specifies a desirable future situation, the characteristics of which have been set out in agreements, declarations, resolutions or decisions of intergovernmental organs, and which cannot be achieved by Secretariat action alone but requires action by Member States, individually or collectively.

*Intergovernmental organ.* An organ is intergovernmental if its membership consists of Governments. Thus, United Nations bodies consisting of persons serving in their individual capacities are not intergovernmental organs, even if the persons concerned were nominated by Governments or elected by an intergovernmental organ.

*Internal auditing* is a process that seeks:

- (a) To determine whether financial transactions are in compliance with General Assembly resolutions, financial and staff regulations and rules, and administrative instructions;
- (b) To assess the operational efficiency and economy with which financial, physical and human resources are utilized;
- (c) To review programmes and activities financed from regular and extra-budgetary resources to compare implementation of outputs with the commitments set out in the programme budget.

*Internal evaluation* covers both self-evaluation (see definition below) and in-depth evaluation (see definition above).

*Legislative mandate.* A legislative mandate is a request for action addressed to the Secretary-General or an executive head acting on his behalf in a resolution or decision adopted by a United Nations intergovernmental organ.

*Linkage* refers to the logical connection or relationship between the different components of a programme, e.g., between: inputs and outputs; outputs and the programme element; programme elements and the subprogrammes; subprogrammes and the programme; objectives and the problem addressed.

*Monitoring* see *programme monitoring*.

*Objectives* are the purposes and aims of an activity, representing the desired state that the activity is expected to achieve. Time-limited objectives are subsidiary or specific objectives that are to be achieved by a given date, usually within the medium-term plan period.

*On-going evaluation* is the examination of an activity during its implementation to assess its continued relevance and progress towards the achievement of its objectives.

*Outputs* are specific products or services, e.g., training, servicing of meetings, reports, publications or advisory, editorial, translation and security services, which an activity is expected to produce in order to achieve its objectives. Activities may also have intermediate products, which in turn may serve as inputs to other activities or final outputs.



*Priority.* A priority is a preferential rating for the allocation of limited resources. Thus activities with highest priority are those that would be conducted even if total resources were significantly curtailed; activities with lowest priority are those that would be curtailed or terminated if all anticipated resources were not available or if activities with higher priority had to be commenced or expanded.

*Programme.* A programme consists of the activities within a major programme undertaken by a department, office or division, e.g., work in the Economic and Social Commission for Asia and the Pacific on transport, communications and tourism in Asia and the Pacific.

*Programme element.* A programme element consists of activities, within a subprogramme, addressing a specific and well-circumscribed subject-matter and is usually designed to produce one or a few final outputs per biennium, such as a publication, a meeting or services of an advisory nature, e.g., within the traffic facilitation subprogramme in the Economic Commission for Europe, activities related to transport operations.

*Programme manager.* A programme manager is the Secretariat official responsible for the formulation and implementation of one or several programmes or subprogrammes as defined above, normally the head of an organizational unit. For the purposes of self-evaluation, programme managers also refer to those who are involved in the implementation of subprogrammes, namely the head of a division, branch or section.

*Programme monitoring.* Programme monitoring is the periodic determination by the head of a department or office, or by the Central Monitoring Unit, of the actual delivery of final output in comparison with the commitments for the delivery of output set out in the programme budget as approved by the General Assembly.

*Programme strategy.* A programme strategy is a sequence of means of action to be undertaken for the purpose of achieving an objective.

*Programme structure.* The programme structure is the set of programmes within a major programme, of subprogrammes within a programme or programme elements within a subprogramme.

*Project.* A project is an undertaking that is designed to achieve certain specific objectives within a given budget and specified period of time. In the United Nations context, it generally refers to a technical co-operation activity.

*Relevance* is the extent to which an activity or strategy is pertinent or significant to achieving its objective and the extent to which the objective is significant to the problem addressed. Relevance is viewed both in the context of the activity's design as well as in the light of the factual situation at the time of evaluation.

*Review and appraisal* represents the process of assessing the progress in implementing an international development strategy, or a plan of action relating to a world conference on a major topic. Its aim is to identify shortfalls in the achievement of goals and objectives and the factors which account for them and to recommend positive measures including new goals, objectives and policies as needed. Review and appraisal

is undertaken at many levels: (a) at the Secretariat level: departments, offices, regional and sectoral secretariats; (b) specialized agencies; (c) Member States; and (d) intergovernmental bodies, including regional commissions, sectoral and functional bodies, the Economic and Social Council and the General Assembly.

*Secretariat objective.* A Secretariat objective specifies the contributions of the Secretariat to the achievement of an intergovernmental objective.

*Self-evaluation* is undertaken by programme managers primarily for their own use. Self-evaluation focuses on the subprogramme and can be applied to all sectors including political, legal, humanitarian, economic and social affairs; public information, and common services. As an integral part of the management process, its design and conduct are formulated at the planning and programming stages in conjunction with that of the relevant subprogramme. Findings are applied by the programme managers to make necessary adjustment to implementation or are fed back into the planning and programming process in the form of proposed changes in design and/or orientation of the subprogramme or project concerned. While the results of self-evaluation are not normally reported at the intergovernmental level, the conclusions drawn from the analytical information generated for various subprogrammes and projects within a programme can be used as inputs for assessing the programme as a whole.

*Subprogramme.* A subprogramme consists of all activities within a programme aimed at achieving one or a few closely related objectives as set out in the medium-term plan, e.g., work in the Economic Commission for Europe directed towards traffic facilitation within the programme on transport, communications and tourism in Europe.