Rbm-Enhanced Policy Procedures in Unesco: Reflections on a United Nations' Management Reform Strategy¹

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Abstract: This paper examines the impact of RBM (Results-Based Management) on the process of policy planning, debate and reporting in the United Nations System with focus on UNESCO. By a desk review of secondary data from literatures on RBM application in and outside the UN and UNESCO, as well as primary information from interview of UNESCO officials, it appraises progress already made in RBM application and offers suggestions on possible focus of action for improved programme delivery at country levels. RBM has grown to become an important management tool in fostering strategic planning, programme monitoring and evaluation in the UN, particularly under its on-going system wide reform. Although as an application, the tool works hand in hand with other existing system of programming and strategic management and caution is being exercised so that it does not become a singled-out road map, it is viewed as effective for ensuring that the impact of the Organization is more felt in Member States. For RBM's overall successful application, inclusiveness, ownership and firm understanding of rules of engagement by every stakeholder is necessary. It is to this end that in UNESCO, following the wide campaign on the RBM approach to Secretariat staff and its progressive impact, Member States as decision makers and partners are presently encouraged, through their respective Permanent Delegations and National Commissions, to undergo the RBM training, while the Secretariat ensures a systematic adherence of participants in policy debates to its application by streamlining its two major planning and policy documents -- the Medium Term Strategy (C/4) and Draft Programme and Budget (C/5) – these are the bases upon which the programme and budget of the organization is planned, and around which policy debates at the Intergovernmental Bodies are weaved. However, as promising as these actions are, the dependence of the UN as a body on Member States and ambiguity in the interrelationship of the Secretariat and the aforementioned often makes the responsibility of drive in the same direction rather challenging. It is not wise to envisage any exception in the case of RBM application. The research therefore outlines the major trends on this subject at UNESCO and draws perspectives on the future of UN-Member States coalition towards the achievement of the set objectives for RBM's introduction.

Keywords: Results-based management, strategic planning, development policy

¹DISCLAIMER: Issues and opinion expressed in this research are personal to the writer. They have no bearing on any organization to which he is affiliated.

1. INTRODUCTION

1.1 BACKGROUND

It was Josep Xercavins I Valls (2009) who asked the question: "how should the effort to boost the United Nations' effectiveness be viewed: as a refinement of institutional machinery or a test of international cooperation?² – Indeed, the matter should be viewed in both dimensions. The present UN system-wide reform that started in 1997 was targeted at making the Organization more relevant in results delivery to its Member States. It should be recalled, that before the bid for another reform in the 90s³, the very nature of policy making had contributed to lack of concrete achievements or lack of a viable medium of measuring achievements⁴ – this, ascertained, invariably gave rise to the perception of a low-impact UN, not, in the least, accountable to its stakeholders. To better serve Member States, functionaries responsible for the running of the UN Secretariat and in those of its Agencies must refine institutional machineries and left to Member States as decision makers and stakeholders in the UN, the challenge of taking ownership of the reform by making effort to consolidate the Secretariat's action must remain a devoir.

Addressing the deficiency in results delivery necessitates a systemic reform at the level of policy planning and intervention of the governing bodies which reflects outcome at the end point of programme execution. Relaying policy to field reality also called for the adoption of a decentralization policy aimed at increasing the visibility and effectiveness at country level to create a scenario where programme, policy planning and implementation will give priority to local initiative⁵, and increased technical and professional support, by augmenting the presence of professionals in the fields. RBM came as part of the package to reinvigorate business sense in management at the Secretariat and field offices, on one hand, and to raise the quality of objectivity and encourage benchmarking – shifting priority from budget to results and quality of the administrative process of programmes to measurable real impact of actions at local levels of service delivery, on the other.

In UNESCO, RBM was introduced in 1999. Whereas until 2004, a study reported that its internalization and harmonization was still a challenge within some agencies in the UN

³Reform in the UN is not limited to the one that started in 1997 alone. Prior to that there has been series of reforms by past UN Secretaries General. For example Boutros Boutros-Ghali undertook a number of reforms at the beginning of his term in 1992, including reorganizing the Secretariat.

⁴Ibid. See also David Shorr (2006), *Innovative Approaches to Peace and Security from the Stanley Foundation – UN Reform in Context*, The Stanley Foundation, Policy Analysis Brief, February 2006, p 1 ⁵International Atomic Energy Agency (IAEA) (2010), *Focussing on Results Based Management for Technical Cooperation, IAEA, p 1*

²See Josep Xercavins I Valls (2009), *the United Nations: Reform or Reform*, Catalan International View- A European Review of the World, Issue 4, September 2009, p 2

family itself⁶, recent testimonies, evident in programmes and policy documents, as well as reports of the Executive Board and Resolutions, showed improved comprehension of the concept and its application. It also appears that high-level political class on UNESCO's governing bodies is beginning to understand the rules of engagement and the perceived effectiveness of RBM principles. These are upward looking progress, which hopefully will manifest in firmer commitment to programme accomplishment. The recorded progress so far has not been without a hitch and at present, priority is focused on taking RBM from programming to reporting, monitoring implementation. In this concretising process, involvement of Member States in ownership and engagement has become very important in order to carry the objectives through. What does RBM stands for and how is it applied in the UN? How has its application evolved in UNESCO? What further steps must the UN take to keep-up the progressive rhythm towards the common objectives? This research strives to respond to these issues.

1.2 LITERATURE REVIEW

Beginning from the mid 1990s, the need for a more viable UN became an inescapable topic in international relations spurring focus of many academic and institutional writings on loss of confidence in the organization and how best to revitalize its relevance⁷. Jorge Nieto Montesinos may have captured the whole picture when he said: "for many First World voices, United Nations operations are little more than a "miasma" of corruption and waste in urgent need of a cleanup. A typical assessment is that of Stefan Halper in Policy Analysis: "Existing evidence indicates that corruption and mismanagement go beyond the routine all public-sector enterprises. UN budgets are shrouded in secrecy, and the actual performance of the myriad of bureaucracies is translucent, if not opaque. There is no reliable way to determine whether the various and often competing specialized agencies (at least two dozen UN agencies are involved in food and agricultural policy) are doing their jobs, and many UN activities, even if they are of some value, can be carried out better and more efficiently by other groups. Other activities should not be undertaken at all ... Given the above and all the failed attempts to put things right, even on a limited basis, optimism about meaningful reform may be an exercise in wishful thinking"⁸.

⁶United Nations Joint Inspection Unit (2004), Implementation of Results-Based Management in the United Nations Organizations Part I - Series on Managing for Results in the United Nations System (JIU/REP/2004/6), Prepared by Even Fontaine Ortiz, Sumihiro Kuyama, Wolfgang Münch and Guangting Tang, Geneva 2004, p 5

⁷See for example Edward C. Luck (2003), *Reforming the United Nations: Lessons from a History in Progress*, (ed. *Jean Krasno & Roseann Iacomacci*) International Relations Studies and the United Nations Occasional Papers 2003 No. 1, p 1; Dame Margaret Joan Anstee (2000), *The UN in Crisis?*, The 4th Erskine Childers Memorial Lecture, Action for UN Renewal, 27 June 2000, p 5 ; Thomas G. Weiss (2003), *The Illusion of UN Security Council Reform*, The Washington Quarterly (AUTUMN 2003), p 149; and Peggy Teagle (1997), *UN Futures, UN Reform and the Social Agenda - Social and Economic Rights: a framework for Global Economic Policies*. Retrieved on 13 March, 2010 from http://www.unac.org/en/library/unacresearch/agendasforchange/1997teaglefoster.asp

⁸Jorge Nieto Montesinos (2002), *Global democratic governance and the reform of international institutions*, UBUNTU forum 2nd plenary meeting - March 2002, 32 p; and Stefan Halper, (1996) "A

Others like Thomas G. Weiss⁹, Peggy Teagle¹⁰, Edward C. Luck¹¹, Christian Reus-Smit¹², Marianne Hanson¹³, Hilary Charlesworth¹⁴ and Williammaley¹⁵ wrote with diverse views on the necessity of a UN reform with a scope larger than ever before, while advising on institutional solutions by the community of nations in responding to the challenges posed by realities of a new century.

In essence, the debates around reform led to a unanimous demand for another reform of the UN^{16} , and, following the presentation of a plan of reform by Kofi Anan, the then Secretary General, in 1997, a number of issues ranging from governance and administration at the UN and the relevance of its activities in Member States - financiers, partners and, to a large extent - decision makers in the Organization, were to be addressed¹⁷. It was then necessary to design a transparent process that will be both acceptable to the political class and technocrats at states' levels, as well as international civil servants – staff of the UN- and define clearly what is to be achieved, how to achieve it, with a clear point of reference for progress measurement.

Since the United Nations is a creature of Member States - a diplomatic forum and a channel for whatever actions are agreed - it is poised to remaining as strong, or, as weak as governments want it to be¹⁸. At the Headquarters in New York, Member States called for a reform of the organization by asking the Secretariat to propose ways forward; as they claimed its impacts are not effectively felt at home. This being the case, it must live up to the challenge of producing an acceptable proposal that will meet Member States expectations and also raise the profile of the Organization. Member States also have responsibility of working closely together with the vision, if the set goals for a reform should be met. It is to this end that the system of planning at Headquarters and execution at country levels, which contributed to lack of adapted approaches, and failure at implementation, needed to be reviewed, probably by inversing earlier practices.

Miasma of Corruption: The United Nations at 50," Policy Analysis no. 253, April 30, 1996, http://www.cato.org/pubs/pas/pa-253es.html

⁹Ibid 8

¹⁰Ibid

¹¹Ibid

¹²See Christian Reus-Smit, Marianne Hanson, Hilary Charlesworth and Williammaley (2004), *The challenge of United Nations reform*, Department of International Relations, RSPAS, The Australian National University, p 1-2

¹³Ibid 12, p 3-10

¹⁴Ibid 12, p 11-17

¹⁵Ibid 12, p18-25

¹⁶See Sohail Inayatullah, *UN Futures and Structural Possibilities of World Governance*. Retrieved on 2 February 2010 from http://www.metafuture.org/Articles/unfutures.htm. See also Benjamin Rivlin (1995), *UN Reform from the Standpoint of the United States*, -a Presentation Made at the United Nations University on 25 September 1995, Tokyo, Japan

¹⁷David Shorr (2006), United Nations Reform in Context, Policy Analysis Brief, The Stanley Foundation, p3. See also Robert L. Hutchings (2003), The United Nations and the Crisis of Multilateralism, Keynote Address at the University of Pennsylvania Model United Nations Conference November 6, 2003; and Jeffrey Laurenti (1997), Kofi Annan's UN Reform Measures to Do More with Less, A UNA-USA Assessment of the "Track One" Initiatives, United Nations Association of the USA ¹⁸Ibid

It has been said that "RBM, applied throughout the UN system, helps in: (i) setting-up a coherent programme framework for capacity development activities; (ii) focusing on outcome-level monitoring and evaluation as opposed to project-based micromanagement; and (iii) strengthening the UN's accountability for collective results."¹⁹. RBM planning differs from pure budget focused planning system by prioritising what to be achieved over spending-stricken concerns.²⁰ It comprise of inculcating a mindset of result delivery with the best practical means possible. Ensuring at all times that responsibilities are taken for continuous evaluation of outcome of performance by setting benchmarks, performance indicators through concrete goal-setting and feedback mechanism for achieving against time with less focus on the "nitty gritty" of processes. It is also about building knowledge-base to differentiate between input, output, outcome and results, so as to create room for effective performance. RBM is therefore a method to help reach and assess achievements²¹. It is a life-cycle approach to management that integrates strategy, people, resources, processes and measurements to improve decisionmaking, transparency, and accountability. This approach makes it to improve action towards achieving outcomes, implementing performance measurement, learning and changing, and reporting performance 22 .

1.3 METHODOLOGY

This paper seeks to contribute to the body of research on the most feasible measures to facilitate the effectiveness of the United Nations System in development planning and management parlance, by targeting its most acclaimed management reform tool - RBM. It therefore draws on studies that have explored RBM activities in the Organization, the strategies employed in promoting its applicability, especially in UNESCO, and factors that influence its acceptance and gradual integration as an effective management tool. To this end investigation was based on:

• Desk review of written materials on RBM within and outside the UN system; and

¹⁹Thomas Theisohn (2007), *Towards enhancing the effectiveness of the UN system in supporting capacity development - Background study to the TCPR 2007* -Volume I: Main Report, Final Report 10 August 2007, p.31

p 31²⁰See examples in United Nations, Fifty-fifth session of the General Assembly (Doc: A/55/543), Agenda item 116: *Review of the efficiency of the administrative and financial functioning of the United Nations - Results-based budgeting -Report of the Advisory Committee on Administrative and Budgetary Questions.* See also United Nations, Fifty-Seventh Session of the UN General Assembly (Doc: A/57/474), Agenda Items 112 and 122: *Programme budget for the biennium 2002-2003: Report of the Secretary-General on the activities of the Office of Internal Oversight Services -* Retrieved on 11th May, 2010 at http://www.un.org/Depts/oios/reports/a57_474.pdf

²¹Ibid

²²Treasury Board of Canada, cited in Evan Green, Results-Based Management and EIA: Experiences and Opportunities, Le Groupe-conseil baastel ltée. Retrieved on 11 February, 2010 from http://www.oaia.on.ca/documents/Evan%20Green%20Baastel%20RBM[1].pdf

• Oran interview of UN officials in charge of RBM, mainly at the Bureau of Strategic Planning of UNESCO

UNESCO serves as a case study. Accessible general literatures on RBM, working documents on its application in the UN system-wide and UNESCO, and other policy documents provided secondary data for the desk review. Primary information from interview of selected officials²³ gave room for genuine insight into progress already made and led to suggestions on what should be the next focus of action, to make the application more effective for improved outcome on programme delivery at country level.

This introductory section (1) laid out the background to RBM adoption and the rationale for initiating it. Section 2 provides operational definitions of concepts and historical background of RBM and managing-for-results - this is to develop a common understanding and appreciation, as a basis for engaging in meaningful discussions. The analysis that follows (3 and 4) gives insight into present activities in aligning the tool to enhance focus in the process of policy planning strategy, debate and reporting in UNESCO while 5 examines the synthesis of factors that will influence future progress achievement when combined with on-going activities.

1.4 FINDINGS/RECCOMENDATION

The main conclusions drawn from showcasing RBM application in UNESCO are as follows:

- Of present, UNESCO has achieved progress in institutionalizing the RBM culture. The first step of training of staff members on RBM application is beginning to have its mark. It is therefore suggested that this action be maintained with renewed intensity;
- One of the positive effects of RBM institutionalization is the improvement on the presentation of the two major planning and policy documents in UNESCO, the Medium Term Strategy (C/4) and the Programme and Budget document (C/5). The impact of this in the short run, although limited, is already being felt in the atmosphere and result-orientation of policy discussions. The medium and long term effect is foreseen as a lead to a major breakthrough in the UN reform agenda especially as it concerns decentralization;
- Training and capacity building on RBM provided for Member States' functionaries will harmonize action and create a synergy of increased overall impact of the RBM when combined with progress already made on the presentation of the C/4 and C/5. The rationale is such that it will help build

²³Special thanks to Ms. Othilie du-Souich, RBM and Sister Programme Officer at the Bureau of Strategic Planning, UNESCO.

advisory knowledge bank for officers charged with preparing policy briefs for representatives to the Governing Bodies and increase knowledge of management-for-results in Member States' officials on field work for effective programme implementation and monitoring at country levels;

• For the latter to have its full effect, this training, already being given to National Commissions and Permanent Delegations, should deliberately be extended to main Ministries and Government Agencies in Member States working in the fields of UNESCO's competence, and, as with the Secretariat, it is advisable that UNESCO influence Governments to initiate RBM focal points in these Ministries and Agencies.

2. RBM BACKGROUND AND APPLICATION IN UNESCO

Drawing from business and pure management strategies to meet public institutions and governance needs has been going on for decades. Attempts to break the barrier of bureaucracy and deliver results towards a citizens' sensitive public administration have fostered the practice of different terminologies in public administration all over the world. From the New Public Management (NPM), adopted in the 80s in parts of Europe and Africa, to SISTER (System of Information on Strategies, Tasks and the Evaluation of Results) - widely attributed to public administration in the USA - to mention a few, strategies focusing on administration that goes beyond paper work, policy discussions and bureaucracy into entrenching results and impacts of actions of public servants and politics on real societal challenge, in the quest to increase the lot of electorates, have been coveted by public service apparatus. In reality, the crave for bringing governance to its status quo, by re-establishing the main objectives for which political institutions were created had facilitated the romance of business methods and governance over the years. The so called status quo, as we know, was gradually eroded by unroofed politicking, creeping in of bureaucratic process, lack of commitment or clear vision on programmes and projects and inadequate medium of evaluating results and outcome of political actions.

RBM has come a long way with its relevance as remedy in the series of adopted tools of driving politics into management for results. It has been described as a management strategy focusing on performance and on achievement from outputs to outcomes and impacts.

From 1960s to 1970s, the private sector had used RBM to enhance management by objectives. It was adopted in the process of public sector reform in OECD countries between 1980s and 1990s in response to budget deficits, lack of public confidence in government and demands for greater transparency and accountability²⁴." RBM's focus on performance issues and on achieving results, emphasis on participation and teamwork and budget processes and financial systems embedded on "value for money" has made it a reliable management tool, especially when transparency and strict demand for delivery

²⁴Asian Development Bank, *Results-Based Management Basics*. Retrieved on 3 March 2010 at www.adb.org/MfDR/documents/trng-materials/MI-RBM-Basics.pdf

are necessary. It has therefore remained a critical factor for organizational effectiveness and can also be a useful tool for effective support to capacity development.

The former Director-General of UNESCO summarised the sequence of RBM's adoption in the UN and the process of its application in UNESCO in statement he made in 2007 as follows:

"Public sector management has changed significantly over the last 40 years with emphasis shifting from budgets (what is spent) to activities (what is done) to results (what is achieved). Results-based management (RBM) evolved in this context. By the late 1990s several United Nations agencies had turned to RBM as a tool for improving performance. In 1999-2000, UNESCO initiated a reform process aimed at "rethinking UNESCO's priorities and refocusing its action, streamlining its structures and management procedures, revitalizing its staff and rationalizing its decentralization policy". Results-based programming, management and monitoring (RBM), was introduced as a component of the reform process. Several approaches were taken to develop RBM capacity among staff at UNESCO, including: the engagement of external consultants to train staff in the use of log-frame analysis, and to develop an RBM orientation manual specifically for UNESCO to build capacity and to accompany SISTER. By April 2003 there was a clear need to mainstream RBM in UNESCO, and the Executive Board encouraged the creation of a dedicated training programme at its 166th session, a decision subsequently endorsed by the General Conference at its 32nd session. The Bureau of Strategic Planning (BSP) responded by developing and implementing a multi-faceted RBM training programme beginning in June 2003²⁵.

To stress more on why the RBM was necessary in the United Nations, there is need to restate that the Organization was criticized principally on absence of measurable impact of its activities and programmes in Member States and one of the answers to this is the introduction of a decentralization process, which prioritize customized actions based on local realities in programmatic interventions. Another is the lack of clarity in task repartition between UN agencies at field offices - Because of the inter-linkage of challenges and development activities, agencies find themselves intervening on the same issues without articulated objectives. As a result actions are duplicated on same tasks and sometimes this creates confusion on the rules and level of engagements thereby acting as impediments on results achievement. This is also resource waiting, as inputs spent on activities aimed at achieving the same goal are doubled, sometimes without even realizing it²⁶. It is to this end that the "Delivery as One Agenda",²⁷ under the United Nations development Assistance Framework (UNDAF), was introduced. RBM as a tool in this wise, and within the context of decentralization, helps, from the onset of planning and policy making procedure, in designing rules of engagement with consideration for interagency involvements and the inclusion of the concerns of local technocrats in

²⁵UNESCO 176 EX/28 - Comments by the Director-General on the Evaluations Undertaken during the 2006 2007 Biennium and the Cost Effectiveness of the Programmes Evaluated During the Period of the Medium-Term Strategy for 2002-2007 (31 C/4), p.5

²⁶See UNDG, *Programming Reference Guide: UN Country Programming Principles: Results-Based Management*. Retrieved on 3 February, 2010 from http://www.undg.org/index.cfm?fuseaction=Print&P=224#

²⁷Hans d'Orville, *The new vision of the 34 C/4 and the 34 C/5: Information Seminar for new Secretaries-General of National Commissions for UNESCO*, PowerPoint Presentation, 2 March, 2007, UNESCO Bureau of Strategic Planning, p 11; UNESCO Bureau of Public Information (2002), *UNESCO and United Nations Reform*. Retrieved on 4 January, 2010 from http://unesdoc.unesco.org/images/0015/001502/150212e.pdf

planning, designing, implementation, monitoring and feedback procedure. RBM also acts as facilitator for well-kept agenda in programmatic action for staff members involved in projects and programmes, and spurs onset understanding of stakes, who is involved, what the results of action should be and at what time frame, since RBM involvement gives a complete "action plan" which differs from an expression of "what is to be done".

In achieving this, UNESCO, constrained by the principles of ownership that forms part of the modern development realities, must work with local initiative and as much as possible take technical advisory role while indigenous initiatives are applied to solving problems. It should also work with experts in governments' institutions – ministries, agencies and parastatals in host countries. Thus, it becomes important to draw clear road maps on what achievements are expected through which specific actions, at what range of time and by whom. Government apparatus in Members States should also have a clear idea of the drive and activities on programmes so as to identify where their roles starts and stops. It is equally important to enumerate expected results and benchmark, in order to establish concrete criteria for evaluation of work in the course and process of programme implementation.

RBM was unveiled based on the principle of marking a track before the journey of a project begins. It entails clearly define objectives and results to be achieved, and lay down rules of engagements. It also encourages ownership in the sense that, where it is successfully applied, all stakeholders will have a clear picture of where action applies to them in the process and, in that wise, focus on common objectives is assured. RBM is supported by other programme management and budgeting tools, namely, SISTER (System of Information on Strategies, Tasks and the Evaluation of Results), FABS (Finance and Budget System), and STEPS – "STEPS" is a human resources management tool aimed at enhancing personnel services in UNESCO. All the three tools are generally referred to as the RBM pillars. In a measure to keep up the tune, a new version of SISTER, for example, has been launched.

The progress in internalizing RBM in UNESCO, which started by the introduction of SISTER, to favour a transition towards the RBM, and followed by training to staff members from 2003 – 2006, has gone to the extent that Sectors and Departments are beginning to have RBM Focal Points standing to assist their colleagues and advising on best practice and process mechanism. Presently, there are about 190 RBM Focal points stationed throughout UNESCO operations at Headquarters and field offices worldwide. The next objective is to raise the number of focal points present per sector so that it does not become personalized. A summary on the advancement of the RBM application is provided in Chart I.

Integration of RBM into work plans has also been extended to the procedures of policy debates and reporting at the level of its Governing Bodies. The purpose was to create a synergy where, from the very point of decision making, in harmony with what is already in practice with Secretariat staff, focus of country representatives will be shifted from process to results; from emphasis on "rhetoric" to "strategic discourse" and from "how

things are done" to "what is or to be accomplished" ²⁸. Apart from this fact, Member States are now involved in the training on RBM through National Commissions and Permanent Delegations to UNESCO. It is believed that training countries' functionaries will influence the comprehension of the rules of engagement in the different programme sectors and can, through their understanding, guide colleagues working on local projects in home Ministries. While the training is still at minimal level, a giant stride is already in place in presentation of policy and planning documents with expected considerable impact on policy debates. This will be the focus of Section 3.

DATES	EVENTS
April 1997	UNESCO's Information Technology Master Plan is finalized and sets the stage for the design of SISTER (System of Information on Strategies, Tasks and Evaluation of Results)
May 1998	The Bureau of Planning and Evaluation (predecessor of the Bureau of Strategic Planning) starts developing SISTER to accompany the introduction of results-based programming, management, monitoring and reporting
Nov 1999	The Director-General, upon taking office, officially introduces SISTER and launches a comprehensive programme of reforms of which RBM is one important pillar
During 2000	UNESCO transfers all of its programming for the Programme and Budget 2000 – 2001 (30C/5) to SISTER
2000 - 2001	Substantive training on logical framework and results formulation is provided to more than 300 professionals (provided inter alia by the University of Wolverhampton)
Jan – April 2001	UNESCO hires RTC Services and the Centre on Governance of the University of Ottawa to assess UNESCO within the context of RBM and to provide tools designed to improve internal capacity
2000 - 2002	SISTER training is provided to more than 2000 staff members
Nov 2001 – Mar 2002	SISTER is used systematically for the first time to prepare and approve the work plans for the Programme and Budget 2002-2003 (31C/5) and to integrate extrabudgetary projects
Jun 2003	An RBM team is created within BSP to develop and implement a UNESCO-wide results formulation training programme as a precondition for a meaningful RBM practice
Sept 2003 - 2006	The team delivers training at Headquarters and in the field responding to needs of sectors and bureau as well as field offices
Sept 2005 - 2007	Results formulation training expanded to include UNESCO's contribution to common country programming exercises

Chart I: Milestones of the Introduction of RBM in UNESCO

Source: Results-Based Programming, Management and Monitoring (RBM) at UNESCO Guiding Principles (BSP/RBM/2008/1), p 5

3. NATURE AND CONTEXT OF POLICY MAKING

UNESCO, United Nations Educational, Scientific and Cultural Organization, is a specialized Agency of the United Nations System. It was founded at the end of the Second World War in November 1945 for the purpose of "contributing to peace and security by promoting collaboration among the nations through education, science and culture, in order to further universal respect for justice, rule of law and for the human world without distinction of race, sex, language or religion, by the Charter of the United Nations."²⁹

 ²⁸UNESCO Bureau of Strategic Planning, *Results-Based Programming, Management and Monitoring* (*RBM*) at UNESCO-Guiding Principles (BSP/RBM/2008/1), January 2008, p 3
 ²⁹See Article 1 of UNESCO's Constitution – Purposes and Functions of UNESCO, p 3

Similar to all United Nations Specialized Agencies, UNESCO is run through its three main Organs – The General Conference, the Executive Board (the Governing Bodies) and the Secretariat. The General Conference is the highest ruling body, presently composed of all the 193 Member States with 7 Observer States. It meets every two years to plan and reach consensus on programmes and budget for the Organization. The Executive Board is made up of 58 Members States elected every two years on a regional electoral seats-allocation basis. The composition is presently as follows: Europe I (Western Europe) - 9 Seats; Europe II (Eastern Europe) - 7 Seats; Latin America and the Caribbean - 10 Seats: Asia and the Pacific - 12 Seats: Africa -14 Seats: and Arab States - 6 Seats. The Executive Board ordinarily meets twice in a year to examine proposals from the Secretariat and make recommendations for the approval of the General Conference on programmes and budget. The Secretariat, headed by a Director-General, is made up of international civil servants, specialists and administrators who have specific skills in all the fields of UNESCO's mandates. The Secretariat is accountable to Member States and is charged with the responsibility of technicalities of policy planning, programming and budget of the organization. The Secretariat prepares and executes the decisions of the Executive Board and the General-Conference.

Planning and policy process commences by demands from Members States, through the Governing Bodies, for the Secretariat to propose actions on issues in its fields of mandate. The Secretariat proposes, the Executive Board examines and recommends to the General Conference and the latter approves or makes recommendations on amendments. This could go through the whole process again before returning for approval, in the case where either the General Conference or the Executive Board is not satisfied with contents of proposals. Approval of the General Conference means that the Secretariats can execute under close surveillance of the Executive Board. Agreements on agenda items during debates are reached through consensus in a system of one vote per country. Voting is not done of course until after room is created for each country to express its priorities in the general policy debate sessions. There are also experts' meetings, attended by technocrats and public servants from Ministries and Agencies of Member States in the areas of education, sciences, culture, information and communication.

3.1 THE ISSUE WITH POLICY DEBATE

Governing Bodies in UN agencies are the major decision makers. Success and failure of policy and planning therefore depend on how well grounded the quality of discussions at their levels are. The Secretariat, being the technical organ, somewhat takes instructions from the Executive Board and the General Conference and its staff takes on advisory roles to Member States vie the Governing Bodies or individual state wise. It has been established that in responding to requirements of the Governing Bodies, the Secretariat have constantly has the preoccupation of presenting proposals that will be acceptable to Member States, meaning that, it has to meet the wishes of Member States and at the same time maintaining quality and impactful proposals.

In the same vein, because of the difference in working patterns of delegates involved in debates, how to make sure debates and participants are moving in the right and same direction is also a permanent challenge for the Secretariat. Three major factors are identified as possible causes of this lack of coherence of objectives during policy discussions:

- Emphasis on rhetoric;
- Budget-based discourse; and
- Privileging process over results

Emphasis on rhetoric: Perhaps one of the most known flaws of politicians is too much wordings that is sometimes void of concrete address. Diplomatic consciousness and the attempt to make appealing interventions usually conduct policy makers to turn round a subject in rhetoric while unconsciously drifting away from the main subject on the agenda. More so, the UN has often been described as an environment comparable to a beach where suffers depend on high tides to create a favourable condition for surfing. When tides are high, suffers jump to the waves and surf, but when it becomes low, each person holds its surfboard in hand and seems idle. Unlike the natural surfing environment where tides conditions could not be controlled, suffers at the UN could provoke tides to rise. Whosoever then masters this act of provocation always carries the day. Interesting, and challenging discourse, garnished with diction and rhetoric have formed part of the ingredients of provoking tides by high political class in UN Intergovernmental Bodies. Diplomats have learnt to use eloquence as an instrument for winning debates during the process of policy making. This is sometimes done without necessarily bringing change or effective contribution to real work of governance. Sometimes it may end with applauds for "a good speech". Relying on rhetoric also means dwelling on repetition of wish list or what is wrong without a concrete proposal of ways forward. This is why a situation of many texts but fewer results has been tagged as one of the major failings of the UN prior to reform. Reform at this level then means that there must be a way of bringing discussions to address real problems.

Budget-based discourse: The influence of budget–based planning has affected policy procedures based on its focus on what is spent, how it is being spent rather that on results achieved through spending. Before the UN reform move, planning and policy discussions in the UN, as in many states, are done around the budget available and how to manage resources. Delegates often plan their interventions on resource management, increase and decrease in budget allocation and ceiling. It is also a known fact that in a budget-based planning environment, there are usually clauses such as whatever is not spent at the end of a year or biennium should be returned to the organization or state's treasury. This sometimes may be too rigid a measure, such that, even if there are challenges on projects which make it impossible to terminate action at given times, the project will have to go through a whole new process of resource allocation approval. At the glance, such restriction is time-wasting and could discourage genuine and purposeful programme from seeing the light of day. Avoidance of similar situations must therefore be a requirement in the process of policy debate in the UN as it is a source of setback on effectiveness. RBM is poised to help in streamlining debate to focus more on programme rather than a pure

budget based discussions. When this is done, budget can take its place as principal motor of projects and programme execution rather than resembling a main line of action.

Privileging process over results: Incidences of privileging process over results are common in bureaucratic parlance and interventions during policy debates of the UN intergovernmental bodies. This is no exception in UNESCO. Politicians, bureaucrats and top civil servants adepts to administrative procedures may be lost in consideration for process and bureaucratic details without necessarily hitting the point on projects and programmes. This is a significance influence on outcomes of policy and the quality of commitment to real outcome and impacts of development policy agendas. In what looked like a positive development, the representative of Japan in one of the Plenary Sessions of UNESCO's Executive Board in 2008 made the statement as quoted below to buttress this fact when he remarked:

"....But I have a bit of problem with the fifth culture – RBM (result-based management) culture......You may recall the metaphor of apple pie that I used to explain about RBM at the last session of the Board. Having carefully listened to the debates in SP, FX, FA, and PX, at this session, I must conclude that not many of you have understood my message. Maybe because you don't like an apple pie. So I will use another metaphor, which is car manufacturing.

What Member States are supposed to do is to tell the manufacturer (namely the Secretariat) only what kind of cars you want as final products. For example, we tell them we want a 4 door, red colour, automatic sedan which is energy efficient and eco-friendly. Not more. But we tend to micro-manage the process by telling the Secretariat what materials to use, what type of engine to install, how much play steering wheel should have, etc. Some of us even say that the production line should be repaired, and assembly line workers should not be replaced by temporary workers even when some take a sick/maternal/paternal leave. And yet we want more and more cars to be produced. Mr. Chairman, I am not alone being concerned about the old-fashioned, input-driven micro-management by Member States³⁰.

As positive as the statement sounded, that Member States themselves are joining the campaign to desist from too much emphasis on process, it also shows that the challenge still exist in the house.

It is for this reason that the Secretariat, in its bid to streamline debates toward a more programmatic and results targets, has opted for a lead by example in the presentation of the strategic plan and the programme and budget documents. The next section explores leads to the evolution of this aspect in reform and ways by which RBM has influenced its conception.

³⁰Culled from the *Speech by H.E., Mr. S. Kondo, Permanent Delegate of Japan to UNESCO, at the Plenary of the179th Session of the Executive Board of UNESCO (179 EX Plenary),* 16 and 17 April 2008. Retrieved on 21 March, 2010, from http://www.unesco.emb-japan.go.jp/htm/d_sp_sk_179%20ex.htm

4. ANCHORING PLANNING AND DEBATE WITH RBM-FOCUSED MEDIUM TERM STRATEGY (C/4) AND PROGRAMME AND BUDGET (C/5) DOCUMENTS

The Medium-Term Strategy (C/4) is the means by which UNESCO plans its work for a period of six years. The six-year plan is broken down into more explicit Draft Programme and Budget (C/5), for two-year periods. The C4 in essence covers three C/5s (Draft Programmes and Budgets) for three biennia. In other words, the Medium Term Strategy articulates the strategic vision of the organization for six years, and this is translated into three consecutive biennial programme and budget documents³¹. The present Medium Term Strategy (34 C/4), adopted during the 34th Session of the General Conference in 2007, gives the overall programme and Budget (35 C/5) covers the planning on programmes and budget for the 2010-2011 Biennium. The first "34 C/5" covered 2008-2010 and the last under the present C/4 will be for the Biennium 2012-2013 (36 C/5). Chart II below shows the linkage between the C/4 and C/5.

This could be explained in the change and improvements to the nature and presentation of both documents. For the purpose of this study, we have studied the major changes in the presentation of the C/4 and C/5 from 1996 to date.



Chart II: linkage of the C/4 and the C/5 Source: UNESCO Bureau of Strategic Planning, the New Vision for 34 C/4 and the 34 C/5, p 10

³¹Hans d'Orville, *The New Vision for the 34 C/4 and 34 C/5 – Training Seminar for Secretaries General of Caribbean National Commissions for UNESCO*, Curacao, Netherlands Antilles, 3-5 July, 2007, Bureau of Strategic Planning, UNESCO, p 2

4.1. HOW HAVE THE C/4 AND C/5 EVOLVED?

The first strategic plan, 1977-1982, was adopted during the Twentieth Session of the General Conference of UNESCO, held in Nairobi in 1976. This plan comprised of 44 objectives focusing on the theme that man is at the centre of development as both the agent and beneficiary of development³². Basically, Medium Term Strategies in UNESCO depicts a breaking-down of global development policies and strategies into projects and programmes by the organization, which end at country level implementation. A summary of what the C/4 carries, as articulated in the 34 C/4 document is represented in Chart III below.

Over the years the change in outlook, presentation and focus of strategies has responded to changes in reality of development demands at different epochs as viewed by UNESCO³³. Close examination of subsequent C/ 4 and C/5 documents to date shows a movement from pure international cooperation exercise to Ad-hoc Alliances and one from simple development practice to business orientation, evidence in more concrete drive for results delivery. For example, while the Medium-Term Strategy of 1996-2001 reflects the anticipation of the Organization towards the 21st Century, the one of 2002-2007 clearly reflects that the organization has developed better determination to deliver in more pragmatic ways following the discovery of intertwining nature of development issues³⁴.



Chart III: Summary of the Medium Term Strategy (34 C/4), 2008-2013 - Chart 1 Source: UNESCO 34 C/4, p 38

³²UNESCO, *UNESCO in the threshold of the 80's, an Annual Report*, UNESCO Publishing 1978, p 10 ³³This is mostly noticeable in the form and presentation of these documents and is more conspicuous in past three consecutive C4s and C5s.

Typical of the 2002-2007 Medium-Term Strategy is the cross cutting theme which stipulates specific goals highlighted in the light of the interdependence of activities in all its fields of mandates. It reflects the record of major changes in the organization of UNESCO's work and points out progresses made as the years run bye in its administration, as it clearly indicates its activities in the different fields of competence during the years covered. This in essence means that this Medium-Term strategy serve as clear evidences of change in trends of UNESCO's word as well as records to justify reforms in reasons and objectives.³⁵

With the gradual movement to a RBM culture, the impact is now clearly noticeable in the present C/4, which, by extension, has also largely influenced the C/5, as the focus of intergovernmental debates and policy procedures. The UNESCO Bureau of Strategic Planning justifies this visible change to be a way of laying precedents for results focused policy planning and the discussion process leading to binding policies. The documents are therefore patterned to advertently serve as a guide and aid for overall adherence to the RBM requirements. While the culture of crosscutting theme remains unchanged in the 34 C/4, identification of two global priorities, Africa and gender equality, is very remarkable. In the preparation of the 35 C/5, according to the RBM guide as streamlined by the C/4, submissions in all sectors came with expected results at the end of the biennium, Main Lines of Actions (MLAs) are well highlighted, as well as benchmarking and performance indicators. These elements, particular to the 34 C/4 are new in the presentation of the C/4.

For clarity, specific examples are taken from the Draft Programme and Budget of the Social and Human Sciences Sector (Major Programme III of the Programme and Budget - 35 C/5) for the 2010-2011 Biennium. As shown in Chart III below, programmes are inspired first by the internationally agreed development goals and policies of which UNESCO carries the mandate of implementing for the UN system in its Member States, in the areas education, the sciences, culture communication and information.

³⁵UNESCO 28 C/4, *Medium-Term Strategy 1996 – 2001*, UNESCO Publications Paris, 1996, p ii - iii



Chart IV: demonstrates the sequence of downward delivery and intended cohesion of the C/4 and C/5 up to country level activities. Medium Term Strategy (34/ C/4) – Chart 2 Source: UNESCO 34 C/4, p 39

In the 35 C/5, the Sector for Social and Human Sciences, in adhered to the two major global priority of UNESCO for the selenium - gender mainstreaming and Africa followed by the internationally agreed development goals and commitments in the field of social and human sciences, namely, the Millennium Development Goal 1, the UN Millennium Declaration, the 2005 World Summit Outcome Document, International Convention against Doping in Sport (2005), Vienna declaration and Programme of Action adopted by the World Conference on Human Rights (1993), Declaration and Programme of Action for the International Decade for a Culture of Peace and Nonviolence for Children of the World (2001-2010), Plan of Action adopted by the World Conference against Racial Discrimination, Xenophobia and Related Intolerance (2001) and International instruments in bioethics, including the Universal declaration on the Human Genome and Human Rights (1997), the International Declaration on Human Genetic Data (2003) and the Universal Declaration on Bioethics and Human Rights (2005)³⁶. From these sprang two biennium sectoral priorities - "responding to critical global social challenges" and "addressing emerging global ethical issues"³⁷. The total number of priorities are now four - when added to the two global priorities earlier mentioned, namely, gender mainstreaming and Africa.

There are three Mail Lines of Action toward the achieving of the Biennium Sector Priority 1. The Social and Human Sciences Sector will "promote human rights in UNESCO's fields of competence and foster dialogue on emerging social issues". It will "strengthen research-policy linkages for the management of social transformations" and "promote policies on physical education, sports and anti-doping"³⁸. These are

 ³⁶See UNESCO, 35 C/5 Rev. – Draft Programme and Budget for 2010-2011 Biennium, Major Programme III, p 97
 ³⁷Ibid
 ³⁸Ibid 26, p 106

accompanied with clear expected results with enumerated performance indicators and numeric benchmarking to properly monitor progress. As such, on the mail line of action number three (promoting policies on physical education, sport and anti-doping) a summary of its presentation is shown in Chart V below.



Chart V: Main Line of Action 3 on Sectoral Priority 2 of UNESCO Major Programme III – Social and Human Sciences as cited in 35 C/ 5 document Source: UNESCO 35 C/ 5, p 129

As inspired by the RBM culture, the major idea behind presenting programme proposals in this form is to streamline discussions along the already laid down expected achievements. UNESCO has made it clear that RBM will help in answering three basic straight-to-the-point questions: *What do we wish to achieve? What will we do to reach that goal? How will we know whether we have achieved our goal?*³⁹ Since all these three questions are already answered in the C/5 document, Member States only need to examine them against earlier requests during policy discussions. Such presentation has also tagged discussions to results, since the whole process of getting to outcome has been identified before hand with measures of checking performance against action throughout the biennium.

Equally essential is the fact that concentration is on programme this time rather than budget. In Chart VI, a summary of budgeting for the major programme III is represented. Clearly, in the 35 C/5 under examination, budget is not undermined. It has only been well tagged to MLAs and does not seem to be the most important issue to focus on. Based on the idea that resources are spent on activities and activities must lead to results, the stage is already set by the C/5 for debates to tackle the result basis of activities and not how to spend resources. It must be recognized that this development is a big step from certain public policy strategies that impose spending on sectoral

³⁹UNESCO, *Results-Based Programming, Management and Monitoring (RBM) Guide*, Bureau of Strategic Planning, UNESCO and RTC Consultants, Ottawa, September, 2001, p 1

activities, where money not spent at the end of a programme year must be given back to the coffers of the organization, without consideration for unforeseen challenges that may be faced by the implementing officers. Since it is not flexible, this system has potential to jeopardize a lot of development projects rather that help to achieve it. Thanks to the RBM, budget resources will work for activities and results and not activities striving to cover budget spending at all cost.



Chart VI: Budget of Major Programme III – Social and Human Sciences in the 35 C/5 Source: UNESCO 35 C/ 5, p 112

The 35 C/5 is the second in the series of the present Medium Term Strategy and apparently, it is gradually becoming an embraced culture for Member States of UNESCO, as some are getting used to curtailing discussions in line with the dictates of the RBM influenced programmes and budget proposals. Results of this action are not expected to be visible immediately. It is however foreseeable that this move could prove to be one of the major achievements in the reform process, which will create impactful presence of the UNESCO in development programme delivery to Member States.

5. SYNTHESIS: FROM PROGRAMMING TO MONITORING AND REPORTING

It could be said that work is far done where planning, the root from which policies sprang, is properly guided to foresee expected outcome and leave enough room for adjustments when performance indicators show red. From the foregoing analysis given the present state of affairs in UNESCO, the stage of planning and programming has considerably integrated RBM in allowing for result focused but flexible approach to programmes and activities as desired under the reform agenda.

Reporting at the Secretariat is progressive towards the RBM culture, but it is still far from the desired level as confirmed by the Bureau of Strategic Planning. Examples could be seen in the reports of the Executive Board and its questionnaires to Member States on the approach and how well adapted it is to management-for-results⁴⁰. If the present intensity is maintained, there is no particular fear that the expected level of results-based reporting will not be achieved.

However, achieving results in the field will take more than activities at the planning level. UNESCO must create a strategy where all actions at the country level, or, in the fields, will be guided by the RBM procedures. This concerns amelioration of implementation and monitoring mechanism through RBM principles.

5.1 THE PLACE OF THE RBM TRAINING

Intergovernmental organizations like UNESCO still rely on Member States to implements programmes. Yet, the training provided to National Commissions and Permanent Delegations only extend knowledge of the RBM procedure to a few out of numerous stakeholder functionaries of Member States necessary to implement and monitor programmes. As at present the Bureau of Strategic Planning has stated few cases where trained functionaries at the Permanent Delegations have voluntarily brought colleagues from home Ministries to receive the training in their turn. This being the case, the challenge of lack of ownership and commitment to the rules of engagement which could erode some core values of a modern approach to RBM could be a major barrier in implementation and monitoring as there should be a clear move away from downward-driven and resource-based command-and-control management systems, towards new models based on collective responsibility and delegation, interaction and collective accountability⁴¹. The Bureau of Strategic Planning admits that the next step is to take RBM from Programming to monitoring and reporting in order to complete the overhauling process. This should not wait.

It is a reality that Member States, which called for the reform, are to be taught on embracing the RBM culture, which eventually became an important pillar of the reform process which they asked for. The reason for this is not far fetched – management cultures differ between countries. Many, especially in the developing world, although inundated with different civil service reforms over the years, are yet to get to the level of management for results. More so, it has not been easy for public sectors in developing countries to quickly and easily evolve into results-based institutions and organizations⁴². As a result of the persistent struggle to tackle corruption, most developing countries still base

⁴⁰See for example UNESCO Executive Board Doc; 181 EX/Decision 23

⁴¹Ibid

⁴²Cedric Saldanha (2002), *Promoting Results Based Management in the Public Sectors of Developing Countries* - Paper, Presented at the Roundtable on Better Measuring, Monitoring, and Managing for Results 5-6 June 2002, World Bank, Washington, D.C., Asian Development Bank, p 1

planning on budget. Yet, implementation of programmes of UNESCO depends largely on the management cultures of technocrats and civil servants in these countries. More so, UNESCO is not a pure funding organization, as it only assures technical and intellectual assistance to Member States, most of its programmes are funded by Member States, meaning that the Organization is sponsored by the later. And, as the saying goes, he who pays the piper dictates the tune: a sponsor has ultimate authority on a project. Usually, the sponsor provides funding for the project. The sponsor also helps resolve major issues and scope changes, approve major deliverables, and provide high-level direction. For UNESCO vis-à-vis its Member State, the case is not different, hence the need for quality leadership in project management, especially in its developing member countries.

Decentralization, which the RBM is supposed to aid, with its provision for more experts in the field, offers effective presence of suitable and timely advice on programming, make room for progress promises. But, how will it help in the case where budgeting policies that does not give room to flexibility; where spending dictates to programmes implementation and not the reverse. It must therefore be affirmed that Governments' active involvement through RBM focused policy procedures is a first step to filling this gap. Laid down expected achievements with time lines could help in intensifying activities towards results. This will work only if public servants understand the rule of the game, and are empowered and helped to manage along its principles.

6. CONCLUSION

In the background to this study, the words of Ellen Laipson that, "as the twenty-first century begins, the major instrument of global governance, the United Nations (UN), was again in crisis. Multiple panels and commissions urge reforms so that the institution can meet the challenges of globalization and its impact on security and development", spoke volume. This reform of the UN is still on and RBM has proved to be a pillar of action in it. It has and will continue to impact efforts in ensuring local effectiveness of the Organization. For UNESCO, policy planning documents and debates around it are persistently going beyond expression of what to achieve into deliberate discourse over results-ready action plans thanks to RBM culture.

However, to increase the span of RBM's affluence and guarantee its total effectiveness, it is certain that more efforts will be necessary for UNESCO to sustain the positive rhythm with focus on Member States' participation and ownership. UNESCO must intensify on taking the RBM training to mainstream Government Ministries and Agencies in Member States to reinforce the decentralization process, no matter how demanding the task may appear. Because it takes two to tangle, it is highly recommended that the RBM culture spans every stakeholder working on the programmes of UNESCO. We resign that success will be additional if Member States could be assisted to raise, train and institutionalize as many RBM focal points as possible within states to cover Ministries and Agencies dealing in UNESCO affairs.

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