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## **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)**

### **SUMMARY**

In accordance with the provisions of 175 EX/Decision 22, the Director-General hereby submits to the Executive Board a short report on some of the evaluations carried out in the 2006-2007 biennium, together with his comments.

Decision proposed: paragraph 9.

Further, in accordance with 175 EX/Decision 22.6, the Director-General will submit an addendum to this document reporting on the cost effectiveness of the programmes evaluated during the period of the Medium-Term Strategy for 2002-2007 (31 C/4) and a decision thereon.

## **BACKGROUND**

1. At the 175th session of the Executive Board, by 175 EX/Decision 22, the Executive Board reiterated that the Director-General should continue to report periodically to it on evaluations carried out on the Organization's programme activities, on the progress made in the follow-up to evaluation recommendations and in strengthening the quality of the evaluations undertaken. Further, the Executive Board by 175 EX/Decision 22.6 requested the Director-General "to revisit the evaluations made during the 31 C/4 period and to provide it at its 176th session with a more detailed report in regard to the cost-effectiveness of the programmes evaluated". This is presented as an addendum to the present document.

2. UNESCO's Evaluation Strategy: The Organization continues to implement UNESCO's Evaluation Strategy (165 EX/19), while a new strategy (176 EX/27) for the next medium-term period (34 C/4) has now been completed. The Director-General is committed to further improving the quality of the evaluations undertaken and to reinforcing the evaluation culture in managing for results.

3. Layout: The summaries of the reports are given in tabular form at the request of the Executive Board (175 EX/Decision 26), with the recommendations positioned alongside the findings and/or conclusions (in terms of achievements and challenges where applicable) they refer to. The last column in each row is a brief account of the actions that the Director-General has already taken or is taking in response to the recommendations made. In the second part, the Director-General presents the generic lessons that have emerged. The addendum covers the cost effectiveness of the programmes evaluated during the period of the Medium-Term Strategy for 2002-2007 (31 C/4).

## **PART I – PRESENTATION OF EVALUATION REPORTS**

4. A review of UNESCO's capacity-building function.

5. An evaluation of UNESCO's Results-Based Management Training Programme.

6. A Practice Review of UNESCO's Exit and Transition Strategies.

7. An evaluation of the cross-cutting themes: Eradication of poverty, especially extreme poverty, and The contribution of information and communication technologies to the development of education, science and culture and the construction of a knowledge society.

#### 4. Title of the evaluation: A REVIEW OF UNESCO'S CAPACITY-BUILDING FUNCTION

##### **Brief description and background of the activities evaluated/reviewed:**

Capacity-building is one of the five functions of UNESCO (Medium-Term Strategy for 2002-2007, 31 C/4). UNESCO understands "capacity" as the "capability of individuals, communities, institutions, organizations, social and political systems and society as a whole to use a wide range of different resources at their disposal to pursue sustainable development goals, to make informed choices about the solution of problems and to implement projects and to sustain them". The building or development of capacities denotes the "process whereby individuals, institutions, organizations and countries acquire, adapt, strengthen, deploy and maintain their capacities and abilities" (174 EX/16). Capacity-building continues to be a central goal of the United Nations system at large – in policies, strategies and programmes as well as in country-level assistance. In particular, the 2005 World Summit Outcome document and the Paris Declaration on Aid Effectiveness have placed special emphasis on the issue. In the same vein, the United Nations Economic and Social Council has recommended that all United Nations organizations, within their respective mandates, support governments and other relevant stakeholders in devising country-led strategies for capacity-development in the pursuit of internationally agreed development goals. In October 2006, the Executive Board requested the Director-General "to render assistance for institutional capacity-building of Member States in UNESCO's domains" (175 EX/Decisions, para. 21, p. 25). Although central to the programming of most development assistance organizations, capacity and capacity-development have not been well understood. Recent research is helping to shed light on this important area of development cooperation. It is in this context that the present review was undertaken.

##### **Budget**

Budgets identified for capacity-building components in the major programmes in document 32 C/5 were: Education: \$3,412,200; Natural sciences: \$5,225,200; Social and human sciences: \$928,100; Culture: \$1,135,200; and Communication and information: \$692,200.

##### **This evaluation/review**

The purpose of this review is to: (i) inform senior management of good practices to be considered in designing capacity-building initiatives; and (ii) enable sectors to improve their capacity-building interventions. Using a semi-structured questionnaire, the evaluators interviewed 49 staff members at Headquarters, in UNESCO institutes and in the field. Among those who participated were four Assistant Directors-General. The evaluators examined: a wide range of planning documents; evaluation reports; data from SISTER; several internal papers examining capacity-development and its application; and recent international research on the theory and practice of capacity-development. The evaluators drew mainly from UNESCO's capacity-building programming in 10 main lines of action across the five major programmes. The review was focused on lessons from UNESCO's experience in capacity-building and from the international research in this area to answer the following questions: (i) What have UNESCO and others learned about the most effective approaches to, and modalities for, capacity-building? (ii) What should UNESCO's role in capacity-building be, given United Nations reforms that emphasize country-led, comprehensive development strategies supported by all United Nations organizations working collaboratively? (iii) What needs to change within UNESCO in order to do a better job of capacity-building? The evaluators use "capacity-development" and "capacity-building" interchangeably in this review and references made to these terms relate to organizations and institutions unless otherwise specified.

	<b>Findings and conclusions</b>	<b>Recommendations</b>	<b>Actions taken/to be taken by the Director-General</b>
1	<p>UNESCO's strengths are in its ideas, its innovations, its international standard-setting and its power to bring national and international groups together to plan, implement and reflect. With few exceptions, UNESCO has neither the financial nor the human resources to undertake on its own the complex, multi-layered, institutional capacity-development required in countries of the South. It can, however, add value to capacity-development programmes, applying its global experience and demonstrating how innovations in one country can be adapted to another. It can promote international good practices and facilitate knowledge exchange, networking and learning.</p> <p>Capacity-development is given high priority in the context of United Nations reforms, especially at country level. Research on capacity-building suggests the need for a multi-layered, multi-dimensional framework for understanding capacity, and a holistic, long-term approach to its development, with particular attention to the formal and informal systems that affect change. Narrowly focused, short-term technocratic responses characterize much of UNESCO's capacity-building, but several good practices were identified, notably the recent development of a cross- and intersectoral capacity-building programme which involves all sectors and covers several themes, including sustainable development, statistics, educational planning, ethics of science and safeguarding cultural heritage. UNESCO might best focus on countries and areas of institutional capacity-development where it can fully bring its comparative advantage and expertise to bear. However, further work, beyond the scope of this review, is required to map out UNESCO's options and determine the most prudent courses of action.</p>	<p>The evaluators recommend that senior management undertake further analysis and discussion to identify UNESCO's options with respect to a strengthened role in capacity-development and to determine the implications of each.</p> <p>In considering this finding, UNESCO should strive to improve its present capacity-building programming keeping in mind that capacity-development most often needs to:</p> <ul style="list-style-type: none"> <li>• deal with capacities at several levels, including the individual and institutional levels;</li> <li>• be long term;</li> <li>• capitalize on UNESCO's comparative advantage and expertise;</li> <li>• have sufficient financial and human resources;</li> <li>• follow holistic, intersectoral and cross-sectoral approaches in order to bring about synergies bolstering effective capacity-building;</li> <li>• continue to go beyond a too narrow notion of technical capacity-building or individual training only;</li> <li>• build in measures for sustainability;</li> <li>• work in partnership with others;</li> <li>• tailor programming to local conditions and ensure there is committed local ownership from the outset; and</li> <li>• incorporate effective monitoring and reporting.</li> </ul>	<p>The Director-General is committed to continuing to strengthen UNESCO's capacity-building programming, drawing on the progress made in the development of a cross- and intersectoral capacity-building programme as documented in 174 EX/16 and 176 EX/5 Add.2.</p> <p>The Director-General has requested sectors to: (i) build on ongoing capacity-building activities, in particular those of a cross-sectoral and intersectoral nature, in line with 174 EX/Decision 14, and in view of the establishment of an intersectoral platform included in draft document 34 C/5; and (ii) draw on existing inter-agency and United Nations system-wide best practices, tools and modalities on capacity-building, including of the now completed UNDG WG on Capacity-development, where UNESCO was an active member.</p> <p>The Director-General will also request HRM to explore possibilities for UNESCO staff to participate in training in best practices on capacity-building at various levels, utilizing training resources and modules available at the United Nations Staff College.</p>

Findings and conclusions (continued)		Recommendations	Actions taken/to be taken by the Director-General
2	The review has shown that UNESCO supports many small, unconnected, short-term projects that are often confined to individual capacity-development and that yield no institutional changes. Too often staff assumed that technical inputs lead to institutional change, whereas recent studies have demonstrated that this assumption holds true only in a limited number of circumstances. In this regard, UNESCO's recently developed cross-sectoral and intersectoral capacity-building programme serves as a good practice in going well beyond the technical notion of capacity-building, in involving all sectors and in stressing the institutional component of capacity-building.	It is recommended that in its capacity-development programming, UNESCO continues to pay close attention not only to the technical dimension of capacity-building, but also to the social and political dynamics of organizational change, including the formal and informal systems that affect institutional capacity and change.	See action noted for recommendation 1
3	The review emphasizes the value of, and need for, experimentation and innovation in relation to institutional capacity-development. It shows that there is room for small, short-term capacity-development projects where clear gaps exist, where UNESCO adds value, and where there are opportunities for scaling up. The evaluators would encourage UNESCO to continue to support and improve such projects, and to experiment and learn from them.	The evaluators recommend that UNESCO continue to undertake and improve small capacity-development projects, some of an experimental nature, where clear gaps exist, where scaling up is possible, and where the Organization can add value.	See action noted for recommendation 1
4	Inconsistent and imprecise use of terms such as "capacity-building" or "capacity-development" in official documents and in other forms of communication has contributed to misunderstanding among UNESCO staff members. Too often these terms have been used to justify almost any type of programming. Rarely has the Organization elaborated: What capacity? Whose capacity? Capacity at what level? or Capacity-development for what purpose? Moreover, misuse of the terms has raised unreasonable expectations about the Organization's role with respect to capacity-development and what it can accomplish.	It is recommended that UNESCO use the terms "capacity", "capacity-building" and "capacity-development" consistently and precisely in its documents, explaining what these terms mean, wherever possible.	The Director-General considers that the definitions of "capacity" and "capacity-building" provided in document 174 EX/16 should serve as a reference point for the consistency called for by the recommendation.

## 5. Title of the evaluation: EVALUATION OF UNESCO'S RESULTS-BASED MANAGEMENT TRAINING PROGRAMME

<b>Brief description and background of the activities evaluated/reviewed:</b>			
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 2003.			
<b>Budget</b>			
The 2003 training budget was \$100,000. For 2004 and 2005 a \$290,000 budget was formulated to cover: training workshops and ad hoc training in various field locations (travel for field staff and trainers; organization of workshops; preparation of materials; backstopping; support staff).			
<b>This evaluation/review</b>			
This evaluation assesses the RBM training programme developed and implemented by the Bureau of Strategic Planning (BSP) from June 2003 to November 2005. The objectives of the evaluation were to assess the RBM training programme with regard to: (i) its policy and management structure; (ii) its quality and effectiveness; and (iii) its impact in the Organization. The evaluation was also to provide options for UNESCO to further develop and improve the RBM training programme. The evaluation employed four methodological tools: (i) an extensive desk review of UNESCO documentation and RBM training material; (ii) some 25 interviews with the RBM training team, associated consultants, senior management, staff and delegations at Headquarters; (iii) a web-based survey of participants in the RBM training programme; and (iv) an analysis data on the evaluation of the various training sessions.			
	<b>Findings and conclusions</b>	<b>Recommendations</b>	<b>Actions taken/to be taken by the Director-General</b>
1	<b>RBM culture has been enhanced.</b> UNESCO has been moving towards results-based management (RBM) by introducing policy and programme changes to improve the quality and increase the impact of its programmes. The introduction of the RBM training has facilitated this move as evidenced by the use of RBM concepts in work plans and other work activities, as well as the improved formulation of results in the C/5 document noted by the Executive Board. Participants demonstrated a general satisfaction with the RBM training as well as the application of RBM concepts. They valued the opportunity to learn about RBM and felt more knowledgeable about the formulation of their inputs into the planning process.	Results-based management concepts are not always easy to understand. For many, RBM is a new way of thinking about programme planning, implementation and assessment of progress. It is, therefore, recommended that offering training that provides a solid overview of RBM theory, as well as opportunities for hands-on work, should continue to be promoted.	The Director-General has decided to continue the programme as part of the corporate training programme, providing RBM training both at Headquarters and in field offices, also in response to the ongoing United Nations reform and CCA/UNDAF processes.

	Findings and conclusions	Recommendations	Actions taken/to be taken by the Director-General
2	<p><b>Challenges</b>  <b>Limited human and financial resources may weaken the long-term sustainability of the RBM training programme.</b> Although an in-depth assessment of resource availability and utilization was not possible, it was found that the budget for the training programme was somewhat limited and the staffing pattern somewhat light. Looking forward, what is needed is stability, coherence and predictability of resources.</p>	<ul style="list-style-type: none"> <li>• A Financial Sustainability Plan could be prepared for the next budget cycle. This document would assess the financing challenges facing the training programme, and would describe the unit's approach to mobilizing and using resources to support programme objectives.</li> <li>• The formation of a "Donor Reference Group", comprised of some delegations, could be explored and would allow donor governments to exchange views on RBM culture at UNESCO and make financial commitments, thus providing funding to support the programme.</li> </ul>	<p>The Director-General has asked BSP to prepare an overview of RBM training needs for the next programming cycle and identify the resources, including extra-budgetary sources, for funding, by September 2007. BSP will also explore the possibility of forming a "Donor Reference Group" as recommended.</p>
3	<p><b>Participants' skills have improved but these skills need to be enhanced to increase correct use of RBM concepts.</b> Despite the generally positive assessment offered by participants, it becomes clear that additional skill-building is needed to help staff formulate results for work plans and to develop performance indicators. Both interviews and survey data highlighted the importance of follow-up to refine skills and the willingness of staff to participate in ongoing training. Staff members are seeking opportunities to practise applying RBM concepts to specific work tasks. Many felt that practical exercises were insufficient and should be broadened as part of the training programme.</p>	<ul style="list-style-type: none"> <li>• Continue to offer the RBM training programme, but ensure that learning needs are clearly assessed and materials are targeted to those needs prior to embarking on another round of training. More than one set of training materials could exist (e.g. introductory, intermediate and advanced).</li> <li>• Review the training materials with an eye to practicality. Update materials with new examples and practical exercises (e.g. sector-specific examples, applications of "good practice", mistakes to avoid, etc.).</li> <li>• Provide formal, structured, targeted training (e.g. coaching) to staff involved with formulating results at the MLA-level, drawing on both the RBM training staff and well-trained BSP sector liaisons as coaches.</li> <li>• Offer the three-day formal RBM training sessions at Headquarters for staff who have only received coaching sessions and partial trainings to date.</li> </ul>	<p>See action noted for recommendation 1 above.</p>

Findings and conclusions		Recommendations	Actions taken/to be taken by the Director-General
3 con- tinued		<ul style="list-style-type: none"> <li>• Provide self-learning tools for staff, perhaps by developing a comprehensive Intranet site that uses the existing PowerPoint materials to develop an “e-learning” course, complimented by other practical materials such as templates, worksheets and reference materials. Manage and update the site regularly. If resources permit, the e-materials could also be turned into a CD-ROM for distribution in field offices that have bandwidth constraints or other Internet access challenges.</li> <li>• Incorporate RBM training documentation (perhaps from the e-learning materials described above) into the online orientation materials currently provided to new staff.</li> </ul>	See action noted for recommendation 1 above.
4	<b>For RBM to be applied effectively, training must take “intra-UNESCO” differences into account.</b> Not only do data suggest that the training sessions need to have a more practical (“how-to”) orientation, but that specific attention needs to be paid to the different approaches that different sectors must take to formulating expected results.	Collaborate with sector staff and BSP sector liaisons to tailor the training materials to sector-specific circumstances by modifying examples, exercises and handouts depending on the audience and their needs.	The Director-General is satisfied that specific requirements of the different sectors are taken into consideration in the training, and this will continue.
5	<b>Quality control and monitoring of programme outcomes could be enhanced.</b> The RBM team did make efforts to monitor important aspects of quality, particularly participant satisfaction. Post-participation evaluations were useful in this regard, but could have been improved to enhance the ability of BSP to monitor changes in learning and behaviours.	<ul style="list-style-type: none"> <li>• Use a pre/post survey design with a carefully constructed instrument to assess both participant satisfaction and changes in knowledge.</li> <li>• Collect data from all RBM trainees, <i>including coaching sessions</i>, to provide BSP with useful information about the different categories of assistance being offered.</li> <li>• Link data collection with performance indicators associated with a well-developed work plan to enhance programme monitoring and enable more strategic mid-course adjustments if necessary.</li> <li>• Enhance quality control by participating in (or building) expert networks, particularly within the United Nations system.</li> </ul>	BSP will continue to enhance the programme, incorporating lessons learned so far and improving the monitoring function on an ongoing basis.



Findings and conclusions		Recommendations	Actions taken/to be taken by the Director-General
6	<p><b>Looking forward, there is an opportunity to enhance the mainstreaming of RBM throughout organizational work processes.</b> When asked if they use RBM concepts in work processes other than developing work plans, 74% of survey respondents said they did so. They offered a comprehensive list of applications, ranging from meeting participation to proposal writing to staff performance assessment. In addition, interviews reveal support for a more ambitious RBM culture at UNESCO, particularly to improve the monitoring of programme activities and reporting of results.</p>	<ul style="list-style-type: none"> <li>• Develop a conceptual framework for RBM at UNESCO to be applied throughout the organization that promotes common understanding and concepts, and that clearly extends the vision for RBM beyond the formulation of results for the C/5 document. BSP is expected to release guiding principles for RBM at UNESCO, which could make a valuable contribution in this regard.</li> <li>• Recognize and reinforce use of RBM concepts throughout the Organization by incorporating “profiles of success” in training materials, staff newsletters and on an RBM Intranet website.</li> </ul>	<p>The development of guidelines has been an ongoing process. Completed version will be published by the end of 2007.</p>
7	<p><b>There are opportunities to build ownership of RBM.</b> There is some evidence from the participant survey that ownership of RBM concepts is growing at UNESCO. However, without a clear mechanism for monitoring, staff are not challenged to reflect on the work plans regularly and may not see work plans as a useful tool. Staff members need to feel ownership of their work plans and their expected results in order to see the utility of the RBM training and to use it.</p>	<p>Extend the use of RBM to monitoring and evaluation. “Monitoring for results” training might be considered an intermediate RBM course. If resources are not immediately available for providing such training, BSP might consider offering workbooks, templates or other instructional materials to help staff further develop their ability to identify and use performance indicators.</p>	<p>The Director-General has asked Sector ADGs, Chiefs of Executive Offices, Directors and Heads of Offices to actively promote the correct use of RBM in their respective units.</p>

## 6. Title of the evaluation: A PRACTICE REVIEW OF UNESCO'S EXIT AND TRANSITION STRATEGIES

<b>Brief description and background of the activities evaluated/reviewed:</b>		
<p>Current debates in development policy and aid reform show an increasing significance and a growing concern about the issue of exit and transition. Factors such as scarcity of resources, the uncertain political environment, changing donor priorities, trends towards harmonization of aid effort, and an increasing demand for different forms of assistance from Member States has triggered governing bodies of international organizations as well as major donors to give due consideration and thought to planned exit. Planning for exit allows development agencies to shift resources to where they are most needed while maintaining the focus on achieving sustainable outcomes. There is general consensus among development agencies that having a transparent set of criteria for engagement, transition and disengagement from a given programme or activity will assist all partners in working towards a common goal. However, most development agencies find integrating the principles and criteria for exit into the programming cycle challenging.</p>		
<b>This evaluation/review</b>		
<p>This review was commissioned by UNESCO to explore current practices and staff perceptions with regard to exit and transition, and to develop guidelines and tools for staff to build on existing practices. The purpose of this review is to inform UNESCO on the current state of play in relation to exit and transition within the Organization; examine the attitudes that shape current practices towards exit and transition; and how UNESCO can effectively adopt and learn from international best practices when developing and implementing exit strategies in its programming work. The scope of the review covers UNESCO practices in both Headquarters and field offices. Field offices in three locations were covered: Dakar, Brasilia and Jakarta.</p>		
<b>Findings and conclusions</b>	<b>Recommendations</b>	<b>Actions taken/to be taken by the Director-General</b>
<p>1 <b>The importance of contextual factors.</b> The issue of exit and transition within UNESCO is complicated by a number of contextual factors in the wider environment. Factors such as the breadth of its role and mandate; the governance structure and its impact on decision-making; trends in the development environment and the push towards harmonization, alignment and results; and the changing donor environment with enhanced focus on results poses huge challenges for planning and implementing exit and transition strategies in UNESCO.</p>	<p><b>STAFF</b> UNESCO should focus on building a shared language and meaning around exit and transition among staff: - ensure that processes used for developing strategies for exit are collaborative and participative; - a clear communications strategy, combining advocacy with inquiry, should be designed to educate staff about value of exit; and - undertake activities to increase awareness such as: (i) staff seminars and workshops; (ii) integrate in DG and ADG speeches; and (iii) publish case studies of staff experiences in planning and implementing exit.</p>	<p>The Director-General has asked BSP to explore possibilities of developing exit and transition strategies, so that they can be well integrated into the planning and management cycle in response to Member States' request to develop and apply sunset clauses, as captured in draft document 34 C/4.</p>
<p>2 <b>Lack of a shared understanding of meaning and relevance of exit within UNESCO.</b> There is no collective understanding of the concepts of exit and transition within UNESCO. The terms are relatively new to staff. Opinions about their relevance are also mixed with a majority of staff feeling these concepts are of limited relevance given UNESCO's far-reaching and ambitious mandate and an organizational culture that favours continuation rather than discontinuation. There is a greater level of acceptance of exit at the project level, as projects involve time bound activities. When funding is terminated, the project typically ends and UNESCO exits.</p>	<p><b>INSTITUTIONAL CULTURE AND SUPPORT</b> UNESCO needs to reflect on the organizational culture and promote the use of knowledge and learning in a strategic manner across the different parts of the Organization.</p>	

	Findings and conclusions	Recommendations	Actions taken/to be taken by the Director-General
3	<p><b>Limited evidence of systematic and deliberate planning for exit.</b> The lack of an explicit codified framework and guidelines for exit in UNESCO results in ad hoc and variable practices regarding exit across sectors and between projects within a sector. Consequently, the practice of exit is driven by the skill and experience of individual staff and not by the Organization as a whole. There is a need for a UNESCO-wide strategy that guides and shapes staff perceptions of exit and transition and its relevance for UNESCO to ensure consistency and coherence across the different parts of the Organization.</p>	<p><b>PLANNING CYCLE</b> UNESCO should ensure that planning for exit happens at the beginning of the project planning cycle. Specifically,</p> <ul style="list-style-type: none"> <li>- project proposals should include exit thinking and objectives when articulating the logic framework approach for the intervention;</li> <li>- planning for exit must occur at the entry stage;</li> <li>- all stakeholders and partners must be involved when setting objectives and expectations regarding project exit;</li> <li>- a clear but flexible timeline for exit linked to project funding cycle should be established; and</li> <li>- project planning documents should include discussion of: (i) expectations regarding exit and transition; (ii) specific criteria for exit; (iii) measurable goals for sustainability; (iv) responsibilities for taking over activities and ongoing assessment of willingness to continue the programme; and (v) how costs of activities associated with exit will be met.</li> </ul>	<p>See actions noted for recommendations 1 and 2 above.</p>
4	<p><b>Inadequate linkages between project results, sustainability and exit.</b> The issue of sustainability is at the core of development discourse and most international aid agencies would like to see beneficiary countries take on the ownership and leadership of programme and project results and ongoing management of programme activities. However, these linkages need to be established at the beginning of the project as it allows capacity-building dimensions or notions of sustainability to be built into the design of the initiative. Failure to make these linkages could mean that project results are defined in narrow terms and focused on measuring project outputs rather than outcomes. Often, progress in the capacity of the beneficiary country or partner agency to take on the intervention is not measured. This poses risks for sustainability of results when the time comes to exit.</p>	<p><b>Sustainability:</b> UNESCO should specify how initiatives will be sustained:</p> <ul style="list-style-type: none"> <li>- project proposals should outline exit strategies that are consistent with the theory of sustainability;</li> <li>- sustainability and exit strategy goals must be used to shape the way expected results are set up;</li> <li>- UNESCO should steer away from purely using results or impact measures as criteria for exit as the level of impact desired may not be achievable in the time-frames;</li> <li>- ongoing monitoring of project implementation as well as progress towards exit and sustainability goals;</li> <li>- evaluation to assess the relevance and coherence of exit decisions/strategies and how they were implemented; and</li> <li>- evaluation of impact of withdrawal on project sustainability some years after UNESCO has withdrawn.</li> </ul>	<p>See actions noted for recommendations 1 and 2 above.</p>

**7. Title of the evaluation: EVALUATION OF THE CROSS-CUTTING THEMES: ERADICATION OF POVERTY, ESPECIALLY EXTREME POVERTY, AND THE CONTRIBUTION OF INFORMATION AND COMMUNICATION TECHNOLOGIES TO THE DEVELOPMENT OF EDUCATION, SCIENCE AND CULTURE AND THE CONSTRUCTION OF A KNOWLEDGE SOCIETY**

<b>Brief description and background of the activities evaluated/reviewed:</b>			
Document 31 C/4 provided for two cross-cutting themes (CCTs) to facilitate intersectoral and interdisciplinary approaches and work that were intended to “be intrinsic to all UNESCO’s programmes and play a central role for the entirety of the Organization’s activities: eradication of poverty, especially extreme poverty; and The contribution of the information and communication technologies to the development of education, science and culture and the construction of a knowledge society” (ICT). A unique feature of the CCT approach was to request competitive proposals for pilot projects from intersectoral teams, with a proportion of the budget earmarked for junior staff, with a view to fostering creativity through the provision of funding to identify and to test innovative approaches (e.g. DG/Note/02/38). Thirty projects were funded for a two-year period, 19 over four years and 12 for six years, totalling 61 different projects during the 31 C/4 period (31 Poverty, 30 ICT).			
<b>Budget</b>			
The initial expectation was that 15%-20% of all programme funds would be earmarked for intersectoral activities under the two themes (DG/Note/00/30) although the amounts allocated fell short of this target: \$12M or 10.6% in 31 C/5, \$10.4M or 7.0% in 32 C/5 and \$5.4M or 4.1% in 33 C/5, with a total of \$27.8M or 7.1% of the programme budget over the entire three-year period. There are 13 poverty reduction and 15 ICT projects in operation during the current 33 C/5 period.			
<b>This evaluation/review</b>			
This evaluation was to provide UNESCO with a clear account of the poverty and ICT CCTs, and information to assist UNESCO in understanding what has worked and what has not worked, so as to guide future planning. The primary focus of the evaluation was on the results UNESCO has achieved with respect to poverty eradication and of the use of ICTs via the CCT projects and the intersectoral approach, and the extent to which the CCT mechanism has effectively strengthened intersectorality.			
	<b>Findings and conclusions</b>	<b>Recommendations</b>	<b>Actions taken/to be taken by the Director-General</b>
1	CCTs represent an important asset to UNESCO that can contribute to intersectoral and interdisciplinary work. They have created space for the identification, testing and implementation of innovative ideas and approaches. They are valued by staff and partners, and have introduced a culture of teamwork, performance, action and results in some areas. Some projects have achieved outside recognition that has contributed to UNESCO’s reputation.	CCTs project modality should be retained as an important tool in order to provide a vehicle for innovation involving intersectoral teams but with increased priority and management recognition, resources and support in order to maximize the value of this asset to UNESCO.	While the programming approach for document 34 C/5 will not include centrally funded CCT projects, new programming and implementation modalities, such as the intersectoral platforms, will be developed to achieve the overarching objectives and the strategic programme objectives in an intersectoral manner.  The College of ADGs had established a Task Force to explore issues of the CCTs, and the recommendations from the Task Force had served to inform the approach being proposed in document 34 C/4.

Findings and conclusions		Recommendations	Actions taken/to be taken by the Director-General
2	<p>The CCT projects achieved the following types of results: creation of new networks and partnerships providing for continuity and sustainability of UNESCO's original intervention (catalytic results); and the delivery of concrete and innovative initiatives in several Member States.</p>	<p>With increased funding for CCT projects, as recommended by the evaluators, eligibility need not be restricted to specific themes, providing maximum opportunity to support intersectoral work across all areas of UNESCO and to provide support for the development and testing of innovative ideas of an intersectoral nature.</p>	<p>In particular, the programme ADGs and the BSP will jointly develop appropriate mechanisms and modalities for addressing specific intersectoral subjects or areas. These mechanisms will describe the arrangements for funding, roles and responsibilities, knowledge management, performance management, necessary training/skills development and monitoring by September 2007.</p>
3	<p>CCT projects under the poverty theme have demonstrated a commitment within UNESCO to poverty reduction for those involved. This is particularly visible in very poor countries. The CCT approach permits action as a "test bed" for different ideas and approaches, including a human rights approach to poverty reduction. Given that poverty is a multidimensional phenomenon, the CCT approach in principle is very appropriate although, in practice, a lot depends upon commitment and capacity. The introduction of the coordination function for the poverty theme has been particularly useful and has provided a common space for mutual learning and feedback.</p>	<p>The human rights-based approach to poverty reduction should be maintained and strengthened through a more practice-based approach in line with other United Nations agencies (e.g. UNICEF). More efforts should be made to better communicate the rationale and practical implications of this approach across UNESCO.</p> <p>Innovative projects testing multidimensional approaches to poverty reduction should continue to be eligible for CCT funding. However, UNESCO's commitment to poverty reduction, within the mandate of MDG 1, should not be limited to CCTs. Poverty reduction should also be mainstreamed, with each sector and programme area required to establish objectives and to indicate progress towards poverty reduction.</p>	<p>The Social and Human Sciences Sector will continue to deliver its human rights training to UNESCO staff, and review it for more practical application to more of UNESCO's programmes dedicated to poverty eradication.</p>

Findings and conclusions		Recommendations	Actions taken/to be taken by the Director-General
4	CCT projects under the ICT theme have explored various ways in which ICTs can be used in different areas of development. Projects have identified the potential of different types of ICT tools (e.g. websites, databases, cooperative tools) that now appear, at least to some extent, across UNESCO. CCT ICT projects have explored linkages in a variety of different areas, e.g. education, HIV/AIDS information, and use of ICTs to facilitate scientific cooperation.	Rather than being viewed as a “theme”, ICTs should be built into all programme areas with working relationships established with the CI Sector to provide appropriate support and guidance. Innovative approaches to the use of ICTs and the integration of knowledge societies in programme areas should continue to be eligible for CCT pilot project funding. More efforts should be made to communicate the practical implications of the knowledge society concept along with guidance and support across UNESCO.	This is already the case and will continue to be.
5	Despite the achievements noted above, CCTs have had limited impact in terms of increasing intersectorality overall across the Organization. The budget for CCTs, reflecting 7.1% of programme funds over the 31 C/4 period and 4.1% in the 33 C/5 period, as well as the limited number of UNESCO staff directly involved in CCTs at any one time, were insufficient to make an impact on the overall organizational culture. Funds spread thinly across many different projects and sites further limited the potential for impact. Recognition and management support for work on CCTs was limited, with this work not reflected in job descriptions or performance reviews of staff members.	A significant part of the programme budget (e.g. 50%) should be devoted to intersectoral work of some form, of which a significant component (25%-30% of all programme funds) should be allocated to CCTs. This would provide a clear signal from senior management that intersectoral work is expected to be a regular rather than an exceptional mode of operating within UNESCO. In this manner, programme areas will be motivated to engage in intersectoral activities, including CCT projects, as a significant portion of their funding will depend upon this.	See 2 – this will be taken into account in developing the mechanisms proposed above.

Findings and conclusions		Recommendations	Actions taken/to be taken by the Director-General
6	Actual decentralization with respect to CCT projects has been limited. There have been few team leaders based in the field, and often their role and that of field offices with respect to CCT projects has been mainly administrative rather than strategic in nature, leading to feelings that field involvement has sometimes been more token than real and to concerns about “false decentralization”. Restricted resources and capacity represent a significant barrier to greater meaningful involvement of field offices in CCT projects.	<p>Given the multidimensional nature of most key development issues, UNESCO should reaffirm its commitment to intersectoral action at both Headquarters and/with the field and should reinforce this commitment through greater management priority, funding and support for intersectoral work.</p> <p>UNESCO’s management structure should be adjusted in certain respects, providing greater priority, recognition, incentives and support for intersectoral work, including CCTs. At a minimum, this should involve: including and highlighting the work of team leaders and team members on CCTs in their job descriptions and in their performance appraisals (PerfoWeb); basing a significant portion (i.e. at least 25%-30%) of the job descriptions and performance assessments of UNESCO managers at all levels upon the extent to which their own work and that of their staff is of an intersectoral nature; and providing guidance, support and mandatory training about how to maximize team effectiveness to all team leaders and team members.</p>	The Bureau of Human Resources Management (HRM) will make improvements to the training and development programmes (e.g. leadership and teamwork, project management, RBM) in order to address intersectoral dimensions. HRM will also ensure that human resources tools (PerfoWeb) are appropriately adapted to reflect the intersectoral nature of UNESCO’s work, supporting the efforts of the programme sectors
7	Few guidelines, training or other forms of support regarding effective teamwork have been provided to team leaders, team members or others within the Organization. There has been limited use of ICTs that might facilitate greater collaborative work, in particular among people geographically dispersed. While some projects have demonstrated effective teamwork and intersectoral cooperation, this is not so in other cases, and the actual role of team members in some situations has been more nominal than real.		
8	While there was strong support for the principle of competitive bidding in the selection process, the manner in which this was implemented has led to some challenges. For example, the time allocated for submission of proposals did not permit thorough needs assessments or provide sufficient time for all members of a proposed team to work collaboratively in the development of the proposed approach. There was a lack of transparency regarding criteria for decisions with respect to those projects that were selected or not and with respect to approved budgets and conditions imposed. The two-year approved funding period was insufficient for bringing about significant change on complex social and developmental issues, and limited the potential for long-term planning.	The competitive bidding process for CCT projects should be retained and further refined, taking into account the experiences during the 31 C/4 period. In particular, there should be realistic time-frames for project submissions and subsequent detailed work plans that enable teams to work collaboratively on the project design, and there should be transparent selection criteria with clear and timely feedback to all who have submitted proposals explaining the reasons for decisions and changes in budgets or conditions. Clear guidelines should be provided regarding expectations of teamwork, including roles of team members. It should be possible to approve projects for up to six years, subject to review and evaluation, with possible adjustments at the end of each biennium.	See actions in 2 above. Also almost a year has already been invested in the design of the new intersectoral approaches in draft document 34 C/4.

Findings and conclusions		Recommendations	Actions taken/to be taken by the Director-General
9	A primary challenge for the poverty CCTs is the lack of capacity and human resources both at Headquarters and field levels. This is all the more important since UNESCO needs to better define its own niche and added value in poverty work and collaborate more with other United Nations agencies and other partners in order not to replicate what is already being done. Other challenges include insufficient understanding of how to influence changes in policy and a limited understanding outside the SHS Sector of the potential and key features of a human rights approach to poverty reduction.	<p>There should be better collaboration with other United Nations agencies and other key actors involved in poverty reduction in order to maximize impact and avoid replicating what others are already doing.</p> <p>Projects should be encouraged to engage in greater coordination and joint activities with other United Nations agencies, and to seek additional funding from extrabudgetary sources.</p>	All programme sectors will solicit the cooperation of United Nations system agencies and other key actions, in particular in participating in United Nations country programming exercises (UNDAF) commencing with the eight pilot countries on the One United Nations reform programme.
10	Within the ICT stream there have also been some positive examples of projects that have tested out innovative ideas in an intersectoral manner and resulted in change. There is, nevertheless, a lack of consensus, in particular outside the CI Sector, about the strategic approach or vision of ICTs, including the meaning and practical implications of the “knowledge society” and “information for all” concepts. Some of the most ambitious and costly ICT CCT projects appear to resemble regular CI projects with similar objectives. Thus, the CCT has been used as another way to do the same thing. The term “ICT” may be misleading with “knowledge society” now being more appropriate. There is a need for greater capacity-building regarding these concepts, as well as for greater information sharing, in particular outside the CI Sector.	In order to provide for a true intersectoral approach that is not seen as “owned” by a specific sector, there should be a separate budget area for intersectoral work, with responsibility for coordination and management of projects, including for conceptual direction and backstopping, to be under the College of ADGs. The College should report to the Director-General every six months on the progress of CCT projects as well as how intersectorality has been achieved in each sector and overall in the Organization.	See 1 above.
11	There have been some, but insufficient, systematic approaches to the identification and dissemination of learning and good practices from the projects within UNESCO and with partners. There has been limited project or thematic evaluation and ongoing monitoring that could maximize the potential for learning from pilot projects, as well as assist in project management. Some, but not other, projects have developed effective exit strategies. There has been limited coordination across the two themes.	UNESCO should develop a systematic approach to the identification, collection, and dissemination of learning and good practices from CCT projects (“knowledge management”) in order to aid practice within UNESCO and with partners. There should be dedicated funding to facilitate this process, potentially under a newly created Knowledge Coordinator position reporting to the Office of the Director-General. In addition, there should be dedicated funding of up to 10% of project budgets for mandatory project and thematic evaluations in order to maximize the potential for learning from pilot projects, as well as to aid in project management.	See 1.



## **PART II – CONCLUDING REMARKS OF THE DIRECTOR-GENERAL**

8. Lessons learned: These four evaluations revealed important strengths and challenges with implications for the planning and implementation of UNESCO's activities. A finding was that UNESCO should continue to strengthen its capacity-building efforts and further develop a common understanding of the best practices in the field, building on and further develop the recently established cross-sectoral and intersectoral capacity-building programme, as documented in documents 174 EX/16 and 176 EX/5 Add.2. The effective use of results-based management underpins the effective delivery of UNESCO's results. Both the evaluation of exit and transition strategies and the evaluation of cross-cutting themes referred to the need for further improvements in the practice of RBM. This was also noted in the evaluation of the RBM training programme, which the Director-General is committed to strengthen. Further, the Director-General recognizes that the complexity of specific and global challenges call for mobilization of all the core competencies of the Organization. As such, an intersectoral and multidisciplinary approach will continue to be one of UNESCO's key comparative advantages. UNESCO programme sectors and services will contribute in an intersectoral manner to the achievement of the five overarching objectives found in document 34 C/4.

### **Proposed draft decision**

9. The Executive Board may wish to adopt a decision along the following lines:

The Executive Board,

1. Recalling 175 EX/Decision 22,
2. Having examined documents 176 EX/28 and Add. which summarizes the evaluation reports that have been presented,
3. Taking note of the recommendations made by the evaluators as well as the report by the Director-General on the actions taken or to be taken to implement these recommendations,
4. Invites the Director-General to implement in an appropriate manner recommendations which improve the programmes and services to which they relate, and to continue to improve the quality of evaluations by implementing the UNESCO Evaluation Strategy;
5. Requests the Director-General to continue to report to the Executive Board on evaluations conducted on the Organization's programme activities, on the progress made in strengthening programme management, in the follow-up to evaluation recommendations for each programme evaluated, and in strengthening the quality of the evaluations undertaken and their impact on the management culture of the Organization.



United Nations  
Educational, Scientific and  
Cultural Organization

# Executive Board

Hundred and seventy-sixth session

# 176 EX/28 Add.

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**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)**

**ADDENDUM**

**SUMMARY**

In accordance with 175 EX/Decision 22, the Director-General hereby submits an addendum to his report on evaluations, reporting on the cost-effectiveness of the programmes evaluated during the period of the Medium-Term Strategy 2002-2007 (31 C/4). This addendum covers: (i) what cost-effectiveness analysis is; (ii) how cost-effectiveness analysis has been carried out for UNESCO programmes and activities, including the challenges and difficulties of doing so; (iii) the limited results from examining the cost-effectiveness related components of the evaluations undertaken during the 31 C/4 period; and (iv) how cost-effectiveness might be improved in UNESCO.

Decision proposed: paragraph 18.

## Introduction

1. At its 175th session, the Executive Board requested the Director-General “to revisit the evaluations made during the 31 C/4 period and to provide it at its 176th session with a more detailed report in regard to the cost-effectiveness of the programmes evaluated” (175 EX/Decision 22.6).
2. Pursuant to the above request, this paper provides the Executive Board with discussion on:
  - (a) what cost-effectiveness analysis is;
  - (b) how cost-effectiveness analysis has been carried out for UNESCO programmes and activities, including the challenges and difficulties of doing so;
  - (c) the limited results from examining the cost-effectiveness related components of the evaluations undertaken during the 31 C/4 period (more detailed analysis was not possible because of the challenges noted in paragraphs 8 and 10); and)
  - (d) how cost-effectiveness might be improved at UNESCO.

## Cost-effectiveness analysis

3. Evaluation has an ultimate single goal of determining the worth or merit of whatever is being evaluated. To carry out this task, five criteria are generally used: relevance, efficiency, effectiveness, impact and sustainability.<sup>1</sup> Cost-effectiveness analysis primarily relates to effectiveness and efficiency. It is a tool to assess whether the costs of an activity can be justified by its results, where results mean the changes brought about by the intervention (i.e. outcomes and impacts). Unlike strict cost-benefit analysis which measures results in monetary terms, cost-effectiveness analysis attempts to measure the results of a specific course of action, expressed in non-monetary quantitative terms.
4. A policy or programme is effective if it meets its objectives. It is “cost effective” if it meets its objectives at the lowest cost possible. Cost-effectiveness is not to be confused with cost-efficiency, even if the two terms are often mistakenly used interchangeably. Cost-effectiveness is wider in scope than cost-efficiency as it looks beyond outputs to results. Cost-efficiency compares costs at the level of outputs only. For example, the question of cost-efficiency would consider whether a particular publisher chosen for a book on literacy was the cheapest available after taking into consideration quality and other factors. The question of cost-effectiveness would consider whether the publishing of the book was the best way to improve literacy.
5. Cost-effectiveness analysis is useful in comparing different methods of:
  - (a) attaining an explicit objective or objectives through alternative approaches on the basis of least cost; and/or
  - (b) achieving the greatest effectiveness (i.e. the most complete achievement of the objectives) for a given level of cost.
6. Cost-effectiveness analysis can be used to inform management decisions about the allocation of resources by identifying those programmes or projects that offer the best value for money. It can also be used at the individual programme level to identify which programme approach is preferable. In practice, cost-effectiveness analysis at the individual programme level is more feasible than analysis across programmes due to the difficulties of comparing different programme results.

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<sup>1</sup> Refer to document 176 EX/27 for definitions.

## **Undertaking cost-effectiveness analysis of UNESCO programmes and activities**

7. Over the 31 C/4 period from May 2002 to September 2006, a total of 44 evaluations were presented to the Executive Board. For the purpose of this document, 13 evaluations had to be excluded at the outset of the exercise, generally because they were related to the review of processes. A further nine evaluations were then excluded because relevant data were not adequate. This left a total of 22 evaluations for which input, output and limited result data were extracted (refer to the attached Annex for a list). Any comments on cost-effectiveness were also extracted, which were supplemented with some further analysis based on the raw data.

8. The following four points summarize the difficulties of undertaking cost-effectiveness analysis of UNESCO programmes:

- (a) All UNESCO programmes are very different from one another, reflecting the broad mandate of the Organization and its unique position and deploy different modalities, even when pursuing similar functions. This means that there are no similar programmes with which to compare. The identification of results and costs associated with different strategies and programme delivery mechanisms is thus very challenging due to the many uncertainties and assumptions associated with them.
- (b) Given the nature of the objectives pursued, attribution to particular UNESCO activities is often very challenging. Further, the results of UNESCO programmes tend to be difficult to measure, given the nature of the activities, results sought and the fact that the achievement of many results requires sustained action over many years with pay-offs from activities often not evident for a long period of time.
- (c) Input, output and result data is sometimes not readily available when undertaking evaluations. In some cases, programme expected results are not clearly articulated prior to the programme being established or they are closer to outputs. Baseline data is often absent.
- (d) Costing of activities can be difficult given that funding for a post is often related to several tasks associated to different programmes, with no clear reporting on time spent on the different programmes. This makes it difficult to attribute specific costs to a specific activity undertaken.

9. Because of these difficulties, it was often not possible to ask the evaluators to undertake cost-effectiveness analysis. Consequently, the Internal Oversight Service's analysis was confined to limited comments on how cost-effectiveness could be improved for individual programmes.

## **Results from the cost-effectiveness analysis**

10. Compiling the data and cost-effectiveness analysis from the 22 evaluations raised a number of issues relevant to cost-effectiveness in UNESCO.

- (a) A number of evaluations concluded that the programme or activity concerned was generating significant results for the allocated resources. For example, the International Geological Correlation Programme found that the programme had a catalytic effect generating usually 10 to 50 times the seed money provided by UNESCO at country and regional levels. The evaluation of the Slave Route Project found that the project had made significant progress in respect of its objectives and that the achievements seemed to be significant for the allocated resources.
- (b) Almost all evaluations highlighted some challenges in programme formulation and implementation. A number of common themes emerged:

- (i) Planning is often weak because effective RBM practice is not yet fully internalized by the Organization. Expected results are not always well formulated and target audiences are often not articulated. In some cases, objectives are too ambitious and/or the human and financial resources available are not adequate to achieve the expected results. The lack of baseline data makes it difficult to assess progress in achieving expected results.
- (ii) UNESCO often fails to concentrate resources on those areas where it has clear strengths and advantages.
- (iii) A common thread running through many evaluations was the need to undertake a smaller number of larger, more strategic projects rather than many small ad hoc projects.
- (iv) Ex ante assessments and forward-looking assessments of the likely future effects of new programmes was found to need improvement. Particular concerns lie around the needs analysis and the availability of the requisite skills for the implementation of activities.
- (v) A number of evaluations found that shortcomings in programme design were inhibiting alignment with stakeholders' needs.
- (vi) There was little evidence of learning from past successes and failures to improve programme design and delivery.
- (vii) Many evaluations pointed to the need to strengthen dissemination practices.
- (viii) While there were examples of UNESCO successfully collaborating with other international organizations and relevant partners, the level of coordination and the number of joint efforts was considered to be below par in several cases.

### **Improving cost-effectiveness at UNESCO**

11. Sound cost-effectiveness analysis is fundamental to improving cost-effectiveness. This cannot be carried out without strong results-based management practices. The first step is therefore to improve the application and use of results-based management in UNESCO. In particular, there is a need to improve the formulation of expected results so that they are clear, realistic and distinct from outputs, to specify the related performance indicators and to clearly identify target populations. Developing baseline data, where possible, should be given high priority so that progress towards objectives can be tracked. Efforts also need to be made to streamline costing methods so that input data are available for each activity or programme evaluated.

12. The evaluation of UNESCO's Results-Based Management Training Programme (176 EX/28) highlighted that the introduction of RBM training has helped enhance RBM culture and practice in UNESCO. While participants are generally satisfied with the training programme, the evaluation found that "additional skill-building is needed to help staff formulate results for work plans and to develop performance indicators". Rising to this challenge and the other challenges highlighted in the evaluation will be central to improving RBM and, in turn, cost-effectiveness in UNESCO. For RBM to reach its potential impact, results need to inform budgetary decisions. This will create incentives to ensure that the most cost-effective option is chosen.

13. More systematic ex ante assessments of the likely future effects of new programmes would improve cost-effectiveness. Ex ante assessment would deliver the information needed to support good quality programme preparation. Currently this is not a formal requirement for a new programme or for renewing an expiring programme in UNESCO.

14. Ex ante assessments should identify:

- (a) the needs to be met in the short or long term;
- (b) the results expected;
- (c) the alternative approaches to achieving the expected results and which approach is likely to be the most cost-effective;
- (d) the resources required;
- (e) the indicators to be used to measure progress towards their achievement;
- (f) the risks that might threaten achievement of expected results and how they might be mitigated; and
- (g) the monitoring system to be set up.

15. The need to improve RBM practice at UNESCO has been recognized by the Director-General and the necessary steps are being taken to enhance RBM practices.

16. Future evaluations should strengthen the component of cost-effectiveness analysis systematically and visibly. While it will not always be feasible to undertake cost-effectiveness analysis for the reasons highlighted in paragraph 8, Terms of References for evaluations need to be more explicit about cost-effectiveness. Efforts are being made by the Internal Oversight Service (IOS) to ensure that evaluation teams more visibly set out input, output and result data in evaluation reports as this constitutes the basis of cost-effectiveness analysis.

17. In addition, it needs to be recognized that cost-effectiveness analysis is only one parameter in the evaluation spectrum. It therefore needs to be absorbed by senior management in parallel to the other elements, namely relevance, efficiency, impact and sustainability, to form sound judgements on the overall performance of UNESCO's programmes.

### **Proposed draft decision**

18. In the light of the foregoing, the Executive Board may wish to consider the following draft decision:

The Executive Board,

1. Recalling 175 EX/Decision 22,
2. Having examined document 176 EX/28 Add.,
3. Requests the Director-General to take the necessary steps, including continuing RBM corporate training and promoting RBM leadership from Sector ADGs, Chiefs of Executive Offices, Directors and Heads of Offices, to enhance results-based management culture and practice throughout the Organization, as a precondition for cost-effectiveness analysis; and
4. Requests the Director-General to ensure that future evaluations, to the extent possible, include cost-effectiveness analysis.

## ANNEX

### List of evaluations reviewed

1. Anticipation and Foresight Programme (review period: 2000-2005)
2. Public Service Broadcasting (review period: 2002-2005)
3. Capacity-Building Programme for Natural Disaster Reduction in Central America and the Caribbean (review period: 1999-2002)
4. UNESCO Support to National Planning for Education for All (EFA) (review period: 2000-2004)
5. UNESCO's Community Multimedia Centres (review period: 2000-2005)
6. Slave Route Project (review period: 1994-2005)
7. Training of Teachers Manual on Preventive Education against HIV/AIDS in the School Setting (review period: 1998-2003)
8. World Heritage Fund's Emergency Assistance Activities (review period: 1998-2003)
9. Culture Heritage Management and Tourism: Evaluation and Mainstreaming (review period: 1998-2001)
10. Inclusion of Children from Various Marginalized Groups within Formal Education Programmes (review period: 1994-2004)
11. UNESCO's Response to HIV/AIDS (review period: 1987-2002)
12. Fifth Phase of the International Hydrological Programme: "Hydrology and Water Resources Development in a Vulnerable Environment" (review period: 1996-2001)
13. PEER (Programme of Education for Emergencies and Reconstruction) (review period: 1999-2003)
14. UNESCO-IUGS International Geological Correlation Programme (IGCP) (review period: 1997-2002)
15. "Tourism as a Tool for Development" UNESCO-Lao National Tourism Authority Nam Ha Ecotourism Project (review period: 1999-2002)
16. Support Mobilization Project for Mayan Education (PRONEM) Project (review period: 1995-2002)
17. Management of Social Transformations (MOST) Programme (review period: 1994-2001)
18. Bangladesh: The International Campaign for the Protection, Preservation, Restoration and Presentation of the Ancient Monuments of Paharpur Vihara and those of the Mosque City of Bagerhat (review period: 1985-2001)
19. UNESCO's Science and Technology Education (STE) Programme (review period: 1996-2000)
20. UNESCO's Contribution to the World Solar Programme (WSP) (review period: 1996-2000)

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21. Environment and Development in Coastal Regions and Small Islands (CSI) Platform (review period: 1996-2001)
22. Man and the Biosphere (MAB) Programme (review period: 1995-2000)