



UNITED NATIONS

NATIONS UNIES

PROPOSED STRATEGIC FRAMEWORK FOR THE BIENNIUM 2012-2013

INSTRUCTIONS

Deadline for submission: 31 December 2009

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I. Ensuring a fully results-oriented Organization

1. The preparation of strategic framework proposals for the period 2012-2013 is the first step in putting forth budget proposals for the biennium 2012-2013. Subsequently, preliminary indicative estimates of resources will be reflected in the budget outline. Following consideration and decisions by the General Assembly on these proposals at its sixty-fifth session, the proposed programme budget for the biennium will then be prepared on the basis of the approved strategic framework and the budget outline.

2. In keeping with reform efforts to ensure a fully results-oriented Organization, results-based approaches have been established for designing, managing and implementing the work of the Organization. With the application of the logical framework to articulate clear objectives, expected accomplishments, and indicators of achievement prior to implementation, the Organization now articulates what it intends to accomplish and not just what it intends to do.

3. By its resolution 63/247, the General Assembly, having considered the report¹ of the Committee for Programme and Coordination on the work of its forty-eighth session, the proposed strategic framework for the period 2010–2011: part one: plan outline and part two: biennial programme plan, and the report of the Secretary-General on the programme performance of the United Nations for the biennium 2006–2007, *inter alia*,

- Endorsed the conclusions and recommendations of the Committee for Programme and Coordination on the programme performance of the United Nations for the biennium 2006–2007, contained in chapter II, section A, of its report on the work of its forty-eighth session, and on the proposed biennial programme plan for the period 2010–2011, contained in chapter II, section B, including, *inter alia*, the following:
 - The Committee noted the changes in the format and narrative of the proposed strategic framework for the period 2010-2011.
 - The Committee reiterated the importance of the longer-term objectives of the Organization, which are aimed at ensuring the full achievement of its goals. In that regard, the Committee also stressed the need for coordinated effort by the Secretariat in order to better formulate suitable expected accomplishments in such a way that, at the stage of budget preparation, all activities and outputs mandated by Member States would be effectively and efficiently included.
 - While recognizing the improvement in the logframe, the Committee recommended that the General Assembly continue to encourage programme managers to further improve the qualitative aspects of indicators of achievements in order to enable better evaluation of results, bearing in mind the importance of defining the indicators in a way which ensured their clear measurability.
 - The Committee recommended that the General Assembly encourage programme managers, while preparing the programme plan, to take fully into account the obstacles, challenges, lessons learned and unmet goals encountered in the previous biennium, as reflected in the programme performance report.

¹ A/63/16

- The Committee recommended that programme managers be requested to ensure that all legislative mandates were accurately translated into programmes and subprogrammes, taking into account regulation 4.2 and rule 104.7 (e) of the Regulations and Rules Governing Programme Planning and the relevant provisions of General Assembly resolutions on results-based budgeting.
- The Committee recommended that the General Assembly request the Secretary-General to present future plan outlines (part one) of proposed frameworks taking fully into account the guidelines provided by the General Assembly in its resolutions 59/275, 61/235 and 62/224, as well as subsequent relevant resolutions, so as to ensure that they more accurately captured the longer-term objectives of the Organization, based on all mandates that had been approved by the Member States.

4. In addition to the ongoing results-based management review, the experience of the current planning and budgeting process has also been reviewed. In response to General Assembly resolution 58/269², the Secretary-General presented a report on experience gained in the planning and budget process (A/62/81) through the Committee for Programme and Coordination (CPC). By its resolution 62/224, the General Assembly endorsed the related conclusions and recommendations of the CPC as contained in its report A/62/16, including, *inter alia*, that the General Assembly decide:

- To maintain the strategic framework as the principal policy directive of the United Nations, which serves as the basis for programme planning, budgeting, monitoring and evaluation, with effect from the biennium 2010-2011;
- To continue to include part one: plan outline in the strategic framework;
- To request the Secretary-General to improve the format of part one and the reflection of the longer-term objectives therein by, *inter alia*, elaborating on the priorities of the United Nations agreed to by the Member States, in accordance with resolutions 61/235 and 59/275;
- To reaffirm that the Committee for Programme and Coordination shall, in performing its programmatic role in the planning and budgeting process, continue to review the programmatic aspects of the new and/or revised mandates approved subsequent to the adoption of the biennial programme plan, as well as any differences that may arise between the biennial programme plan and the programmatic aspects of the proposed programme budget, in accordance with its terms of reference, the Regulations and Rules Governing Programme Planning, the Programme Aspects of the Budget, the Monitoring of Implementation and the Methods of Evaluation (ST/SGB/2000/8), and the relevant resolutions of the General Assembly;
- That the programme narratives of the programme budget fascicles shall be identical to those in the biennial programme plan and request the Secretary-General to ensure full compliance;

² The General Assembly adopted its resolution 58/269 after its consideration of the reports of the Secretary-General entitled "Intergovernmental review of the medium-term plan and the programme budget" (A/57/786) and "Improvements to the current process of planning and budgeting" (A/58/395 and Corr.1), the note by the Secretary-General entitled "Improvements to the current process of planning and budgeting" (A/58/600) and the related reports of the Advisory Committee on Administrative and Budgetary Questions (A/58/7/Add.5 and A/58/610).

5. In part III B of A/62/16, Changes to the biennial programme plan as reflected in the proposed budget for the biennium 2008-2009, the Committee:

- recalled paragraph 109 of its report on its forty-fifth session (A/60/16 and Corr.1), which had been endorsed by the General Assembly in its resolution 60/257, and welcomed the efforts made to ensure that the overview parts of the fascicles of the proposed programme budget for the biennium 2008-2009 were in conformity with the overall orientation of the related programmes of the biennial programme plan for 2008-2009.
- recommended that the General Assembly request the Secretary-General to ensure that the programme narratives contained in the fascicles of the proposed programme budget for the biennium 2008-2009 (A/62/6 (sect. 1-34)) be implemented in full conformity with the biennial programme plan and priorities for 2008-2009 (A/61/6/Rev.1), including by taking into account the strategy parts of the subprogrammes.
- recommended that the General Assembly request the Secretary-General to ensure that the programme narratives contained in the fascicles of the proposed programme budget for the biennium 2010-2011 be identical to the biennial programme plan and priorities for 2010-2011, including the overall orientation of the programmes and the strategy parts of the subprogrammes.

6. It is anticipated that the same principles will apply to the biennial programme plan and priorities and to the proposed programme budget for the biennium 2012-2013.

7. From the experience gained over the past few years in implementing results-based budgeting and results-based management, programme managers are requested to formulate a new plan that will provide the basis for Member States to focus on policy issues and to take decisions on the future direction of the work of the Organization, including the expected accomplishments within a two-year period. **It should be borne in mind that, subject to decisions of the General Assembly, the proposed programme budget for 2012-2013 will reflect the overall orientation of each programme, the logical framework for each subprogramme, and the strategy for each subprogramme as approved by the General Assembly in the context of the strategic framework.**

8. In line with decisions taken by the General Assembly at its 62nd session, the two-year Strategic Framework will comprise:

Part One: Plan outline

Part Two: Biennial Programme Plan.

9. In the present exercise, every effort should be made at the highest levels of each Department/Office to formulate the two-year Biennial Programme Plan for the relevant programme and subprogrammes of the Department. Heads of Departments/Offices and their senior staff are encouraged to participate together in such an effort to ensure a collaborative and collective approach towards determining the expected results for each subprogramme during the period 2012-2013. Preliminary plan outline (Part One) approaches, as agreed by the Secretary-General, will be shared with programme managers when available, with an aim to ensuring consistency at the earliest stages of strategic framework preparation between the longer term objectives set out in Part One and the proposals set out in the biennial programme plan (Part Two).

10. The preparation of part two: biennial programme plan involves not only the participation of all departments but also the review by relevant specialized intergovernmental bodies of those programmes falling within their sphere of competence. Recommendations by those bodies for modifications to the proposed biennial programme plan should be incorporated when available. In cases where it has not been possible to incorporate changes owing to the scheduling of meetings, the recommendations of those intergovernmental bodies are made available to the Committee for Programme and Coordination at the time of its review.

11. The Strategic Framework will thus be reviewed by the specialized intergovernmental bodies and by the Committee for Programme and Coordination (CPC) prior to adoption by the General Assembly at its sixty-fifth session.

II. Strategic Framework for the biennium 2012-2013: Part One: Plan outline

12. Part One will be initiated centrally through the Executive Office of the Secretary-General and will:

- (a) Highlight the future challenges faced by the Organization;
- (b) Provide an overarching perspective of world events that require action from the international community;
- (c) Indicate longer-term objectives to be met by the Organization, Member States and the Secretariat collectively;
- (d) Contain the Secretary-General's proposals on priorities.

III. Strategic Framework for the biennium 2012-2013: Part Two: Biennial Programme Plan

13. Part Two: Biennial Programme Plan will comprise programmes (see Annex I) and subprogrammes. The programmes of the Organization will continue to reflect congruence between the programmatic and organizational structures so as to enhance accountability and to foster a clear link between the plan and the programme budget.

14. Heads of Departments/Offices will be responsible for the preparation of their respective biennial programme plans.

15. Each programme will consist of (a) a succinct narrative highlighting the overall orientation of the programme as a whole; and (b) subprogrammes.

(a) **Overall orientation**

16. The **overall orientation** for each programme should not be more than one-page single-spaced, and should:

(i) Reflect those **mandates** which provide policy direction for the programme as a whole. Include, where appropriate, linkage to the Millennium Declaration and the outcomes of major international conferences. **It is also a requirement that attention be given to integrating the gender perspective into the work of the Organization** in line with General Assembly resolution 61/145 wherein the Assembly requested that all bodies that deal with programme and budgetary matters, including the Committee for Programme and Coordination, ensures that programmes, plans and budgets visibly mainstream gender perspectives.

(ii) Reflect the **raison d'être** of the programme, i.e. the reason for the programme's existence. This should not be expressed in terms of the workload of the Department/Office responsible for its implementation, but in terms of **what needs to be changed for the benefit of its end-users, as a result of the programme's intervention**. There should, therefore, be a reference to the **programme's contribution to the change** that is to be effected by the work that would be carried out by the entire department/office.

(iii) Specify the **organizational unit** (Department/Office) responsible for the programme.

17. Proposals for **new programmes** can only be included in the Biennial Programme Plan if they are derived from intergovernmental decisions and recommendations.

(b) Subprogrammes

18. The **organizational unit** (usually at the level of a Division) responsible for the subprogramme should be specified.

19. When drafting the elements of the logical framework, please bear in mind that they will be used for the proposed programme budget for the same period. In this connection, it is recalled that the General Assembly, in its resolution 58/269, decided that the CPC would no longer undertake the review of the proposed programme budget, unless there are changes to the approved Biennial Programme Plan. Should there be any changes due to subsequent legislative mandates after the approval of the Biennial Programme Plan, modifications will be submitted to the CPC in the context of the proposed programme budget.

20. It should be recalled that in resolution 63/247, the General Assembly endorsed CPC's recommendation that the Assembly "encourage programme managers, while preparing the programme plan, **to take fully into account the obstacles, challenges, lessons learned and unmet goals encountered in the previous biennium, as reflected in the programme performance reports.**" The narrative of each subprogramme should not exceed one page, single-spaced.

21. The narrative of each subprogramme will comprise elements of the logical framework, namely:

- i. objective of the Organization (2012 onwards, i.e. longer term)
- ii. expected accomplishments of the Secretariat (2012-2013)
- iii. indicators of achievement (2012-2013)
- iv. performance measures (2012-2013)
- v. strategy (2012-2013)
- vi. external factors

22. Some guidelines related to formulating the logical framework are available in PPBD's website <http://ppbd.un.org/rbb>. Annex II also contains examples of logframe elements (in succinct form). To ensure accuracy, the logframe elements are downloaded directly from IMDIS into the fascicles, **it is thus**

imperative that the elements of the logical framework be prepared and submitted by Programme Managers in IMDIS. These elements consist of the **objectives, expected accomplishments, indicators of achievement, performance measures, and external factors.** IMDIS can be accessed at the following website <http://imdis.un.org>. Separate instructions can be found on this website detailing the related data input process.

23. The quality of linkages is key to the utility of each logical framework. There must be clear and meaningful **linkages** between all of the above elements.

Objectives (2012 onwards)

“What does this subprogramme intend to achieve?” **(not what it intends to do)**

24. The objective for each subprogramme should be formulated at the level of the Organization as a whole, reflecting the action of Member States and the Secretariat for the subprogramme. Responsibility for programme/subprogramme implementation is neither the exclusive preserve of Member States (individually or in intergovernmental organs) nor of the Secretariat. The success in achieving objectives and in producing expected accomplishments as measured by indicators of achievement is a **collective responsibility** and will in part be a measure of the degree of success of the international community working in a harmonious partnership between Member States and the Secretariat. **The objective is not necessarily limited to a two-year period.**

25. The objective should be well defined, precise, focused and succinct. It should **not be more than one sentence.** Stating several objectives within one sentence is an indication that further refinement of the objective is required.

26. The objective should refer to an overall desired achievement of the subprogramme involving a process of change and aimed at meeting certain needs of identified end-users. In other words, the objective should reflect the **raison d’être of the subprogramme.** When formulating the text, ask the following questions: Why does this subprogramme exist? What problems are being addressed by the subprogramme? Who are the beneficiaries of the subprogramme?

27. Experience gained from implementing results-based management has revealed that in some instances, “expected accomplishments” should have been designated as “objectives” and vice versa. Expected accomplishments should **lead towards the achievement of objectives, not the other way round. In other words, “objectives” should be at a higher level than “expected accomplishments”.** Please refer to Annex III.

Expected accomplishments of the Secretariat (2012-2013)

“What should happen in order to meet the objective of the subprogramme?”

28. **Expected accomplishments** of the Secretariat (also referred to as “expected results”) are changes that occur because of the subprogramme’s intervention and:

- (a) are the direct consequence or effect of the generation of outputs and services within a two year period;
- (b) should reflect a positive change for the end-users/beneficiaries of the subprogramme's outputs;
- (c) are at a lower level than objectives and should lead to the fulfillment of an objective (expected accomplishments occur before attainment of objective).

29. There should be no more than three expected accomplishments for each objective. Select the most representative ones for the subprogramme.

30. Great care should be given to drafting expected accomplishments since they will determine (a) the strategy to be employed for implementing the subprogramme and (b) the nature and scope of outputs/services that would eventually be delivered by the subprogramme. Outputs that are not linked or do not contribute to the expected accomplishments will not be included in the programme budget for the biennium 2012-2013.

Indicators of achievement (2012-2013)

“What will show us that the expected accomplishments have indeed occurred? What do we want to know about the results of our efforts? What are we measuring?”

Performance measures: baselines and targets

2008-2009:

Estimate 2010-2011:

Target 2012-2013:

31. **Indicators of achievement** will measure whether and/or the extent to which expected accomplishments have been achieved as a result of the subprogramme's intervention. Good indicators should be measurable, telling us the kind of data that need to be collected. The data so selected will then set the stage for determining baselines and targets (the performance measures). There should be no more than two indicators for each expected accomplishment.

32. **Performance measures**, i.e. baselines and targets, for the indicators will not be included in the Biennial Programme Plan. However, programme managers are requested to provide preliminary information at this stage so as to ensure validity of the planned methodology and data collection plans.

33. In cases where an indicator may apply to a number of issues (e.g. aging, youth, disabled), the indicator may then have separate performance measures for those issues. For instance, an indicator might say “Increase in the number of Member States taking measures for monitoring the implementation of international programmes of action with respect to aging, youth and the disabled”. In this case there could be three separate sets of performance measures.

34. Determine the data that is useful for assessment of the effectiveness of the subprogramme. For example, do we want to collect information on the number of Member States/institutions/ individuals that are able to monitor programmes of action, or are we interested in the number of measures taken by them to monitor programmes of action? When we deliver our outputs do we want to focus on increasing the number of entities able to monitor or on increasing the number of measures taken by entities to enable them to monitor?

35. Data collection over time can be both costly and time consuming. It is thus important to carefully select which data would best inform of the subprogramme's effectiveness. Some helpful data collection design questions to ask are: What data currently exist? Where could you go to gather existing or new data? What type of data collection methods would make the most sense? How much data would you gather, and how frequent?

36. Once the data to be collected is decided, then the performance measures (i.e. baselines and targets) can be determined. On the basis of the above example, if we are focusing on the number of entities able to monitor programmes of action, we would need to collect data on the number of entities. For our performance measures, we would then need to know how many entities there were in 2008-2009, what our estimate is for 2010-2011 and what our target would be for 2012-2013, as a result of the subprogramme's intervention.

Strategy (2012-2013):

“How are we going to achieve the expected results?”

37. The strategy should highlight the focus of efforts to be made within a two-year period to meet the needs of intended beneficiaries and to achieve the expected results. The underlying logic for carrying out a series of activities necessary and sufficient to achieve the expected accomplishments should be fully apparent from the stated strategy. Programme managers should examine existing strategies and revamp where necessary, to ensure that the programme design is sound, robust and adequate to ensure that expected accomplishments are achievable and will contribute towards the attainment of long-term objectives. **There must be a link between the strategies employed and the expected accomplishments. Attention is also drawn to the recommendation of CPC highlighted in paragraph 3 above.**

38. **Examples of strategies** might include: strengthening preventive diplomacy; providing assistance to societies emerging from conflict; enhancing support of negotiations; strengthening the international rule of law; ensuring that development issues are adequately addressed in intergovernmental debate; supporting implementation of programmes of action; consensus building; advocacy; assisting the development and implementation of national policies; training; providing timely and accurate information, analyses and policy options; capacity building; harmonizing policies/procedures; etc). **Specific activities** (e.g. convening a meeting, issuing guidelines, conducting a particular workshop) and **outputs** (e.g. a specific report or a particular service) **should not be listed.**

External factors

“They may be anticipated in the form of assumptions or they may be unanticipated.”

39. External factors are events and/or conditions that are beyond the control of those responsible for an activity but have an influence on the success or failure of the activities. They may be anticipated in the form of assumptions or they may be unanticipated. While external factors will only be included in the proposed programme budget, and are not included in the biennial programme plan, preliminary information as to **external factors should be provided at this stage to allow comprehensive assessment of the logical framework.**

Outputs

40. While outputs will not be included in the Biennial Programme Plan and are not required to be developed at this stage, the articulated expected accomplishments in the Plan would determine the nature and scope of outputs to be formulated in the context of the proposed programme budget for 2012-2013. If subprogrammes are delivering outputs/services during the current biennium which would not contribute to the expected accomplishments for 2012-2013, then those outputs/services should not be included in the proposed programme budget for that biennium.

41. Also bear in mind that one manual on environment protection and one training workshop would not result in “improved environmental situation”, but could contribute to “enhanced knowledge or increased awareness of environment issues.” **Therefore, there must be a realistic link between outputs and accomplishments.**

42. There is a wide body of work done on improvements to the presentation of the logical framework as reflected in the JIU (JIU/REP/2006/6) and OIOS (A/63/268) reports, CPC (A/62/16) and recent comments of ACABQ in Parts I A (Format and presentation of the proposed programme budget) and B (Effects of reform) of its First report on the proposed programme budget for the biennium 2010-2011 (A/64/7). In formulating the strategic framework for 2012-2013 and in anticipation of the preparation of the budget proposal for that biennium, it would be useful to consider the relevant comments of the above bodies including, *inter alia*, the following:

- Paragraph 14 of A/64/7: The Committee welcomes the information on discontinued outputs but recalls and reaffirms its related observations in paragraphs 14-16 of its first report on the programme budget for 2006-2007. These include the observation that the information would have been more useful if any links to proposed new outputs had been identified or, where there were none, if attempts had been made to identify resources released and made available for redeployment.
- Paragraph 22 of A/64/7: A large part of the regular budget is devoted to administrative and support functions. The Advisory Committee considers that the application of results-based budgeting to support functions is weak and does not reflect the magnitude of the resources allocated for this purpose. In the logical frameworks, indicators of achievement related to administrative and support activities are often vague and subjective, including measures such as the percentage of respondents expressing satisfaction in client surveys or the percentage of offices reporting. In the opinion of the Committee, the effectiveness of administrative and support functions should be illustrated by workload benchmarks for comparison with industry standards. Expected accomplishments, indicators of achievement and objectives of the support

component should also be more comprehensive, covering all aspects of the work to be performed, and include targets for increasing efficiency and productivity as well as cost-effectiveness. The Committee also believes that a more uniform presentation of support and administrative functions is feasible and would facilitate the assessment of progress over time and comparisons of performance measures between budget sections.

- Paragraph 29 of A/64/7. In the view of the Advisory Committee, the proposed programme budget should have provided more information on major management issues and structural changes affecting the resource requirements. In the past several years, the Organization has gone through a number of significant reforms and initiatives, including in such areas as strengthening the capacity of the United Nations to manage and sustain peacekeeping operations; human resources management reform; strengthening of the Department of Political Affairs; information and communications technology, enterprise resource planning and security, disaster recovery and business continuity; and development-related activities (see General Assembly resolutions 61/279, 63/250, 63/260, 63/261 and 63/262). The Committee is disappointed that the proposed programme budget does not consistently draw a clear link between recent policy initiatives and resource requirements. The Committee expects that the Secretary-General will be monitoring the implementation of these reforms and making adjustments in the light of experience. The proposed programme budget for the biennium 2012-2013 should provide a clear picture of the reform measures that have been taken, their budgetary implications and the efficiency gains derived from the implementation of those measures, as well as an assessment of progress in accomplishing the objectives.

43. As regards reforms and initiatives, Programme Managers are encouraged to ensure that these reforms and initiatives are brought to bear in formulating their strategic framework proposals for 2012-2013.

IV. Mandates

44. A list of relevant resolutions providing the mandates for achieving the subprogramme's objectives should be attached. **Please use the form in annex IV.** It is expected that the review of mandates to determine their continuing validity, would take into account the need to:

- (a) reflect changing and/or changed political, economic and social circumstances;
- (b) meet new challenges;
- (c) rationalize outputs and activities;
- (d) avoid duplication and overlapping, especially with work undertaken by other departments/offices.

45. Accordingly, in your submission of the Strategic Framework for 2012-2013, any proposals for terminating mandates, **especially those that affect a cluster of activities or even a subprogramme or portion of a subprogramme**, should, where feasible, be first submitted to the relevant specialized intergovernmental bodies for consideration. Their endorsement and/or recommendations will be submitted to the General Assembly through CPC. Attention is also drawn to PPBME Regulations 4.2 and 4.8 and the related rules (Rule 104.2 and Rule 104.5).

V. Other issues

A. Policy-making organs, executive direction and management and programme support

46. These components of the programme budget are not considered to be “programmes” and will not be included in the Biennial Programme Plan. However, for an integrated approach, due consideration should be given to the logical framework applicable in these cases as they will form an integral part of the proposed programme budget for the biennium 2012-2013, preparations of which will begin in the latter part of next year.

47. Please note ACABQ’s comment in paragraph 16 of its report A/62/7: “The Advisory Committee considers the inclusion of logical frameworks for the executive direction and management functions to be a positive step. It considers that the logical frameworks are too generic, however, and requests that in future an attempt be made to identify objectives and expected accomplishments that are more specific to each programme.”

B. Contribution versus attribution

48. Concerns have been expressed during the implementation of results-based budgeting, about difficulties related to attributing successes or failures solely to the work of individual departments/offices. **It is not a question of attribution but rather one of contribution.** It should be clearly demonstrated that the work of the subprogramme contributes towards achieving the stated objectives and expected results.

C. Do’s and don’ts

49. **Annex III** provides some examples of logical framework elements. **Please note the linkage between those elements.** This annex is aimed at demonstrating the need to distinguish between objectives and expected accomplishments. Some examples have been provided of instances in the current or in prior plans, where objectives should have been expected accomplishments and vice versa.

VI. Intergovernmental reviews

50. Programme managers should comply with the request of the General Assembly and the provisions of the Regulations and Rules Governing Programme Planning regarding the need to submit the drafts of their plans to the relevant sectoral, functional and regional intergovernmental bodies, wherever possible.

51. To this end, programme managers are requested to take appropriate measures to include an item on the proposed strategic framework for the period 2012-2013 in the agenda of the **intergovernmental bodies meeting during the early part of 2010.** The suggested annotation for an agenda item on programme questions is as follows:

“Agenda item: xxxx

Programme questions

The [Commission/Committee] has before it for its consideration a note by the Secretary-General on the preparation of the Strategic Framework for the period 2012-2013, comprising Part One: Plan Outline and Part Two: Biennial Programme Plan. The [Commission/Committee] is invited to review the proposed biennial programme plan for [e.g. human rights, sustainable development, statistics, population, social development, etc.] and provide its comments to the Secretary-General. The proposed biennial programme plan, modified as appropriate, will be submitted to the Committee for Programme and Coordination at its fiftieth session. Its recommendations thereon will be transmitted to the General Assembly at its sixty-fifth session when it considers the Secretary-General’s proposed Strategic Framework for the biennium 2012-2013.”

52. The outcome of the reviews by the specialized intergovernmental bodies should be transmitted to OPPBA for incorporation, if time permits, in the texts prior to submission to CPC. Otherwise the views of those bodies, as reflected in their reports, will be transmitted to CPC in June/July 2010 at the time of its review of the Secretary-General’s proposed Strategic Framework.

53. **A list of intergovernmental bodies** that have responsibility for the oversight and overall direction of programmes and subprogrammes should be included with the submission of the Biennial Programme Plan, together with an indication of the dates for their meeting.

VII. Organigramme

54. Please indicate if there is no change from the current organigramme for the biennium 2010-2011 (proposed programme budget for the biennium 2010-2011 document refers). Otherwise, please submit a revised organigramme for the Department, with the distribution of posts proposed for each subprogramme, bearing in mind that each subprogramme should be linked to an organizational structure usually at the level of a Division.

VIII. Deadline

55. In order to meet the six-week documentation rule (i.e. documents to be available to the Committee six-weeks prior to its start) plus the six-week processing time by the Department of General Assembly and Conference Management, individual fascicles must be released for translation into languages from OPPBA no later than 12-weeks prior to the start of the CPC session.

56. **In order to meet the tight preparation and submission schedule, Heads of Departments/ Offices are requested to send their strategic framework submissions to OPPBA by no later than 31 December 2009.**

IX. Calendar for the preparation of the Biennial Programme Plan for the period 2012-2013

57. Upon receipt of the submissions, OPPBA will review them and consult with programme managers as necessary before finalization.

58. The proposed Biennial Programme Plan will be presented in fascicle form to CPC whose recommendations thereon will be transmitted to ECOSOC when it considers the budget outline for 2012-2013. The General Assembly will take a decision on the Strategic Framework as a whole on the basis of recommendations from CPC.

59. The calendar for preparation and review is as follows:

Drafting of Part Two of the strategic framework Department/Office	November-December 2009
Submission to OPPBA	31 December 2009
Approval by the Secretary-General of Part I: plan outline	February 2010
Phased issuance of strategic framework fascicles	February - March 2010
Review by intergovernmental bodies	As available
Review by CPC	June 2010
Review by ECOSOC	July 2010
Review by committees of the General Assembly	October-December 2010
Approval by General Assembly	December 2010

X. Lessons learned

60. In preparing the Biennial Programme Plan for 2012-2013, please take into account:

(a) the programme performance report for the period 2006-2007 (A/63/70). Programme managers would have reported on results achieved for the biennium 2006-2007, utilizing the performance measures articulated in the programme budget for that biennium. Interim results for the period 2008-2009, including the programme performance report for 2008 should also be utilized.

(b) the experience gained during the preparation of the proposed programme budget for the biennium 2010-2011.

(c) self-monitoring and self-evaluation exercises in the context of results-based management;

(d) Reports of CPC, A/63/16 and A/64/16;

(e) JIU report on Results-Based Management in the United Nations in the context of the reform process (JIU/REP/2006/6) and the Secretary-General's note to the General Assembly on the JIU report A/62/704

(f) OIOS report on Review of results-based management at the United Nations (A/63/268)

(g) Reports of ACABQ, A/62/7, A/64/7;

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ANNEX I

STRATEGIC FRAMEWORK FOR THE BIENNIUM 2012-2013

List of programmes

Plan outline	
Programme 1	General Assembly and Economic and Social Council affairs and conference services
Programme 2	Political affairs
Programme 3	Disarmament
Programme 4	Peacekeeping operations
Programme 5	Peaceful uses of outer space
Programme 6	Legal affairs
Programme 7	Economic and social affairs
Programme 8	Least developed countries, landlocked developing countries and small island developing States
Programme 9	United Nations support for the New Partnership for Africa's Development
Programme 10	Trade and development
Programme 11	Environment
Programme 12	Human settlements
Programme 13	International drug control, crime and terrorism prevention and criminal justice
Programme 14	Economic and social development in Africa
Programme 15	Economic and social development in Asia and the Pacific
Programme 16	Economic development in Europe
Programme 17	Economic and social development in Latin America and the Caribbean
Programme 18	Economic and social development in Western Asia
Programme 19	Human rights
Programme 20	International protection, durable solutions and assistance to refugees
Programme 21	Palestine refugees
Programme 22	Humanitarian assistance
Programme 23	Public information
Programme 24	Management and support services
Programme 25	Internal oversight
Programme 26	Jointly financed activities
Programme 27	Safety and security

ANNEX II. Examples of logframe elements (in succinct form)

	Objective	Strategy:	Expected accomplishment	Indicator of achievement	Outputs
	“What does this subprogramme intend to achieve?”	“How are we going to go about achieving that objective?”	“What change should happen in order to meet the objective?”	“What will show us that the expected accomplishment occurred?”	(to be included only in the programme budget)
<p>Forum for deliberations</p> <p>Problem/issue to be addressed: Absence of agreement</p> <p>Adequacy of substantive/technical support services</p>	<p>To increase the level of agreement on....;</p> <p>To ensure orderly and procedurally correct conduct of meetings</p>	<p>Timely analysis and dissemination of information; improve substantive servicing of negotiations.</p> <p>Provision of high quality services; timely preparation of reports</p>	<p>Consensus building facilitated; More effective process of deliberations;</p> <p>Meetings conducted in timely and procedurally correct manner.</p>	<p>Reduced number of areas where agreement was not reached. Increase in the number of issues agreed.</p> <p>Increased percentage of meetings held on time; degree of satisfaction with services provided</p>	<ul style="list-style-type: none"> * substantive servicing of meetings * Technical servicing of meetings * Parliamentary documentation * Reports, publications
<p>Prevention of conflicts and peacekeeping</p> <p>Problem/issue to be addressed: Anticipated and existing conflict situations; lack of transparency of electoral processes</p>	<p>To prevent, control and resolve conflicts through peaceful means; to improve operational readiness; to increase transparency of electoral processes</p>	<p>Timely analysis of the information; promoting dialogue; training; advisory services</p>	<p>Improved capability of international community to identify and address conflict situations; timely implementation of legislative mandates; increased technical capacity in the conduct of elections.</p>	<p>Increased percentage of conflict situations addressed through peaceful means; timely settlement of conflicts through peaceful means; increase in number of instances of compliance by parties to conflict; increase in the number of institutions trained in electoral processes;</p>	<ul style="list-style-type: none"> * Good offices, preventive diplomacy, peacemaking, fact-finding; analytical reports; * Advisory services * Training * Field operations * Field administration, logistics
<p>International cooperation</p> <p>Problem/issue to be</p>	<p>To strengthen international cooperation in ...</p>	<p>Promoting.... Supporting ... Assisting...</p>	<p>Adoption of/agreement on/action taken on/ ... Facilitated</p>	<p>Increased number of Member States responding to.../ understanding.../</p>	<ul style="list-style-type: none"> * Reports, publications * Advisory services * Training

	Objective “What does this subprogramme intend to achieve?”	Strategy: “How are we going to go about achieving that objective?”	Expected accomplishment “What change should happen in order to meet the objective?”	Indicator of achievement “What will show us that the expected accomplishment occurred?”	Outputs (to be included only in the programme budget)
addressed: Inadequate commitment by international community to deal with...				implementing...	
Awareness and understanding Problem/issue to be addressed: Inadequate understanding/knowledge/awareness	To facilitate the application of ...in national strategies/policies/plans To increase support of the goals and objectives of the United Nations	Timely collection of data/information, research and analysis; Promotion, advocacy of issues. Improving information activities and products, updating and improving websites, enhancing access to information on the work of the Organization.	Increased understanding of... Increased understanding of....; increased media coverage...; more timely access to information and information products	Increased number of Member States/ institutions utilizing information/policy options.... Increased number of subscriptions; increase in the number of media entities highlighting work of Organization;	* Reports, publications * Advisory services, training, field projects; * Information materials, audio-visual materials, special events, etc.
Technical cooperation Problem/issue to be addressed: Inadequate level of technical capacity	To increase national capacity to identify/ apply/develop/	Providing technical assistance	Increased level of understanding of...; increased skills in...	Increased number of national personnel able to identify/apply/ develop	* Advisory services, training workshops
Compliance with international law, treaties, conventions, United Nations regulations and rules, policies and procedures	To reduce non-compliance with.....; to strengthen compliance with; to increase	Promoting obligations to comply with....; monitoring and evaluating status of compliance; providing assistance in reporting requirements;	Increased ability of Member States to meet obligations.....; more effective response to....; increased capacity to address treaty obligations/ international agreements; reduction	Increased number of Member states having capacity to meet/respond/respect; reduction in the number of cases that violate regulations and rules	* Advisory services, training, seminars, expert groups * Guidelines; publications, databases; * Technical material

	Objective “What does this subprogramme intend to achieve?”	Strategy: “How are we going to go about achieving that objective?”	Expected accomplishment “What change should happen in order to meet the objective?”	Indicator of achievement “What will show us that the expected accomplishment occurred?”	Outputs (to be included only in the programme budget)
Problem/issue to be addressed: Inadequate observance/compliance of international instruments, United Nations Regulations and Rules, policies and procedures	implementation of...; to protect interests of...	conducting training on compliance procedures;	in liability for the Organization;		
Advocacy and promotion activities Problem/issues to be addressed: Inadequate understanding; lack of agreement on...	To increase level of acceptance of; to increase understanding/ support of...	Substantive support, training, provision of advisory services	Enhanced knowledge, awareness, skills; more effective deliberations	Increased number of users of information; Increased number of officials applying lessons learned; increased satisfaction with services provided; increase in the number of measures adopted/implemented	<ul style="list-style-type: none"> * Reports, advisory services, training * Exhibits, booklets, press releases, outreach activities * Special events
Support services Problem/issue to be addressed: Delays, inefficiency, poor quality	To optimize/ maximize..; to reduce delays; to improve quality of...	Development/upgrading of systems, meet training needs,	Timely issuance/ delivery of outputs/ services; updated systems; increased skills	Reduced time taken to respond to...; reduction in the time taken to deliver products; increased number of staff with enhanced skills in....	<ul style="list-style-type: none"> * Reports, guidelines, instructions, * Support services... * Training; advisory services * Maintenance of...

Annex III

Drafting of objectives, expected accomplishments and indicators of achievement

First and foremost, once the objectives, expected accomplishments and indicators of achievement have been approved by the General Assembly in the context of the Biennial Programme Plan, they cannot be changed for the proposed programme budget.

Bear in mind that objectives should be formulated, for the subprogramme, **at the level of the Organization as a whole**, for intergovernmental and Secretariat action. Responsibility for programme/subprogramme implementation is neither the exclusive preserve of Member States (individually or in intergovernmental organs) nor of the Secretariat. It is a **collective responsibility**, and success in achieving objectives and in producing expected accomplishments as measured by indicators of achievement will in part be a measure of the degree of success of the international community working in a harmonious partnership between Member States and the Secretariat.

Also bear in mind that while meeting the objectives cannot be entirely attributable to the Secretariat, it is important to ensure that the work of the subprogramme **CONTRIBUTES** to meeting the objective through the expected accomplishments occurring as a consequence of the subprogramme's outputs.

Expected accomplishments are the consequence of the subprogramme's outputs/services. **Expected accomplishments are at a lower level than objectives** and should lead to the fulfillment of an objective. Below are examples of where **improvements should be made**.

PREVIOUS BIENNIAL PROGRAMME PLAN PROPOSALS	POSSIBLE REFORMULATION IN LINE WITH RBB PRINCIPLES
<p>Objective: To deepen the understanding of...</p> <p>Expected accomplishment: Greater adherence by the international community to the international legal regime established ... [Adherence is at a higher level than understanding]</p>	<p>Objective: Adherence to legal instruments ...</p> <p>Expected accomplishment: Increased understanding of....</p> <p>(Our assistance/training (outputs) should increase understanding of recipients to enable them to adhere to legal instruments)</p>
<p>Objective: To render electoral assistance [an activity]</p> <p>Expected accomplishment: Enhanced capacity of Member States requesting assistance to organize periodic and fair elections</p> <p>Indicator: Increased number of successful United Nations electoral assistance missions [this is an output]</p>	<p>Objective: To increase transparency and accountability of electoral processes...</p> <p>Expected accomplishment: Enhanced technical capacity of Member States requesting assistance</p> <p>Indicator: Increased number of international standards applied; increased number of electoral regulations and rules established....</p> <p>(Our training/guidelines/advisory services (outputs) should enhance technical capacity so as to facilitate increased transparency)</p>
<p>Objective: To promote policy debate on current and foreseeable population issues at the national and international levels with a view to enabling Member states to address population and development issues. [2 levels of objectives. To promote debate is an activity of the Secretariat; the objective (Member States and Secretariat collectively) should be at a higher level.]</p>	<p>Objective: To resolve population and development issues [this is why the subprogramme exists – obviously not just for policy debate]</p> <p>(Our research and analytical reports, our advisory services (outputs) should increase understanding – expected accomplishment - so as to enable Member States to resolve their national population and development issues)</p>
<p>Objective: To increase knowledge and understanding of drug, crime and terrorism issues and to increase support for the prevention and reduction of illicit drugs, crime and terrorism. [This should be expressed as an accomplishment, not as an objective]</p> <p>Expected accomplishment: Increased assistance to Member States... [Assistance is an output] “Increased gathering and analysis of data by the Secretariat” is an output.</p>	<p>Objective: To reduce the prevalence of drugs, crime and terrorism. [This is why the subprogramme exists – collective responsibility of Member states and Secretariat].</p> <p>Expected accomplishment: Increased knowledge and understanding of... And/Or Increased capacity of Member states to improve quality of forensic laboratories... [These accomplishments, as a consequence of our outputs, should lead to meeting the objective]</p>

PREVIOUS BIENNIAL PROGRAMME PLAN PROPOSALS	POSSIBLE REFORMULATION IN LINE WITH RBB PRINCIPLES
	(Our data collection, research and analytical reports, advisory services, training (outputs) would increase knowledge and/or strengthen the capacity of Governments to.....)
<p>Objective: To build policy and management capacity of...[should be higher level than expected accomplishment]</p> <p>Expected accomplishment: Increased capacity of [much the same as the objective]</p>	<p>Objective: [Why is capacity being built?] To achieve internationally agreed development goals.</p> <p>Expected accomplishment: Increased capacity of Member States to monitor.....</p> <p>[Our training, advisory services – outputs- would increase capacity, increase knowledge, understanding, etc.]</p> <p>Indicator: increased number of measures taken or programmes formulated to monitor..., or increased number of Member States able to monitor ...</p>

Indicators and performance measures in the proposed programme budget 2006-2007	Comments: indicators should be formulated in a way that will tell us the data we need to collect e.g. number or percentage? Number or time? Member states or measures?
<p>Legal instruments are finalized in respect of the activities of the United Nations</p> <p><i>Performance measures:</i></p> <p>2002-2003: within a 4-month period Estimate 2004-2005: within a 4-month period Target 2006-2007: within a 3-month period</p> <p>[This measure address the question of time, not legal instruments]</p>	<p>As formulated, the data that would be collected would be the number of legal instruments, but the performance measure deals with the question of time.</p> <p>Indicator should read: Reduction in time taken for legal instruments to be finalized in respect of the activities of the United Nations.</p>
<p>Increased number of network participants</p> <p><i>Performance measures:</i></p>	<p>The indicator called for the number of participants, while the performance measure refers to percentage of participants.</p>

<p>Indicators and performance measures in the proposed programme budget 2006-2007</p>	<p>Comments: indicators should be formulated in a way that will tell us the data we need to collect e.g. number or percentage? Number or time? Member states or measures?</p>
<p>2002-2003: 23 per cent increase in the number of network participants Estimate 2004-2005: 25 per cent increase in the number of network participants Target 2006-2007: 28 per cent increase in the number of network participants</p>	<p>Indicator should read: Increased percentage of network participants</p> <p>OR</p> <p>Performance measure should refer to number of network participants.</p>

Annex V

Checklist for departmental submissions

	Please check <input checked="" type="checkbox"/>
(a) Programme: Overall orientation	/ /
(b) Subprogramme:	
(i) Objective	/ /
(ii) Expected accomplishments	/ /
(iii) Indicators of achievement	/ /
(iv) Performance measures	/ /
(v) Strategy	/ /
(vi) External factors	/ /
(c) Identification of mandates that are no longer valid (Annex IV)	/ /
(d) List of resolutions providing the mandates for the programmes and subprogrammes.	/ /
(e) List of relevant intergovernmental bodies that provide direction and oversight of programme/subprogrammes, with dates of meeting.	/ /
(f) Organigramme of the Department, with distribution of posts for each subprogramme, which should be linked to an organizational structure usually at the level of a division, if different from 2010-2011	/ /
(g) Summary of lessons learned and experienced gained.	/ /

The draft text of the biennial programme plan for the biennium 2012-2013 should preferably be submitted in electronic form as a Word document to the following addresses:

- via **email** to Submissions, Budget
- via **Internet** – submissions@un.org

Hardcopies may also be submitted by fax to (212) 963 3839 but must be accompanied subsequently by a soft copy. Data entry in respect of objectives, expected accomplishments, indicators of achievement, and external factors should be entered in IMDIS <http://imdis.un.org>.

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Annex VI

PPBD contact list by Programme

PROGRAMME		CONTACT
		(Programme managers/Executive officers would be advised, should there be any change in the contact information)
Programme 1	General Assembly and Economic and Social Council affairs and conference services	Chunlin Tang
Programme 2	Political affairs	Dennis Thatchaichawalit
Programme 3	Disarmament	Elenita Mignini
Programme 4	Peacekeeping operations	Sheryl Simmons
Programme 5	Peaceful uses of outer space	Bruce Neese
Programme 6	Legal affairs	Elenita Mignini
Programme 7	Economic and social affairs	Mikhail Liarski
Programme 8	Least developed countries, landlocked developing countries and small island developing States	Sheryl Simmons
Programme 9	United Nations support for the New Partnership for Africa's Development	Dennis Thatchaichawalit
Programme 10	Trade and development	Mikhail Liarski
Programme 11	Environment	Beverly Thompson
Programme 12	Human settlements	Etty Puraatmadja
Programme 13	International drug control, crime and terrorism prevention and criminal justice	Bruce Neese
Programme 14	Economic and social development in Africa	Beverly Thompson
Programme 15	Economic and social development in Asia and the Pacific	Dario Lopez
Programme 16	Economic development in Europe	Dario Lopez

PROGRAMME		CONTACT
		(Programme managers/Executive officers would be advised, should there be any change in the contact information)
Programme 17	Economic and social development in Latin America and the Caribbean	Etty Puraatmadja
Programme 18	Economic and social development in Western Asia	Tarun Chakravorty
Programme 19	Human rights	Beverly Thompson
Programme 20	International protection, durable solutions and assistance to refugees	Etty Puraatmadja
Programme 21	Palestine refugees	Mikhail Liarski
Programme 22	Humanitarian assistance	Florence de Saint Giniez
Programme 23	Public information	Angela Ng
Programme 24	Management and support services	
A. Headquarters		
	1. Management services, administration of justice and services to the Fifth Committee of the General Assembly and to the Committee for Programme and Coordination	Elisabeth Turnbull-Brown
	2. Programme planning, budget and accounts	Su Su Win
	3. Human resources management	Tek Pokwal
	4. Support services	Tek Pokwal
B. United Nations Office at Geneva		Weiyi Xiao
C. United Nations Office at Vienna		Kaori Yasuoka
D. United Nations Office at Nairobi		Kaori Yasuoka
E. Office of Information and Communications Technology		Elisabeth Turnbull-Brown
Programme 25	Internal oversight	Shalom Te Amo
Programme 26	Jointly financed activities	Chunlin Tang
Programme 27	Safety and security	Elisabeth Turnbull-Brown