



**United Nations**

Common Country Assessment

and

United Nations Development  
Assistance Framework

**GUIDELINES FOR UN COUNTRY TEAMS**

**ON PREPARING A CCA AND UNDAF**

**FEBRUARY 2007**

# Table of Contents

<b>LIST OF FIGURES</b> .....	<b>II</b>
<b>LIST OF TABLES</b> .....	<b>II</b>
<b>SUMMARY</b> .....	<b>II</b>
<b>PART 1 UN COOPERATION AT COUNTRY LEVEL</b> .....	<b>1</b>
1.1 The UNCT mission .....	1
1.2 The new aid environment .....	2
1.3 Elements of performance and principles for engagement .....	2
1.4 Steps for the UNCT .....	5
1.5 What is mandatory? .....	6
1.6 Time-frame and scheduling .....	7
1.7 Engaging in the national development process .....	7
<b>PART 2 COUNTRY ANALYSIS</b> .....	<b>9</b>
2.1 Purpose	9
2.2 Expected Results .....	9
2.3 Getting it done .....	10
2.4 Elements of quality analysis .....	14
<b>PART 3 STRATEGIC PLANNING</b> .....	<b>19</b>
3.1 Purpose	19
3.2 Expected results .....	19
3.3 Getting it done .....	20
3.4 Structure and content of the UNDAF document .....	21
3.5 Results-based management & the Results Matrix .....	24
3.6 Joint Programmes .....	27
<b>PART 4 MONITORING AND EVALUATION</b> .....	<b>28</b>
4.1 Purpose	28
4.2 Expected results .....	28
4.3 Getting it done .....	29
4.4 Structure and content of the M&E Plan .....	31
4.5 The UNDAF Evaluation .....	33
<b>PART 5 ORGANIZING AND MANAGING FOR RESULTS</b> .....	<b>34</b>
5.1 Coordination and work planning .....	34
5.2 Making the UNDAF operational .....	36
<b>ANNEXES:</b> .....	<b>37</b>

## List of Figures

Figure 1: Road Map for UN-supported analysis and strategic planning that strengthens the national development framework .....	iv
Figure 2: SMART Results.....	24
Figure 3: Baselines, targets, and performance .....	29
Figure 4: causal analysis, causal trees .....	48

## List of Tables

Table 1: UNDAF Results Matrix (One table for each UNDAF outcome) .....	27
Table 2: UNDAF Monitoring and Evaluation Framework (one table per UNDAF outcome).....	32
Table 3: The M&E Calendar .....	32

## Summary

These guidelines are for UN country teams (UNCTs) engaged in strengthening country analysis and the preparation of United Nations Development Assistance Frameworks (UNDAFs). In these guidelines, UNCT refers to the agencies, funds and programmes working in a particular country, both resident and non-resident, under the leadership of the Resident Coordinator.

Since the release of the 2004 guidance, the development landscape has changed both in the challenges that the world faces, as well as the expectations that countries have of the UN to deliver on global commitments. These guidelines take account of these factors, UNCT comments on the 2004 guidance, and the experience gained since 2004 on UN reform initiatives. They offer greater flexibility to UNCTs to develop a coherent response at country level that is relevant and responsive to country needs, and they re-emphasize the importance of all UNCT members (resident or non-resident) to be involved.

Major changes include:

- A greater emphasis on **national ownership**, and the identification of the added value that a coherent UNCT response can bring to national development;
- Greater flexibility to **tailor analysis** to country needs, making the CCA one of several options for strengthening country analysis;
- Clarity on the **human rights based approach, gender equality, environmental sustainability and capacity development** throughout the guidelines;
- Greater clarity and resources for the use of **results-based management**;
- More information and resources on **conflict prevention** and **disaster risk reduction**;
- Better balance between social, environmental and economic development issues and objectives;
- Clarity about the **accountabilities** of key actors in the process, particularly the Resident Coordinator and the individuals leading the UNCT<sup>1</sup>;
- A more inclusive approach to ensure the full engagement of **specialized and non-resident** agencies as well as relevant national partners;
- More guidance on how to determine the **UN's comparative advantage** and shape **strategic prioritization**.

Many elements of the guidance are relevant to the different stages of the analytical/UNDAF process, so UNCTs are strongly recommended to read and use the guidelines as a whole rather than using parts in isolation

Following this summary:

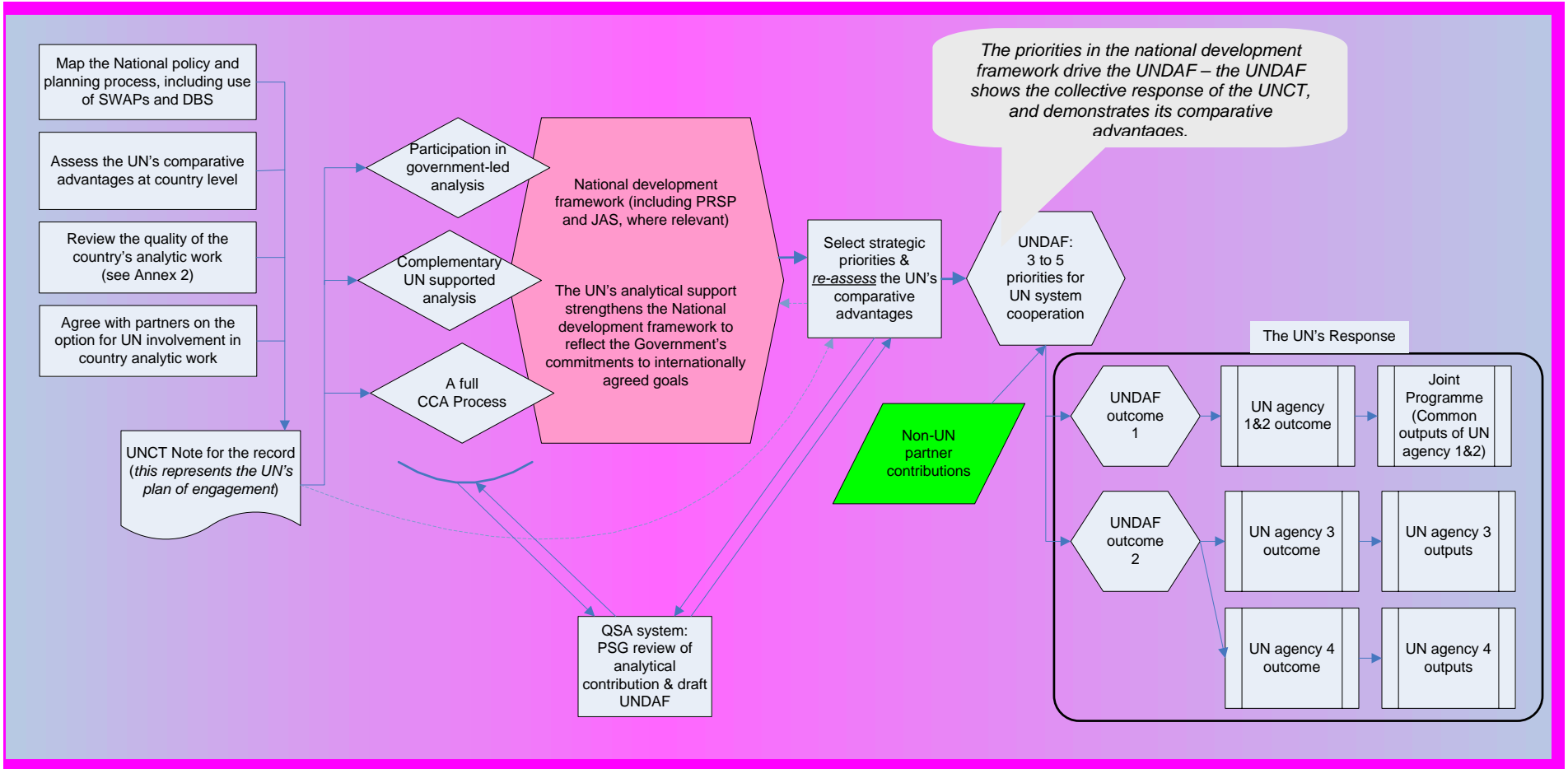
- Part 1 describes the mission, environment and role of the UNCT;
- Part 2 explains the purpose and results expected from the UNCT's contribution to country analysis, including the minimum elements of high-quality analysis;
- Part 3 explains the purpose and results expected from the UNDAF, and describes results-based management and the results matrix;
- Part 4 explains the purpose and results expected from UNDAF monitoring and evaluation;
- Part 5 provides information on how the UNCT can best organize and manage the process; it clarifies the accountabilities of key actors in the process, and how the UNDAF is put into operation.

Each part explains the minimum results expected, the criteria that will be used for determining quality, and any mandatory elements.

---

<sup>1</sup> UNCT is sometimes used to refer to the individuals who lead agency activities in a country, and sometimes used to refer to the totality of UN operations in a country (by resident and non-resident agencies, funds and programmes). In this document, "individuals leading the UNCT" refers to the former, and "UNCT" refers to the latter

**Figure 1: Road Map for UN-supported analysis and strategic planning that strengthens the national development framework**



## Part 1 UN Cooperation at Country Level

### 1.1 The UNCT mission

1. The UN, drawing on the collective strengths of all agencies, funds and programmes, is committed to working with governments and civil society partners to achieve the agenda endorsed by the [2005 World Summit](#), the [Millennium Declaration](#) (MD) and the [Millennium Development Goals](#) (MDGs), and other internationally agreed treaty obligations and development goals<sup>2</sup>. UN Country teams (UNCTs)<sup>3</sup> support countries to develop capacities to lead their development processes to pursue poverty eradication, sustained economic growth, peace-building and human rights. These are part of the globally endorsed concept of sustainable development: meeting the needs of the present without compromising the ability of future generations to meet their own needs<sup>4</sup>. At the heart of the sustainable development concept is the belief that social, institutional, economic and environmental objectives are interdependent and must be complementary.
2. More than ever, UNCTs must harness their normative and analytic expertise, their advocacy, and their operational and coordination capabilities, to be more than the sum of their parts. The UN's contribution to country analysis and the United Nations Development Assistance Framework (UNDAF)'s contribution to the national development process are therefore means, not ends.
3. The purpose of the UNCT's **analytical contribution** is to strengthen national analytical processes and products, and thereby influence the priorities of the national development framework to be high quality, reflecting the international norms and standards. The **UNDAF** describes the collective response of the UNCT to these priorities. Its high level expected results are called UNDAF outcomes, which show where the UNCT can bring its unique comparative advantages to bear in advocacy, capacity development, and programming, for the achievement of MD/MDG related national priorities. The relationship between the UN's analytical contribution, the national development framework, and the UNDAF is illustrated in the road map (see previous page).

**Result expected:**

The minimum result expected from UNCT cooperation is a strategic contribution to the achievement of the priorities in the national development framework.

---

<sup>2</sup> **Internationally agreed treaty obligations and development goals** is a phrase designed to describe the commitments, goals, and targets of international conferences summits, and conventions, and **the human rights obligations under international** human rights treaties and instruments.

<sup>3</sup> UNCT is sometimes used to refer to the individuals who lead agency activities in a country, and sometimes used to refer to the totality of UN operations in a country (by resident and non-resident agencies, funds and programmes). In this document, "individuals leading the UNCT" refers to the former, and "UNCT" refers to the latter

<sup>4</sup> [Our Common Future](#) – The Brundtland Report, 1987.

## 1.2 The new aid environment

4. Development effectiveness calls for more coherent and coordinated work by the UN at country level. The [2005 World Summit outcome document](#) approved by the General Assembly, sets the bar for UNCT performance. Building on the results of the 2004 [Triennial Comprehensive Policy Review](#), and the 2005 [Paris Declaration on Aid Effectiveness](#), it calls for full government leadership and participation in analytical processes and in the preparation and operationalization of the UNDAF. It demands greater harmonisation, simplification, and accountability in aid management. The [UNDG Action Plan on the implementation of the Paris declaration](#) provides specific commitments to increase UN effectiveness.
5. The focus on government ownership and national priorities must be seen in the context of partnership. The UNCT is required both to pursue national priorities, and to help to shape those priorities to reflect government's commitments to the World Summit outcome document and to the MD, and their obligations under international human rights instruments. National plans, including Poverty Reduction Strategies (PRS), may not address inequalities and discrimination. UNCT-supported analysis and programming can bring these concerns to the centre of the national development debate and framework. A broader national ownership is also important. The UNCT must encourage partnership with civil society, including indigenous peoples and minorities, and other forms of citizen engagement, including volunteerism. The Guidance Note on Volunteerism for Development and the CCA/UNDAF process is under preparation and will be available in 2007.

## 1.3 Elements of performance and principles for engagement

### What comparative advantages?

The UNCT can make use of a number of general comparative advantages based on its role as a multilateral organization accountable to all member states. With a relationship of trust derived from its long-standing presence at country level, the UNCT can build on the following comparative advantages:

1. promotion and support of international standards, particularly the Millennium Declaration, MDGs and international human rights instruments;
2. convening power to mobilize and facilitate interaction with a range of national and international partners
3. impartial support to capacity development at all levels leading to national ownership;
4. objective monitoring and evaluation of the national development framework;
5. impartial policy advice, based on international experience, technical expertise and good practices.

Development effectiveness implies three basic country level elements for UNCT performance:

- **National ownership:** *Development plans, and the country analysis from which those plans emerge, must be aligned with national priorities. This requires government leadership and participation in all stages of the process, to ensure the UNDAF fully contributes to the national development process.*
- **Core comparative advantage:** *while responding to national priorities and supporting the implementation of international norms and standards, the UNCT must assess its roles and capabilities, and focus its efforts where it can provide leadership and make the biggest difference.*
- **Maximum effectiveness and accountability:** *UNCT performance must be measurable, and accountabilities clarified, so that the system can deliver effectively.*

7. There **are five inter-related principles** that must be applied at country level:

- a) A human rights-based approach (HRBA);
- b) Gender equality;
- c) Environmental sustainability;
- d) Results-based management (RBM); and
- e) Capacity development.

a) Every UN member state has undertaken international legal obligations for **human rights**. More than 80 per cent of member states have ratified four or more of the [seven core international human rights treaties](#). There is near universal ratification for the Convention on the Rights of the Child (CRC) and the Convention on the Elimination of all forms of Discrimination Against Women (CEDAW). When governments ratify treaties, every person within the country is entitled to have those human rights respected, protected and fulfilled. The Johannesburg Summit (2002) also established, for the first time, a link between the environment and human rights. The UNCT must support actions that help member states to fulfil these obligations and reach these goals. All UNCTs must use a HRBA to support country analysis, advocate for priorities in the national development framework, and prepare an UNDAF that demonstrates a strategic use of UNCT resources and expertise. The use of the HRBA is guided by the [Stamford Statement of Common UN Understanding of Rights Based Approaches to Development Cooperation](#)

b) Achieving **gender equality** and eliminating all forms of discrimination are at the heart of a HRBA. In achieving gender equality, gender mainstreaming is one of the key strategies of UN-supported analysis and strategic planning. For a rights-based approach to be meaningful, the UNCT will partner with women's groups and with advocates who can speak to all stakeholders about the different ways females and males experience, and can influence, the development agenda.

c) **Environmental sustainability** is central, as natural resources are the basis for meeting economic and social needs. Human well-being depends on different services described fully in the text linked [here](#). They can be classified as:

- (i) *provisioning* services - those that provide food, water, fibre and other materials,
- (ii) *regulating* services - those that affect the weather, or the quality of water, air and soil,
- (iii) *cultural* services - those that provide aesthetic and spiritual benefits, and
- (iv) *supporting* services - those that are part of the long-term function of the ecosystem

The preservation of these critical services must be an integral part of national development frameworks especially because ecosystem deterioration is most critically and severely felt by the poor.

Activities in which UNCTs may engage to help countries achieve their development priorities need to consider environmental sustainability carefully, and include provisions to reduce potential harm to the natural resource base. Various instruments for this purpose exist such as Environmental Impact Assessments, Strategic Environmental Assessments, Life-cycle Analyses, and Integrated Ecosystem Assessments.

d) **Results-based management** is a strategic management approach UNCTs must use with partners to plan, cost, implement, monitor and measure the changes from cooperation, rather than just the inputs provided or activities conducted. Using RBM, the UNCT ensures that its cash, supply and technical assistance contribute to a logical chain of results that increase in complexity and ambition higher up the logical chain from outputs to outcomes and then impacts - which are MD/MDG related national priorities that reflect the World Summit outcome document. RBM depends on critical assumptions about the programme environment and risk assessments, clearly defined accountabilities and indicators for results, and performance monitoring and reporting.

e) The World Summit outcome document emphasises that the UNCT's contributions to country analysis and the UNDAF are, primarily, means for **capacity development**<sup>5</sup>. The [UNDG Position Statement on Capacity Development](#) summarizes key messages about capacity development at country level. Capacity development is the central thrust and main benefit of UNCT cooperation. For there to be national ownership, capacity development should take place within the national development framework and it should respond to national capacity assessments and capacity development strategies. The UNCT can help achieve this, but support to capacity development must be "unpacked" into tangible components that offer a best fit in each country, rather than a one-size-fits-all approach. The UNCT will draw on the strengths of the UN system and its comparative advantages to undertake a range of capacity development initiatives, among them:

- Facilitate capacity assessments that are human rights and gender sensitive;
- Develop capacities to review and analyse pro-poor policy options;
- Strengthen capacities for coordination of development and humanitarian assistance;
- Facilitate consensus-building processes and broker relations between key development stakeholders;
- Strengthen capacities to implement and monitor international human rights obligations;
- Support the development and use of information and results-based management systems for greater accountability;
- Catalyze support for technological and knowledge acquisition and innovation capacities; and

---

<sup>5</sup> Capacity is defined as: the ability of people, organizations and society as a whole to manage their affairs successfully. Capacity development: the process whereby people, organizations and society as a whole unleash, strengthen, create, adapt and maintain capacity over time.

- Provide international good practice in all the above and promote knowledge networking capacities.
8. The UNCT must aim to develop lasting in-country capacities at individual, institutional and societal levels. In line with a HRBA, these capacities will help rights-holders to claim their rights, and duty-bearers to meet their obligations.
  9. It is the work of the **coherent UNCT** to use these five inter-related principles to enhance country analysis and make a contribution to the national development framework. The Resident Coordinator must ensure the fullest possible participation in analytical and planning exercises by the UN system, including the **specialised agencies** and the **non-resident agencies**. Additional effort and resources will be needed during the planning stages to overcome the communication barriers and capacity constraints that often prevent the engagement of the whole system.
  10. [The Quality Support and Assurance System](#) (QSA) is designed to help UNCTs contribute effectively to country analysis and develop strategic UNDAFs. Regional Directors' Teams, Regional Offices and regional Peer Support Groups (PSG) play an important role, and must be involved as early as possible in the process.
  11. In the spirit of a broader move towards using national systems as much as possible, the UN's analytical work should include the assessment necessary for the Harmonized Approach to Cash Transfers to implementing partners (HACT). This is a new risk- management approach used by UNDG Executive Committee agencies for transferring cash to implementing partners in ways suited to country context, and building these partners' capacities for high-quality financial management.

### **1.4 Steps for the UNCT**

12. The UNCT's engagement in country analysis and strategic planning must strengthen the national development framework. Engagement by the UNCT will involve the main steps summarized in the [road map](#) applied flexibly to make the best use of the UN's analytical and planning resources in each country, and to align with the national planning process, while maintaining UN obligations in planning and reporting. These steps may be carried out in parallel.
13. The first step is to develop a "**plan of engagement**". The UNCT, working with partners, will map the national planning process. The UNCT will then ensure that the results from UNCT cooperation will contribute to national priorities. To do so, the UNCT should examine its strengths and weaknesses, and the opportunities and threats offered by the national development context, including what other development actors are doing. This exercise will help the UNCT to clarify its comparative advantages and highlight opportunities to support country analysis and strategic planning. In particular, the UNCT must explore how best to support national capacity development

efforts in analysis. The UNCT and partners will then review the quality of existing analytical processes and products. To respond to any gaps identified, the UNCT and partners may choose any or all of:

A. UNCT participation in government-led analytical work and use of government analysis;

B. Complementary UN-supported analytical work, with a focus on gaps in the existing analysis;

C. A full CCA process.

14. There is no prescribed option. The UNCT and their partners must make a judgment about the best use of available analytical resources. A combination of options is possible.
15. The UNCT uses its analytical contribution and its advocacy to **support national plans** to reflect better the government's commitments to the Millennium Declaration, the MDGs, and other internationally agreed treaty obligations and development goals.
16. The national development priorities that have been reinforced by UN supported analysis are the starting point for **UNDAF formulation**. The UNCT, in discussion with partners, will focus on three to five national priorities for which the UNDAF outcomes will be a collective system support. These high level results should enhance UNCT effectiveness, reduce transaction costs, and drive agency programming. The UNCT cannot respond coherently to every goal and objective of the national development framework. It will have to select priorities, in line with the principles outlined in section 1.3, and its comparative advantages at country level.
17. In partnership with the government, the UNCT is expected – as a team – to **monitor and report** on progress towards the achievement of UNDAF results, and how these results are contributing to national priorities oriented around the World Summit outcome document and the MD/MDGs. This is complemented by reviews and evaluations by agencies including non-resident and/or specialized agencies individually or jointly, and an UNDAF evaluation done jointly. Monitoring, reporting and evaluation should feed back into country analysis and planning, to ensure continuous learning and adjustment. Policies, tools and resources for country programming are available at [www.undg.org](http://www.undg.org), including an [on-line learning kit](#).

## 1.5 What is mandatory?

18. A **contribution to the country's analytic work**, and the **UNDAF** are mandatory products, unless there is only one UN agency resident in the country or the country is in, or emerging from, a crisis situation, in which case the UN contribution may be to support a [post-conflict needs assessment](#) (PCNA), from which a results matrix is developed. Guidance is provided in the [UN Transitional Strategy Guidance Note](#).

**The mandatory elements are:**

- Mapping of the national planning process, and an assessment of the UNCT's comparative advantages;
- Review of the country's analytic work;
- Making an analytical contribution;
- Preparation of an UNDAF, with a coherent chain of results that will contribute to the achievement of selected priorities in the national development framework;
- Self-assessment of the UNDAF by the UNCT to ensure the quality as well as the strategic position for the UN at country level.

## **1.6 Time-frame and scheduling**

19. The duration and timing of the UN programming process should be synchronised with the national planning cycle, and can range from 3-6 years<sup>6</sup>. This should not be affected by political changes in the country unless the UNCT considers it necessary. UNCTs have flexibility over the timing of the analytical contribution and the UNDAF. For instance, the analytical contribution may be undertaken earlier than government analysis to provide greater influence over the direction of the national plan or Poverty Reduction Strategy Paper (PRSP) preparation. When a change is needed to the start or duration of the programme cycle, prior agreement should be sought from the relevant Regional Directors.

## **1.7 Engaging in the national development process**

20. A focus on strengthening country analysis reaps benefits for the country not only in increased analytical capacity, but also in enhanced development planning. UNCTs are expected to participate actively in the national development planning process - including a PRSP process where it exists - as a platform to advocate for a more holistic human development approach and to highlight critical capacity gaps. With poverty reduction firmly at the centre of the UN's normative and operational work, the PRSP process presents a unique opportunity of strategic importance for active engagement of the UNCT. To take advantage of this opportunity, the UNCT's role should be to support the contribution of the policy framework and interventions proposed in PRSPs to the achievement of the MD, MDGs and other internationally agreed treaty obligations and development goals. The [UNDG guidance note on UNCT engagement in PRSPs](#) is essential and required reading for all UNCTs in countries with PRSPs or similar national strategies.

### **Sector-Wide Approaches/ Programmes (SWAp) or Programme Based Approaches<sup>7</sup>**

21. A SWAp is a single comprehensive sector plan, driven and coordinated by government, adopting common approaches across the sector, and progressing towards the use of government procedures for planning, monitoring, reporting and evaluation. It often

---

<sup>6</sup> UNCTs and UNDAFs covering multiple countries and planning cycles have greater flexibility.

<sup>7</sup> The term "SWAp" is largely being eclipsed by the term "Programme Based Approach", as it is clear that not all SWAps are, in fact, sectoral (HIV/AIDS being one very good inter-sectoral example). Hence the new terminology which concentrates on the approach rather than what sector(s) the approach is applied to

includes basket funding or sector budget support mechanisms. If UNDAF priorities relate to a sector where a SWAp exists, UN programming should be guided by the framework of that SWAp. The UN can help make SWAps more effective by acting as an impartial “broker” and arbitrator, helping to manage negotiations, and providing solid, evidence-based policy advice to ensure that the SWAp incorporates the principles of the UN. These activities should be reflected in the UNDAF.

22. The UNCT will need to organize its participation in SWAp policy discussions carefully and effectively to speak with *one* strong voice. The designation of lead agencies – with a clearly defined Terms of Reference and accountability to the rest of the UNCT – often helps to do this. For a more detailed discussion about the role of the UNCT in sector programmes, please read the [UNDG position paper on Sector Support and Sector Programmes](#).

### **Direct Budget Support (DBS)**

23. In a situation where DBS comprises a significant share of ODA, policy discussions and decisions about government resource allocations will increasingly take place in that framework. With its limited resources, the UNCT will not normally be a major contributor of funds, but must clarify its role to influence policy discussions and enhance government capacity. In a DBS setting the UNCT would develop capacity in planning, monitoring and evaluation, support data collection, and advocate for policy changes in line with the MD/MDGs and other internationally agreed treaty obligations and development goals and the HRBA. These activities should be reflected in the UNDAF. Ideally, the role of the UNCT would also be specified in the DBS framework agreement. *(Concept Note forthcoming)*

### **Joint Assistance Strategy (JAS)**

24. A Joint Assistance Strategy operationalizes the national development framework and forms an agreement between government and donors on the modalities for achieving the national priorities. Where a JAS is being developed, the process requires the full engagement of the UNCT not only in the planning stages, but also in seeing the extent to which the UN can use the preferred implementation modalities of the government. *(Concept Note forthcoming)*

## **Part 2 Country Analysis**

### **2.1 Purpose**

25. The UNCT's analytical contribution will support and strengthen national analytical processes and products. It is guided by the basic elements and principles of the UN, and it will strengthen the national development framework by generating consensus about priority problems and their causes, and the capacity development needs at all levels to generate action. Good analysis will include identification of areas where the country has not been able to reach internationally-agreed standards, and how to assist the country to do so. The aim is to make complex problems more understandable, and help national partners to see that change is possible.

### **2.2 Expected Results**

26. There are five expected results from the UNCT's analytical contribution:

- Agreement with partners about the root causes of priority development problems, with a special focus on the five principles presented earlier;
- Identification of critical capacity gaps at different levels of society to address these problems, and systematic application of, and follow up to, country led capacity assessments;
- Recognition of the risks of crises and natural disasters, as well as capacities for crisis prevention and disaster preparedness;
- Greater national capacity for data collection and analysis, ensuring that data are sufficiently disaggregated to reveal patterns of discrimination; and
- Analysis based on priorities in the national development framework, aligned with the World Summit outcome document, the MD/MDGs and other internationally agreed treaty obligations and development goals.

27. UNCTs have flexibility to decide, with partners, how to achieve these results. The steps below in Part 2.3 will help to tailor UNCT-supported analysis to country needs, in which the CCA is one of several options for strengthening country analysis. After completing these steps, the individuals leading the UNCT will prepare a Note for the Record, which represents a plan of engagement summarizing:

- The UNCT's comparative advantages at country level;
- The key opportunities for involvement in the national planning process;
- The major findings from the review of the country's analytic work; and
- The option chosen.

28. This Note will be signed by the Resident Coordinator on behalf of the individuals leading the UNCT and submitted to all Regional Directors for information. It also provides the initial indication for the Quality Support and Assurance structure at

regional level of the specific support and guidance to be provided to the UNCT. This Note for the Record is the only formal requirement concerning the UNCT's support for country analysis.

## 2.3 Getting it done

**29. First**, the UNCT needs to understand the processes, timelines, actors and their agendas involved in the national planning process. At the same time, the UNCT should review and draw as appropriate on existing joint or collaborative UN frameworks and strategic partnerships (e.g. the EFA global action plan) which can both support country level action and increase coherence in the UNDAF. The UNCT must assess its **comparative advantages**. An assessment of the UNCT's strengths and weaknesses, and the opportunities and threats in the country – a SWOT analysis – may be helpful, but the UNCT may choose any methodology. Guidance for a SWOT analysis is provided in Annex 1. In assessing its strengths, the UNCT should include an overview of all normative work carried out by agencies at the country level, and expertise within the wider UN system that could become relevant in the particular – or emerging – country context. These exercises should highlight opportunities for the UNCT to use its comparative advantages most effectively to support country analysis and strategic planning. For an example of such an exercise (not using a SWOT), see two documents from Malawi UNCT ([Memorandum: the UNDAF building block approach](#) and [Role of the UN Malawi in a changing aid environment](#)).

**30. Second**, the UNCT and partners have to **review existing analytical processes and products**, to see how well they meet minimum quality standards. The aim is not to criticize what exists, but to work with national partners to highlight gaps where UNCT support can bring added depth and quality. At a minimum, high quality country analysis will:

- Assess the situation of the country in relation to the standards set in the Millennium Declaration and other internationally agreed treaty obligations and development goals (see Annex 7 for links to a wide spectrum of international agreements, frameworks and summits);
- Identify patterns of discrimination and inequality, and describe the situation of groups excluded and made vulnerable due to the denial of their rights;
- Assess capacity development needs at different levels, through systematic country-led capacity assessments;
- Involve non-government stakeholders, and ensure the active and meaningful participation of groups subjected to discrimination, including the poor, women, indigenous peoples, displaced people and migrants; and
- Assess the risks of conflict, ecosystem deterioration and natural disasters, as well as the readiness of countries to respond.

**31.** Very few existing analytical processes or products will satisfy all of the above. The UNCT and partners should draw on the broadest set of analytical products and

processes, including from national and international civil society organizations. There is no set structure for the review, but a checklist of key questions is provided in Annex 2 along with some process suggestions and issues to consider during the discussion with partners.

32. The UN analytical contribution should include an assessment of the strengths and weaknesses of the public financial management system (a HACT macro assessment as defined in the [Framework for Cash Transfers to Implementing Partners](#). This macro-assessment helps identify opportunities for capacity building to which may be addressed in the UNDAF.
33. **Third**, following the review, UNCTs and partners have some **options**, which can be combined. There is no prescribed option. Rather, based on the criteria and gaps identified, individuals leading the UNCT and their partners must make a judgment about the best use of analytical resources available to each country.
34. Whatever options are chosen, a clear comparative advantage that the UNCT can bring to a country's analytic work is to help identify priority development problems. The UNCT must communicate these as interrelated, and unfulfilled, human rights, and provide a greater understanding of their causes, as well as the capacity gaps that prevent action.
35. The options are participation in government-led analytical work, complementary UNCT-supported analytical work, and/or a full CCA.

**a) Participation in government-led analytical work**

36. If existing or planned analyses are of good overall quality, then no CCA is needed. The UNCT and partners will identify any steps in the planning process where involvement of UN staff can improve the depth and quality of analysis and support the implementation of international norms and standards. The UNCT may not be a convener of working groups or consultations, but it will be an active participant, adding value to already established processes. The UNCT will be expected to:
  - Identify otherwise-unseen trends in the data and excluded groups that have been overlooked.
  - Identify disparities that suggest unequal treatment and the possibility of discrimination.
  - Help partners to conduct more detailed causality analysis of identified problems, to identify the root causes that contribute to multiple problems.
  - In the above, help partners to apply a human rights based analysis, including gender analysis;
  - Help integrate capacity assessment into the national development process or help to interpret the results of capacity assessments to inform the national development framework and UNDAF;

- Encourage partners to examine further the risks of natural disasters and humanitarian crises; and
- Advocate for priorities in the national development framework that reflect the country analysis, including capacity development needs.

37. For a country example please see a report from [Mozambique](#).

#### **b) Complementary UNCT-supported analytical work**

38. If there are notable gaps in country analysis, a CCA is not needed if the UNCT can use its analytical resources to fill these gaps. The UNCT will play a larger role to convene groups, organize consultations, and conduct a complementary research agenda. Some of this agenda may already be covered by studies and evaluations planned in the M&E calendar for years 4 and 5 of the current cycle. To address identified gaps, the UNCT may:

- Conduct targeted surveys and studies to generate additional data that is disaggregated;
- Convene and facilitate national or sub-national consultations with a wide range of stakeholders, to analyse trends, and identify disparities and excluded groups that may have been overlooked;
- Provide formal training and support to partners to conduct capacity assessment, causality analysis, human rights based analysis and gender analysis;
- Conduct targeted capacity assessments related to: pro-poor policy development, participation in decision making, implementation and monitoring of human rights obligations, coordination of development and humanitarian assistance, data collection and analysis; and
- Support more detailed studies about the risks of natural disasters and humanitarian crises, and to gauge the readiness of state and non-state actors to respond.

39. The UNCT will also take a more pro-active role to ensure that the results of these activities are used to formulate priorities for the national development framework and UNDAF. For a country example please refer to a report from [Tanzania](#).

#### **What if the UN and government can't agree?**

Some partners may disagree about the quality of some aspects of country analysis, or about the measures needed to fill gaps. In all situations, the UN has the right to conduct a separate CCA. But pure insistence on this right is far from ideal. As much as possible the UN should be working to strengthen national capacities for analysis and priority setting. Unless they contravene the UN's principles and strategies, every effort should be made to work with the measures proposed by governments. Reservations of the UNCT can be noted, and the UNCT should monitor and evaluate the effectiveness of the analytical contributions closely, to inform the discussion in the next cycle.

#### **c) A full CCA process**

40. Where the UNCT and partners decide that there are few high quality documents and that planned exercises are not sufficiently analytical, a full-fledged process to develop a Common Country Assessment (CCA) may be needed. Generally, the CCA should refer to, rather than duplicate data and information contained in other

reliable national information systems. Where a Post-Conflict Needs Assessment (PCNA) has been undertaken, the PCNA document can be used by the UNCT in place of a CCA.

41. The CCA is a common instrument of the United Nations system to analyse the national development situation and identify key development issues with a focus on the MD/ MDGs, and other internationally agreed treaty obligations and development goals.
42. A key function of the CCA is to support and strengthen the national development framework which may include planning mechanisms such as: a PRSP, sector programmes, or a joint assistance strategy (JAS), and may also involve direct budget support. The CCA can either contribute to or benefit from monitoring progress towards the PRSP and the MDG Reports (MDGRs). The CCA may also assist in a Consolidated Appeal Process (CAP) or a transition strategy, where they are developed.
43. The CCA process should normally result in:
  - A strategic analysis that identifies the root causes of poverty and other development challenges, and its effects on the population, particularly on excluded groups such as women, minorities, indigenous peoples, migrants and displaced persons;
  - The identification of capacity gaps of rights holders to make claims and duty bearers to meet their obligations;
  - An analysis of opportunities for (and obstacles to) free, active and meaningful participation in national governance and development processes and outcomes;
  - A substantive contribution to the preparation of the national development framework, working to ensure that national priorities reflect the MD/MDGs and other internationally agreed treaty obligations and development goals;
  - A contribution to developing measures and building capacity for crisis prevention and disaster preparedness; and where applicable to mitigation plans, post-conflict/natural disaster recovery and rehabilitation, and planning the transition from relief to development;
  - Strengthened national capacities for data analysis and utilization for priority setting, including risk and vulnerability assessments with geographic and beneficiary targeting, making every effort for the collection of accurate data with respect to indigenous peoples, ethnic and other minorities.
44. The structure and content of the CCA document, as well as the steps for preparation are provided in Annex 3.
45. Under any of the options, it is strongly recommended to work with partners to develop or strengthen the **indicator framework** within the overall national development framework. UNCT efforts should build on what already exists in the

country to help establish baselines, identify trends and data gaps, and highlight constraints in country statistical systems. Particular attention should be paid to disaggregation of data and to any research that reflects the situation and views of people who suffer from discrimination. Details about the indicator framework are in Annex 4.

46. [DevInfo](#) is a user-friendly, customizable database system used by UNDG to support national monitoring of human development. It can be customized by the UNCT to link data to the national development framework, the World Summit outcome document, MD/MDGs and the UNDAF as well as other plans of high national priority..

## 2.4 Elements of high quality analysis

### A human rights based approach

47. A HRBA involves the use of a conceptual framework to understand the causes of (non-) fulfilment of human rights. It is based on international human rights standards and principles and it develops the capacities of rights-holders to claim their rights and duty-bearers to fulfil their obligations. Apart from its normative value as a set of universally agreed values, standards and principles, the HRBA leads to better and more sustainable outcomes by analyzing and addressing the inequalities, discriminatory practices and unjust power relations which are often at the heart of development problems.
48. Using a HRBA, the purpose of UNCT cooperation at country level is the realization of human rights including gender equality. It puts the obligations that come with international human rights instruments in the centre of the national development debate, and it clarifies the purpose of capacity development. A HRBA gives the same importance to process as it does to results. The key human rights principles of participation, inclusion, equality, non-discrimination and accountability guide programming to sustain development results. Using a HRBA, the analysis of development challenges focuses on the relation between the people and the state; between the entitlements and claims of the former and the corresponding duties of the latter. This can be summarized in four simple questions:
- 1. What** is happening, where and who is more affected? (*assessment*)  
For every development challenge, identify the inter-related human rights standards and in particular those groups suffering from a greater denial of rights.
  - 2. Why** are these problems occurring? (*causal analysis*)  
Identify the underlying and root causes of exclusion, discrimination and inequality
  - 3. Who** has the obligation to do something about it? (*role analysis*)  
Identify individual and institutional duty-bearers and their corresponding obligations

**4. What capacities** are needed for those affected, and those with a duty, to take action? (*capacity analysis*)

Identify the skills, abilities, resources, responsibilities, authority and motivation which are needed by those affected to claim their rights and those obliged to fulfil the rights.

49. Once capacity development needs have been identified, the central question is:

**where and how** can capacity development efforts produce the greatest results? The answer to this question leads to a strategic UNDAF, which is addressed in Part 3.

50. By bringing these questions into the development debate, the UNCT can add depth and quality to country analysis. A [learning resource package on HRBA](#) is being prepared for UN staff by the inter-agency group on human rights. Part IV of that package will contain detailed information about the steps involved in conducting a human rights based analysis at country level. These steps are also the basis for CCA analysis given in more detail in Annex 3 of these guidelines.

51. Annex 7 provides links to the major human rights conventions. The [Concluding Observations and Recommendations of the Treaty Bodies](#) are public documents issued following their consideration of country reports about progress to implement international conventions. Government reports to the treaty bodies may already be critical of the human rights situation in the country. Use of the government's own report and language can be a good starting place for advocacy on human rights and a HRBA. Support to government to prepare the reports can serve as a capacity development exercise for partners.

### **Gender Mainstreaming**

52. Gender mainstreaming is one of the key principles of UN-supported analysis and strategic planning. Providing support for gender equality and eliminating discrimination against women is an important part of the human rights based approach. The UN should help ensure that priorities in the national development framework reflect the country's commitments to achieving gender equality within the internationally agreed development goals. The UN has a key role to play as a convener of women's groups and gender equality advocates who can flag gender concerns and influence the development agenda. A gender equality resource guide has been prepared to help UN theme groups mainstream gender equality concerns and advocacy for the rights of women and girls into country analysis, the national development framework, and the UNDAF. The practice of gender mainstreaming requires:

- Use of the MDGs, the Convention on the Elimination of All Forms of Discrimination against Women, and the Beijing Platform for Action as an overarching framework;
- Collection of sex-disaggregated data for all problems identified;

- Causality analysis which is sensitive to the different ways that females and males experience the problems;
- Identification of those with claims and those with duties, in a way that recognizes the patterns of discrimination, and of how women and men relate in the country;
- Recognition of the specific capacity gaps of claim-holders and of duty-bearers that relate to gender discrimination; and
- Connecting the analysis of problems to actions in the national development framework and the UNDAF.

### **Capacity Assessment**

53. The objective of capacity assessment is to ensure the systematic application of, and follow up to, country-led assessments within national development exercises. As part of the review of the country analytic work, the UNCT should review the existing information on the relevant national and local capacity assets and identify capacity gaps/needs that must to be addressed for sustainable national development. This review should draw on or feed into national or sector capacity assessments and capacity development strategies, and should not be carried out as separate ad hoc exercise. Refer to the [UNDG Position Statement on Capacity Development](#) and the initial tools described in its Annex.

54. During country analysis, the review of capacity assessment may primarily be at system level for specific functional capacities necessary for the successful creation and management of policies, legislation, strategies and programmes during the development cycle. A country's capacity resides on different levels – societal, organisational and individual – so capacity assessments need to be addressed at those levels. Following the initial review, and during the country analysis stage itself, the UNCT should also consider ways of ensuring that detailed assessments of identified capacity needs that have direct bearing especially on UNCT cooperation are incorporated in the national frameworks, and will be monitored and evaluated. Completion of such capacity assessments could be identified and included in the UNDAF,

### **Conflicts and natural disasters**

55. Understanding the potential for conflicts and natural disasters are additional elements of a high-quality analysis.

56. **Conflicts** and development are linked. While conflict can promote development and social change when it is managed in a non-violent way, violent conflict nearly always reverses development gains. Development also plays an important role in addressing the causes of violent conflict and supporting local capacities for peace, but this positive impact is not automatic. Development can create or reinforce tensions on the ground, by favouring some groups over others, or reinforcing structures that exclude some groups. Development interventions must be planned

and implemented in a way that minimizes harm and maximizes opportunities for peace. So the UNCT contributes to conflict prevention by design and not by default. The UNCT's contribution to country analysis and the UNDAF are important starting points. They depend on solid analysis of the dynamics of potential and actual conflicts on the ground. As an impartial actor, the UNCT has a comparative advantage in using conflict analysis, with national governments and civil society, to address prevention concerns jointly, and ensure that programmes are designed and implemented with a view to conflict prevention. At base, all programmes should help to develop local capacities to resolve differences peacefully.

57. The UNDG guidance note, [Integrating prevention of armed conflict into the CCA and UNDAF](#) offers more detailed guidance. Other key resources are:

- [Inter-agency framework for conflict analysis in transition situations](#);
- [Mainstreaming Conflict Prevention in Analysis and Programming: a review of CCA/UNDAF processes, October 2001](#);
- [Report of the lessons learned about the integration of conflict prevention into UN planning processes](#);
- [Towards a Conflict-Sensitive Poverty Reduction Strategy Process](#): lessons from a retrospective study
- A [Resource Pack on Conflict sensitive approaches](#) to development and humanitarian assistance, and peace building.

58. The [CCAs](#) and [UNDAFs](#) of Bosnia-Herzegovina, Colombia, Rwanda and Sri Lanka, all have notable elements that analyse and respond to conflict. In Congo, Sierra Leone, and Afghanistan, UNCTs have developed transitional recovery strategies combining the basic elements of the CAP, CCA and UNDAF into a single strategic plan to address the root causes of conflict.

59. **Disasters** caused by natural hazards, exert an enormous toll on development, threatening prospects for achieving the MDGs. Disaster risk is increasingly global in character. Due to factors such as climate change and economic globalisation, actions in one region may have an impact on hazards in another. When disaster occurs, countries often experience widely differing impacts, depending in large part on the kind of development choices they have made. While humanitarian efforts are important, there is growing recognition of the urgent need to reduce vulnerabilities for high risk populations by developing their own capacity to withstand potential disasters.

60. The UNDG guidance note, [Integrating Disaster Risk Reduction into CCA and UNDAF](#) is aimed at UNCTs in disaster-prone countries. It is relevant for all countries where development may be compromised by natural disasters. The guidance note offers a menu of MDG-specific interventions, and it contains a comprehensive checklist in its [Annex 4](#) for evaluating the incorporation of disaster

risk reduction into the CCA/UNDAF process. Its [Annex 5](#) offers examples of CCAs and UNDAFs from India, Djibouti and Iran that include Disaster Risk Reduction analysis and interventions, and its [Annex 6](#) offers a modified results matrix to illustrate national priorities, outcomes and indicators that integrate disaster risk reduction. Additional information and resources are linked [here](#).

## Part 3 Strategic Planning

### 3.1 Purpose

61. The UNDAF is the strategic programme framework for the UNCT. It describes the collective response of the UNCT to the priorities in the national development framework - priorities that may have been influenced by the UNCT's analytical contribution. While specialised agencies and non-resident agencies do not use the "harmonised programme cycle" of the UNDG Executive Committee agencies, this should not be an impediment to their full engagement in the UNDAF. Their expected programme or project activities and budget contributions should be linked, as far as possible, to the UNDAF results matrix.

### 3.2 Expected results

62. The collective results expected from UNCT cooperation – the UNDAF outcomes, and the outcomes and outputs of agencies working singly or together – must make a substantive and measurable contribution to the achievement of the selected priorities of the national development framework.

They must:

- Embody the basic elements of UNCT cooperation;
- Reflect the five inter-related UN principles (See Part 1.3); and
- Demonstrate the comparative advantages of the UNCT.

63. The UNDAF should be focused, and it should be open to adaptation to reflect changes in the country situation. It should reflect the comparative advantage of the UN without necessarily highlighting specific mandates of UN agencies. Further, the collective results in the results matrix should govern programming in individual agency programme/project documents.

64. The UNDAF should be completed by December in the penultimate year of the current cycle. It should be signed by Government and the individuals leading the UNCT no later than 31 March in the final year, at which time it is considered final. The Resident Coordinator sends the signed UNDAF to all partners and to the Chair of the UN Development Group for submission to the UN Secretary-General.

65. All UNDAF documents are subsequently posted on the [UNDG web site](#).

66. Agencies preparing programme documents based on the UNDAF should commence their preparation prior to the formal finalization of the UNDAF to ensure that agency-specific submission deadlines are respected.

### 3.3 Getting it done

67. UNCTs and partners, led by government, should undertake a prioritization exercise to determine that the UN system has both a clear collective comparative advantage as well as the collective resources to make a difference. A [prioritization retreat](#) is a useful way to conduct this exercise, but however it is done, the Resident Coordinator must ensure the fullest possible engagement of specialised agencies and non-resident agencies in the process. It is also critical that regional members of the Quality Support and Assurance (QSA) system are involved. The [QSA system](#) is discussed in more detail in Part 5 of these Guidelines.

68. The UNCT should target its support to areas where it can make the biggest difference, as identified using at least the following criteria:

- Whether identified root causes and capacity gaps of priority development problems are addressed from a human rights and gender perspective;
- The magnitude and trend of the problem and the level of national commitment to addressing it;
- Whether the UNCT has comparative advantages to address the identified problems and develop lasting in-country capacities;
- Whether sufficient human resources and funds are available, or can be mobilized; and
- Whether the UNCT is aligned with key actors within government and civil society who have decision-making power or can influence national priorities and support UNCT action.

69. UNDAFs should reflect risks of crises and natural disasters, as well as capacity gaps for crisis prevention and [disaster preparedness](#), as identified in the analysis. Based on analysis of these criteria, the UN's contribution to national development should then be reflected in the UNDAF as UNDAF outcomes. The UNDAF outcomes should be rights-based and gender sensitive, and they should contribute to sustainable changes in national capacity. The development of these UNDAF outcomes must also follow the principles of RBM, described below in Part 3.5.

70. The UNCT should reflect critically on the **quality and strategic positioning** of the UNDAF and the **outcomes** of agencies working singly or together:

- Are they SMART outcomes? (see Figure 2)
- Do they maximise the UNCT's comparative advantages, vis-à-vis other development actors?

- How well do they position the UNCT to contribute to the national development framework?

Some quality criteria for this assessment are offered in Annex 5.

71. It is recommended that UNCT focuses on three to five priorities in the national development framework.
72. The number of UNDAF outcomes would depend on the changes needed and UNCT capacities as determined by the process and criteria described above (and below). In some situations, national priorities may demand that the UN contribute to national development with more than five UNDAF outcomes.
73. The results of the prioritization exercise should be reflected in a draft UNDAF results matrix. This is the basis for **drafting the UNDAF document**, and for identifying potential joint programmes. It is critical that the accountabilities of agencies and partners for outcomes and outputs are identified clearly in the results matrix, and that all results are specific, measurable, achievable, relevant and time-bound.
74. It is recommended that thematic groups for each UNDAF outcome are then convened to refine the details of the results matrix. These groups should be capable in the application of HRBA, gender mainstreaming, RBM, capacity development and environmental sustainability.
75. Following the finalization of the UNDAF, these UNDAF outcome groups are responsible for using the results matrix, together with partners, for joint monitoring of progress towards each UNDAF outcome. The outcome group will use this monitoring to report to the individuals leading the UNCT. These responsibilities are discussed in more detail in Parts 4 and 5.
76. The UNCT and government should seek feedback on the initial draft from other development partners. The individuals leading the UNCT are also required to submit a draft to the regionally based QSA Convening Agency for review by the Peer Support Group (PSG) (see Part 5). The Convening Agency will provide consolidated comments from the PSG within 15 working days. The UNCT should then review and update the UNDAF based on the comments and concerns received.

### **3.4 Structure and content of the UNDAF document**

77. The text of the UNDAF should not exceed 15 pages. All UNDAFs should contain an *Executive Summary* and a *Signature Page*, as well as the six sections detailed below.

78. Note that the *signature page* should include signatures of Government as well as of all individuals leading the UNCT - including non-resident agencies - to underscore the commitment of all partners who participated in the UNDAF preparation.
79. **Section 1 – Introduction** should contain a brief narrative, following the preparatory exercise done during the analytical phase and the strategic planning exercise (see section 2.3), with particular attention to describing the position and the potential of the UN in the country, its comparative advantages, including key normative work being done by (resident and non-resident) UN agencies in relation to national priorities, as well as the alignment of the UNDAF process with the national planning process.
80. **Section 2 – UNDAF Results** comprises a narrative and a results matrix. These form the core of the document, stating the expected UNDAF outcomes, outcomes to be reached by agencies working singly or together, and agency outputs. The UNDAF results matrix is presented at the end of this sub-section, in the format described in Table 1 in section 3.5. The narrative complements the Results Matrix, and should describe in narrative form:
- The results expected from UNCT cooperation, a clear rationale for the choices made and their expected contribution to the national development framework and MD/MDG related priorities;
  - Why the UNCT and partners have focused on these results;
  - How the expected results will be achieved, and with whom.
81. There will be three sub-sections: UNDAF outcomes; outcomes of agencies (working singly or together) and agency outputs; and role of partners.
82. **UNDAF Outcomes** narrative describes how each UNDAF outcome will make a contribution to the achievement of one or more selected priorities from the national development framework, related to the MD/MDGs and other internationally agreed treaty obligations and development goals. It provides the rationale for the choices made and describes why certain results were chosen over others, making reference to the country analysis, the national priorities, and the comparative advantages of the UNCT over other development actors, particularly for country capacity development.
83. For each UNDAF outcome, the **outcomes of agencies** working singly or together and **agency outputs** are described, providing a summary of the expected results from contributions of all UN agencies, including specialised agencies and non-resident agencies. In particular, this section highlights the anticipated synergies between the agencies for the achievement of UNDAF outcomes, and describes any [joint programmes](#).

84. The final sub-section identifies the **government and/or other partners** that are expected to contribute to the achievement of UNDAF results. It also summarises the coordination mechanisms for working with partners and for promoting greater national ownership and capacity
85. **Section 3 - Initiatives outside the UNDAF results matrix** describes agency-supported activities that respond to specific country demands but which fall outside the common results matrix of the UNDAF. The initiatives and expected results are described briefly, along with the agency responsible, the estimated budget and timeline.
86. **Section 4 - Estimated resource requirements** is a costing of the results in the matrix, covering the estimated financial resources required by the UN system for its contribution to the achievement of each expected outcome in the UNDAF. Each agency identifies the resources that it plans to contribute – both regular budget and other resources. The figures, while only indicative, should be as accurate as possible at the time of the UNDAF drafting. Resource commitments will continue to be made only in agency programme/project documents, according to the procedures and approval mechanisms of each agency.
87. If there is a gap between the indicative budget and the actual resources available to implement the commitments of the UNDAF, then the Resident Coordinator, on behalf of all UN agencies, will supplement agency efforts in fundraising for the UNDAF. Increasingly, the emphasis will be on developing and implementing strategies for joint resource mobilization, by the UNCT, for achievement of strategic results in the UNDAF.
88. Technical cooperation or contributions in-kind should be indicated in terms of their equivalent monetary value, taking care not to double-count funding obtained through other UN agencies.
89. The budget should be reviewed and updated annually to reflect the shorter, or different, cycles of specialised and non-resident agencies.
90. **Section 5 – Implementation.** For each UNDAF outcome, this section describes the specific coordination, management and partnership arrangements that are needed for success. In line with the focus on capacity development, these arrangements must support the use of national systems for implementation, management and monitoring based on internationally recognized standards and good practice.
91. **Section 6 – Monitoring and Evaluation** – This section explains how the UNCT and partners will monitor and report on UNDAF achievements, and how they will evaluate the effectiveness of the UNDAF as a contribution to the national

development framework. Part 4 describes the tools for UNDAF M&E. In particular it emphasizes the importance of [indicators, baselines and targets](#).

### 3.5 Results-based management and the Results Matrix

92. The completion of activities tells us very little about changes in development conditions, or in the lives of people. RBM helps to focus on the results of UNCT cooperation at country level, measuring progress towards these results with indicators, learning continuously, and making adjustments. The UNCT's use of RBM is based on a harmonized system and terminology. It has the following principles:

- Accountability of UN agencies and partners for achieving results, and differentiating between results which UNCT cooperation can achieve and those which are beyond the control of the UNCT and partners;
- Identifying the assumptions upon which success depends, and the risks in the development environment;
- Defining the UNDAF and agency programmes in terms of a hierarchy of SMART results which has five levels:
  - ▶ MD/MDG related national priority/ goal (*equated with impact*)
  - ▶ UNDAF outcome
  - ▶ Outcome of one or more agencies working together
  - ▶ Output usually of one agency, but possibly of more than one working together
  - ▶ Activity Result
- There is causality between these levels: each result is a *means* for achieving the next higher level of result.
- Monitoring progress towards results, using appropriate indicators; and
- Reporting on results achieved and the resources it took, and incorporating lessons back into analysis and planning.

Figure 2: SMART Results

<b>S</b>	<b>pecific:</b> Results must use change language – they must describe a specific future condition from the standpoint of right-holders and duty-bearers
<b>M</b>	<b>asurable:</b> Results, whether quantitative or qualitative, must have measurable indicators, making it possible to assess whether they were achieved or not
<b>A</b>	<b>chievable:</b> Results must be within the capacity of the UNCT and partners to achieve
<b>R</b>	<b>levant:</b> Results must make a contribution to selected priorities of the national development framework
<b>T</b>	<b>imebound:</b> Results are never open-ended - there is an expected date of accomplishment

93. The results – outcomes and outputs – expected from UNCT cooperation, and their contribution to the priorities in the national development framework, are elaborated in the **Results Matrix**. The matrix drives the design of agency programmes, including [joint programmes](#), and also summarises how agency cooperation leads to the achievement of the UNDAF outcomes. The UNDAF Results Matrix is illustrated

in table 1. For each national priority selected for UNCT support, the matrix describes:

- The UNDAF outcome(s);
- The contributing outcomes of agencies working singly or together
- The outputs of agencies working singly or together;
- The role of partners;
- Resource mobilization targets for each agency outcome; and
- Coordination mechanisms and programme modalities.

94. **Outcomes** describe the intended changes in development conditions resulting from UNCT cooperation. They normally relate to **changes in institutional performance or behaviour** among individuals or groups.

95. There are two separate, but linked, outcome level results: UNDAF outcomes are the strategic, high level results expected from UNCT cooperation with government and civil society. They are produced by the combined effects of the lower level agency outcomes as well as actions of others. Even though it is not a requirement, in practice, the majority of agency outcomes are shared between two or more agencies. Where appropriate, agencies may use the commonly defined UNDAF outcomes as the outcomes of their own country programmes or projects.

96. Achievement of outcomes depends critically on the commitment and actions of stakeholders, as well as on results to be achieved by government and partners outside the UNDAF. We need to make **assumptions** about the conditions that are needed for the results of UNCT cooperation to translate into the achievement of national priorities. These transformations depend on the actions of stakeholders outside the scope of cooperation. We need to make assumptions about how these stakeholders will act. We also identify **risks** - negative external events which may seriously impede UNCT cooperation. Identifying risks can help a UNCT and partners develop mitigation strategies. Click here to see a technical brief about [Assumptions and Risks](#). These assumptions and risks are summarized in section 1 of the UNDAF document, and laid out in detail in the M&E plan.

97. **Outputs** are changes in skills or abilities, or the availability of new products and services, that must be achieved with the resources provided and within the time-period specified. There is a trend in recent UNDAFs towards a large number of outputs that are shared by two or more agencies and their implementing partners. The value of this is unclear, unless they indicate genuine possibilities for [joint programmes](#). **Outputs are the level of result where the clear comparative advantages of individual agencies emerge, and are where accountability is clearest.** Blurring these too much may compromise UNDAF achievement.

98. **Human rights standards** must guide the development of the UNDAF results matrix. Outcomes must be rights-based and **gender sensitive**. Using a HRBA, outcomes will show changes in the performance of rights-holders to exercise and claim their rights, and of duty-bearers to respect, protect and fulfil these rights. The identification of people with claims and duties should be made in a way that recognizes patterns of discrimination and how women and men relate in each country. The performance of rights-holders and duty-bearers will depend on the legal, institutional and policy environment. Outputs are more operational, and should describe tangible changes in the capacities of these rights holders and duty-bearers: new skills or abilities, responsibility, motivation and authority or have access to new products, services, and resources.
99. Outcomes must be people-focused: those with claims and those with obligations should be reflected as the subjects of the expected change. The process of developing rights-based, gender sensitive results is as important as the results themselves. As much as possible, both rights holders and duty bearers should be participants in planning, implementation, and monitoring of progress towards the fulfilment of rights. Click here to see Technical Briefs about [Outcomes](#) and [Outputs](#). The briefs offer a checklist for validating results, and they provide numerous examples taken from actual UNDAFs and agency programme documents.
100. **Indicators, baselines and targets** are essential for describing how the intended results will be measured. These are discussed in more detail in Part 4. The [on-line results matrix database](#) is a searchable database of results matrices from recent UNDAFs, organized by elements of the MD and the MDGs.
101. The **Results Matrix operationalizes the UNDAF**. It is meant to be a “live tool” used iteratively. Results in the UNDAF must be identical to the results in agency planning documents. Changes in any one document must be made in all other documents. This ensures that the UNDAF stays current and coherent, and serves as the overall statement of results expected from UNCT development cooperation. In practice, many matrices are static. But changes can and should be made to the matrix so that it stays in line with shifts in national priorities or other aspects of the programme environment. Changes to the matrix will usually emerge from the [UNDAF Annual Review](#) or from the findings of surveys or studies conducted as part of the M&E plan (see Part 4). Here are some suggested ground rules:
- Outputs can be adjusted annually to take account of changes in the development environment, changes in availability of resources, and the plans of specialised and non-resident agencies.
  - Changes to agency outcomes are possible in line with the approved country programmes/projects, but they should reflect notable changes in the development environment or respond to a request from government. When the outcome to be

changed is for a single agency and its partners, the change does not require agreement of individuals leading the UNCT, but the UNDAF results matrix must be updated.

- Changes to UNDAF outcomes should be made rarely, and only by request of government, based on the results of an evaluation or a significant shift in the development environment, such as a conflict or natural disaster. These changes must be agreed by the individuals leading the UNCT and government.
- If any result is shared between two or more agencies and their partners, all stakeholders must be consulted before the result is changed in any of the plan documents.

**Table 1: UNDAF Results Matrix (One table for each UNDAF outcome)**

<p><b>National priority or goals:</b></p> <ul style="list-style-type: none"> <li>• One or more priorities or goals from the national development framework, that relate to the MD/MDGs or other internationally agreed treaty obligations and development goals</li> <li>• Expressed as a measurable, achievable, sustainable change in the lives of people.</li> </ul>			
<p><b>UNDAF outcome</b></p> <ul style="list-style-type: none"> <li>• The UNDAF outcome makes a contribution to the achievement of the national priority or goal</li> <li>• Normally, it requires the efforts of two or more UN agencies and their partners, and it relies on critical assumptions about the roles of partners outside the framework of the UNDAF</li> <li>• Typically, it is expressed as institutional or behavioural change at national or sub-national levels, to be achieved by the end of the UNDAF cycle</li> </ul>			
Agency outcomes	Outputs	Role of partners	Resource mobilization targets
<p>Agency outcome (Agency 1)</p> <p>The institutional or behavioural changes expected from agency cooperation</p> <p>The sum of agency outcomes in this column, together with the contributions of other partners, should be sufficient to achieve the UNDAF outcome.</p>	<p>Outputs (Agency 1)</p> <p>The specific products, services, or changes in processes resulting from agency cooperation</p> <p>The sum of outputs should achieve the agency outcome to the left</p>	<p>Describes the role and contributions of partners for achievement of results</p>	<p>Indicative estimates of the agency resources to be made available for cooperation, broken down by regular and other resources.</p>
<p>Agency outcome (Agency 2&amp;3)</p> <p>...</p>	<p>Outputs (Agency 2)</p> <p>Outputs (Agency 3)</p>		
<p><b>Coordination Mechanisms and Programme Modalities:</b></p> <ul style="list-style-type: none"> <li>■ The coordination mechanisms needed among UN agencies and partners to ensure the achievement of results, including joint programmes.</li> </ul>			

### 3.6 Joint Programmes

102. In 2002, the Secretary General’s Agenda for Further Change called for more joint programmes and pooling of resources at country level. Joint programming captures much of what has been described in these guidelines - working together with partners to: strengthen country analysis; influence national priorities; and respond to those priorities as one system. A joint programme or project is a next possible step, but not a given one. It should happen where UN agencies, with national partners and donors, see clear gains in effectiveness and efficiency from combining

their efforts and resources in a common work plan and budget. Click here to see a range of excellent materials about [Joint Programmes](#), including: UNDG guidelines; mechanisms for joint resource mobilization; standard formats for planning and reporting; lessons learned; and a database of joint programmes already underway.

## **Part 4 Monitoring and Evaluation**

### **4.1 Purpose**

103. UNDAF M&E are linked but distinct processes. Monitoring tracks progress towards the results agreed in the matrix, and checks if the assumptions made at the design stage are still valid and if the risk identified are actually occurring or not. Thus it helps the UNCT and implementing partners to make mid-course corrections as an integral part of programme management. Evaluation determines whether the results made a worthwhile contribution to national development priorities, and the coherence of UNCT support. It feeds into management and decision making processes. While it makes an essential contribution to managing for results, it is an external function that should be separated from programme management. UNDAF M&E should always be aligned to existing national M&E systems and focus on their development and institutionalization if they don't exist.

### **4.2 Expected results**

104. The expected results from UNDAF monitoring are:

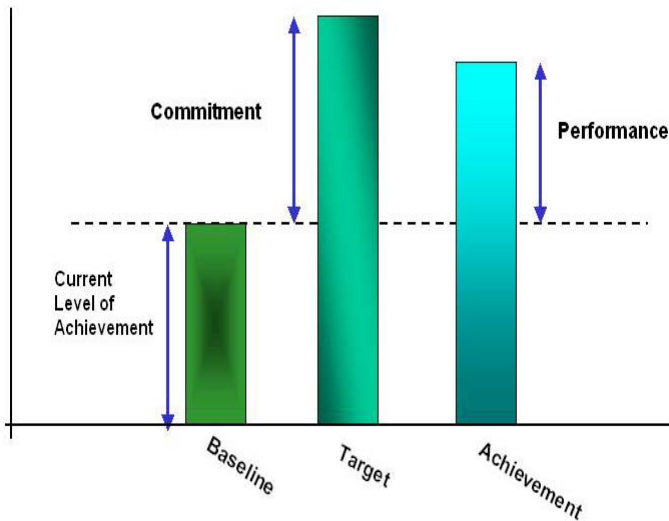
- Regular assessments of progress towards the results in the matrix, and that human rights principles are being respected in programme implementation;
- Continued identification of partners' capacity development needs, particularly for data collection, analysis, monitoring and reporting;
- Improved results-based reporting on system achievements; and
- Improved teamwork among UN agencies and greater ownership of the UNDAF among implementing partners.

105. The results expected from the UNDAF evaluation are:

- A considered judgement about the worth of UNDAF results and strategies, as well as alternatives that could have made more effective use of UNCT resources and comparative advantages, particularly for capacity development;
- Improved positioning of UNDAF results and lessons to influence the national development framework, and inform country analysis and planning in the next cycle; and
- Effective use of evaluations and studies conducted by agencies and partners during the cycle.

106. UNDAF results (at all levels) must be tracked through a manageable set of key performance **indicators**. Indicators are objectively verifiable and repeatable measures of a particular result. They are essential for monitoring, evaluating, and reporting on achievement.

**Figure 3: Baselines, targets, and performance**



107. All indicators must be accompanied by **baselines** and **targets**. Without these, measurement of change over time is not possible. In the diagram: Baselines establish the value of the indicator at the beginning of the planning period; Targets describe expected values upon completion of the plan; Performance monitoring of the indicator tells us about actual achievement, compared to the original target.

108. To ensure consistency, indicators, baselines and targets should not normally be changed retroactively, and only by consent of all partners.

109. The **human rights standards** that guided the development of results must also guide the selection of indicators. An indicator must be as rights-based and **gender-sensitive** as the result it is intended to measure. Averages hide disparities thus hindering the identification of discrimination such as gender and racial discrimination, so indicators must be specific to the change expected, and to the subject of change, either the rights holder or the duty-bearer. This means disaggregation - as much as necessary - by sex, age, ethnicity, language, urban and rural areas. But there are trade-offs. The large sample sizes needed to provide quantitative data which are statistically reliable for different regions and population groups can increase data collection costs dramatically. The UNCT and partners will have to target the use of scarce M&E resources to address the most pressing data needs.

### 4.3 Getting it done

110. The **UNDAF M&E plan** helps a UNCT to document what needs to be monitored, with whom, when, how, and how the M&E data will be used. It also helps to coordinate the different types of studies and evaluations conducted by agencies and their partners. The plan helps to focus the M&E activities of the UNCT, and it aligns

them more closely with national mechanisms. It should be designed with the full involvement of government and other partners.

111. The UNDAF M&E plan is prepared at the same time as the Results Matrix. Like the matrix, the M&E Plan is a live instrument, to be updated as needed. **Results in the M&E plan** must be identical to the results in the matrix to ensure consistency and accountability during monitoring and evaluation. Therefore, the M&E plan must be updated every time the Results Matrix is.
112. **Assumptions and risks** are critical elements of the UNDAF. They are first identified during the prioritization exercise, and then refined during the development of the M&E plan. The monitoring section of the plan should state how the validity of risks and assumptions will be checked regularly during implementation, and how the information generated will feed into management.
113. The UNCT should form new inter-agency groups around each UNDAF outcome. These groups are responsible for using the results matrix and M&E plan as the basis for joint monitoring with programme partners. Results of that monitoring will be used to report to the UNCT about progress. UNDAF outcome groups will also draw on reviews and progress reports that agencies undertake with their implementing partners. The challenge of inter-agency monitoring should not be under-estimated. UNDAF outcome groups need [practical and manageable Terms of Reference](#). The UNCT should prepare an annual progress report using an agreed common reporting format under the direction of the Resident Coordinator. UNDG Executive Committee agencies presently use an agreed [Standard Progress Report](#) for programme components for their agency specific reporting purposes.
114. As a minimum, UNDAF outcome groups will:
- Meet regularly with partners to assess progress towards UNDAF results;
  - Conduct joint field monitoring missions to gauge achievements and constraints;
  - Identify any lessons or good practices;
  - Reflect on how well UNDAF results are addressing human rights and gender equality concerns;
  - Identify capacity development needs among partners, particularly related to data collection, analysis, monitoring and reporting;
  - Report regularly to the individuals leading the UNCT on the issues listed above, and help them bring lessons and good practices to the attention of policy makers;
  - Support UNCT action that assists the Government in reporting to international human rights bodies on the progress made by the State; and
  - Prepare one annual progress report, using the M&E plan as a template, as an input to the UNDAF annual reviews, and to help prepare agency and the Resident Coordinator's annual reports.

115. The individuals who lead the UNCT must support group members to fulfil these roles. This means the staff members' monitoring and reporting responsibilities must be included in their performance appraisal instruments, and UNDAF groups must have adequate resources and secretariat support.

116. The **UNDAF Annual Review Meeting** is where a high quality M&E plan shows its value. It provides the basis for tracking and reporting on the overall performance of the UNCT. The meeting's purpose is to:

- Review overall progress towards the results in the matrix;
- Validate conclusions, including lessons and best practices, that should feed into preparation of new annual work plans and for policy advocacy.

117. The UNDAF annual review meeting:

- Builds on reviews of by agencies and their implementing partners at the technical level;
- Uses common tools, mechanisms and processes such as the M&E plan and calendar and UNDAF group reports;
- Provides information for the annual reports for agencies, the Resident Coordinator and donors, and may reflect on issues such as development effectiveness, priorities for national capacity development, and joint resource mobilization for the UNDAF;
- Provides data and analysis for the UNDAF Evaluation.

118. Wherever possible, the annual review process should link to reviews of the national development framework. The [UNDG guidance note on the UNDAF Annual Review](#) provides more detail.

#### 4.4 Structure and content of the M&E Plan

119. The UNDAF M&E Plan has three components:

**a) narrative component**, that describes the M&E management plan: how the UNCT and partners will undertake and coordinate UNDAF monitoring and the UNDAF evaluation, with clear accountabilities for agencies and partners; and efforts to strengthen national M&E capacities. In developing the M&E management plan, the UNCT should estimate the human, financial and material resource requirements for its implementation. For example, the UNCT should consider the establishment of an interagency working group consisting of agency M&E Officers. The working group would be responsible for tracking and coordinating the implementation of the UNDAF M&E plan and for promoting joint UNDAF monitoring and evaluation.

**b) M&E framework** consolidating monitoring information in one table for easy reference by the UNCT and partners. The first column repeats the results from the Results Matrix. The remaining columns list: indicators, baselines and targets; means of verification; and assumptions and risks (see table 2).

c) **M&E calendar** to improve the coordination and use of M&E activities. The calendar provides a schedule of all major M&E activities. It describes agency and partner accountabilities, the uses and users of information, the UNDAF evaluation milestones, and complementary partner activities (table 3).

**Table 2: UNDAF Monitoring and Evaluation Framework (one table per UNDAF outcome)**

UNDAF Outcome	Indicator(s) and Baselines	Means of verification	Assumptions and Risks
UNDAF Outcome1	Indicators; Baselines, targets <sup>8</sup>	Sources: Responsible agencies/ partners	At the interface: (1) Between national priorities and UNDAF outcomes; and (2) UNDAF outcomes and Agency outcomes
1.1 Agency outcome - Output 1.1.1 - Output 1.1.2 - Output 1.1.3 ...	Indicators; Baselines, targets	Sources: Responsible agencies/ partners	
1.2 Agency outcome - Output 1.2.1 ....	Indicators; Baselines, targets	Sources: Responsible agencies/ partners	
	...		

**Table 3: The M&E Calendar<sup>9</sup>**

		Year 1	Year 2	Year 3	Year 4	Year 5
<b>UNCT M&amp;E activities<sup>10</sup></b>	<b>Surveys/studies</b>	Investigations of a problem or assessments of the conditions of a specified population group. They can help to identify root causes, and findings are used to develop or refine programme strategy and/or define baseline indicators.				
	<b>Monitoring systems</b>	Typically this will include UNCT support to national information systems, with regular and fairly frequent reporting of data related to UNDAF results. In particular it should include UNCT support for national reporting to Human Rights treaty bodies.				
	<b>Evaluations</b>	An evaluation attempts to determine objectively the worth or significance of a development activity, policy or programme. This section includes all evaluations of agency programmes and projects contributing to the UNDAF, and the UNDAF evaluation				
	<b>Reviews</b>	Reviews will generally draw on agency and partners' monitoring systems as well as the findings of surveys, studies and evaluations				
<b>Planning</b>	<b>UNDAF evaluation milestones</b>	Timing and sequence of the milestones in preparing and implementing the UNDAF Evaluation. These should make use of the M&E activities above.				
	<b>M&amp;E capacity development</b>	A list of the major, planned capacity development activities to strengthen partner M&E capabilities.				

<sup>8</sup> Note that targets for outcomes are to be reached by efforts beyond those specified of the UN

<sup>9</sup> Click here for a [country example of M&E Calendar](#).

<sup>10</sup> For each activity list: Short name of activity; focus vis-à-vis UNDAF results; agencies/partners responsible; timing.

	<b>Use of information</b>	Any decision-making processes or events that will draw on the findings, recommendations and lessons from the M&E activities above. For example: national or international conferences, MDG reporting, reporting to human rights bodies, preparation of the national development framework, the prioritization exercise, and preparation of the UNDAF.
	<b>Partner Activities</b>	The major M&E activities of Government and other partners that use and/or contribute to the M&E activities above.

120. Based on the principle that each UN agency is responsible for monitoring and evaluating its own programme outputs and outcomes, the UNCT should use the M&E Plan and its components to focus joint UNDAF monitoring and evaluation on the additional value and effectiveness of joint policy dialogue, joint UN programming, coordination and collaboration to support the government achieve national MD / MDG goals.

#### 4.5 The UNDAF Evaluation

121. This is an assessment exercise, which is managed by the UNCT in cooperation with government and other partners. It takes place near the end of the UNDAF cycle. Studies, surveys and evaluations conducted by UN agencies and their partners during the cycle are the building blocks for the UNDAF evaluation. It asks three key questions:

- Did the UNDAF make the best use of the UNCT's comparative advantages in the country?
- Did the UNDAF generate a coherent UNCT response to national priorities?
- Did the UNDAF help achieve the selected priorities in the national development framework?

122. The UNDAF evaluation will normally take place in the fourth year of the cycle. Since it overlaps with the preparation of the next UNDAF, the evaluation should be a major input to country analysis and planning. Clear terms of reference are needed for the UNDAF evaluation. Its scope will depend on the kinds of evaluations and studies conducted during the cycle, and by the nature of UNCT involvement in each country. The individuals leading the UNCT and government may opt to establish a working group to oversee the preparation and implementation of the evaluation. Please see the guidelines for the [UNDAF evaluation Terms of Reference](#).

## Part 5 Organizing and managing for results

### 5.1 Coordination and work planning

123. The minimum result expected from UNCT cooperation at country level is a strategic contribution to the achievement of priorities in the national development framework. The challenge for the UNCT is how to make this happen.

124. First the Resident Coordinator must ensure that all United Nations agencies, funds and programmes working in the country, including non-resident agencies and advisors located in regional offices, are involved in the process. Engagement of **specialised agencies and non-resident agencies** in analytical and strategic planning steps requires special attention. It is the Resident Coordinator's responsibility to ensure:

- Careful work planning so that deadlines take account of the capacity constraints of specialised agencies and non-resident agencies;
- The identification of focal points from specialised agencies and non-resident agencies for the duration of the process.

125. **Government leadership** is essential. The Resident Coordinator must seek the buy-in of the government's coordinating body to the principles of development cooperation. Together, the individuals leading the UNCT and the coordinating body will engage:

- All relevant ministries and departments, including national human rights institutions;
- Civil society and voluntary organizations, including women's groups, and the private sector;
- The World Bank and International Monetary Fund;
- International development partners such as international NGOs and donor agencies;
- Regional and sub-regional institutions, such as development banks, regional commissions and other relevant entities.

#### **Hard-to-reach partners**

Meaningful engagement of civil society groups, including indigenous peoples and minorities, is essential for getting consensus on the results of the country analysis, and the strategic direction of the national development framework and the UNDAF. A range of participation methodologies can be employed to seek the views and ideas of hard-to-reach partners, including ethnic minorities and indigenous peoples, women, children, youth and the extreme poor. Local NGOs and research institutes may also have expertise and experience in facilitating participation processes. (See <http://www.ids.ac.uk/ids/particip/index.html>, <http://www.iied.org/>).

126. The individuals leading the UNCT and the government coordinating body should **prepare and agree on a workplan** clearly linking to the national development planning process, and laying out the steps and milestones for the UNCT's contribution to country analysis, and the preparation of the UNDAF.
127. The work plan should identify support needed from regional offices and headquarters. Once drafted, the Resident Coordinator should send the workplan to all national partners and also to the regional offices and headquarters of all UN agencies and the [UN Development Group Office](#). Implementation of the work plan may be coordinated by a steering committee. Different stages of the workplan will be undertaken by UN theme groups / UNDAF outcome groups, whose terms of reference should be agreed by the steering committee. Staff from non-resident agencies and specialised agencies must be invited and encouraged to participate in these groups. The Steering Committee should also agree on how to share costs.
128. Annex 6 contains a **table of roles and tasks** for key actors in the process. Individuals leading the UNCTs need to know who in their country and region they can call upon to help at various stages of the process, particularly with the application of a HRBA, gender analysis, and RBM, as well as a substantive vetting of the UNDAF outcomes. This identification of what skills and expertise are needed should be carried out at the start of the process, as part of the UNCT's assessment of its comparative advantages.
129. **The Quality Support and Assurance System (QSA)** is designed to help UNCTs contribute effectively to country analysis and develop strategic UNDAFs that maximize the comparative advantages of the UNCT. Responsibility for the QSA system is divided among three levels: the country, the region and headquarters.
130. **Regional Offices** and **regional PSGs** play an important role. PSG members need to be involved as early as possible in the process, and particularly during the discussion about options for the UNCT's analytical contributions, as well as the lead-up to, and during, the strategic planning retreat where UNDAF outcomes are drafted with partners. These roles and tasks are discussed in Annex 6. Follow these links to see additional detail about the [QSA system](#) and [quality review templates](#).

#### **Use of consultants**

In analytical and UNDAF preparation exercises, such as Strategic Planning Retreats, UNCTs have reported great value from using UNSSC-trained resource persons and facilitators, but relatively little value from hiring consultants to draft analytical and UNDAF documents.

## 5.2 Making the UNDAF operational

131. The UNDAF results matrix provides a complete operational overview of agency programming. To facilitate the commitment and agreement on results, all individuals leading the UNCT and key implementing partners should participate in a first [Joint Strategy Meeting \(JSM\)](#), no later than February in the last year of the current cycle, following the finalization of the UNDAF but before finalization of agencies' programme and project documents.
132. The first JSM (JSM1) enables all agencies (including non-resident and specialised agencies) and their partners collectively to review, validate and commit to the UNDAF Results Matrix, strengthening linkages between their programmes and projects and the UNDAF. The JSM1 also provides an opportunity to establish or realign thematic groups to the UNDAF Outcomes, and for all Agencies to identify opportunities for joint and collaborative programming including joint programmes, monitoring, research and evaluation.
133. A second JSM (JSM2) is not mandatory, but is strongly recommended. It should take place in the 3<sup>rd</sup> or 4<sup>th</sup> quarter when agencies are finalizing their operational plans. It provides an opportunity for all agencies (including specialized agencies and non resident agencies) to review the coherence between the UNDAF results and the agencies' results matrices at the stage of operationalization, as specified in CPAPs for the Executive Committee agencies and programme and project documents for other agencies. Agencies can identify - collectively - any programming gaps and overlaps, and find ways to address them, for example through additional fundraising (for gaps), or joint programmes (for overlaps). Please see the draft [UNDG revised Guidance Note on Joint Strategy Meetings](#).
134. Specialised agencies and non-resident agencies normally follow a two-year planning cycle. This is not an impediment to their full involvement in country analysis and the UNDAF. A results matrix that is used iteratively will expand easily to include the expected outcomes and outputs of cooperation by those agencies. Moreover, most of these agencies are mandated to engage in the UNDAF by their governing bodies. For more information, a series of one page briefs is being prepared on [the programming processes used by specialised and non-resident agencies](#), with links to the decisions or instructions from their governance bodies regarding participation in the UNDAF.

### Take Note!

An evaluator should be able to take a selection of agency documents and an UNDAF results matrix, from the same country, and see *the same results repeated*.

## **Annexes:**

<a href="#">Annex 1</a>	<a href="#">Guidelines for conducting a SWOT exercise</a>	38
<a href="#">Annex 2</a>	<a href="#">Checklist to assess the quality of country analysis</a>	42
<a href="#">Annex 3</a>	<a href="#">Structure and content of the CCA document</a>	46
<a href="#">Annex 4</a>	<a href="#">Indicator framework</a>	52
<a href="#">Annex 5</a>	<a href="#">Guiding Questions to assess the quality and strategic positioning of the UNDAF</a>	67
<a href="#">Annex 6</a>	<a href="#">Relevant Roles and tasks</a>	68
<a href="#">Annex 7</a>	<a href="#">Hyperlinks to the conventions of the UN System, international human rights mechanisms, and other useful references</a>	73
<a href="#">Annex 8</a>	<a href="#">Abbreviations</a>	76

## Annex 1 Guidelines for conducting a SWOT exercise

Making a contribution to country analysis and to the national development framework requires careful planning and preparation. The UNCT should examine its own strengths and weaknesses, and the opportunities and threats in the national development context, including what other development actors are doing. A SWOT analysis is a self-assessment exercise that will help a UNCT to clarify its comparative advantages, and highlight opportunities for the UN to support country analysis and strategic planning. It also enables the UNCT to minimize the gap between expectations and the UNCT's actual capacity to deliver. It enables the individuals leading the UNCT to anticipate learning needs or take maximum advantage of opportunities in the national development context.

### Who does the SWOT analysis?

At a minimum the SWOT exercise should be done by the individuals leading the UNCT. It is also advisable to include senior programme and coordination staff.

### SWOT facilitation guide

#### Objective:

To clarify the comparative advantages of the UNCT by identifying its strengths and weaknesses, and opportunities and threats in the national development context.

Session 1: Objective		
Timing	Activity	Materials
5 minutes	<ul style="list-style-type: none"> <li>Review the <b>objective</b> of the SWOT exercise</li> </ul>	1 flip chart with objective
Session 2: Group brainstorming		
Timing	Activity	Materials
30 minutes, up to an hour, or more	<ul style="list-style-type: none"> <li>Divide the participants into groups of 4</li> <li>Each group to brainstorm about the following 4 questions</li> </ul> <p>What are:</p> <ul style="list-style-type: none"> <li>➤ The 5 <u>main strengths</u> of the UNCT?</li> <li>➤ The 5 <u>main weaknesses</u>?</li> <li>➤ The 5 <u>main opportunities</u> that exist to place the UNCT in a more strategic and influential position in the country</li> <li>➤ The 5 <u>main threats</u> in the programme environment?</li> </ul> <p>Here are some basic questions to help the group process:</p>	<p>1 flip chart with the questions</p> <p>60 to 80 cards in 4 colours (cut 1 A4 sheet of paper length-wise to make 2 cards)</p> <p>- markers (2 per group)</p> <p>Reference materials as appropriate to the time allocation (see Facilitation</p>

	<p><u>Questions to help identify strengths</u></p> <ul style="list-style-type: none"> <li>• What do we do well?</li> <li>• What relevant resources do we access?</li> <li>• What do others see as our strengths?</li> </ul> <p><u>Questions to help identify weaknesses</u></p> <ul style="list-style-type: none"> <li>• What do we not do well?</li> <li>• In which areas must we improve?</li> <li>• What do we need to avoid?</li> <li>• What do others see as our weaknesses?</li> </ul> <p><u>Questions to help identify opportunities or threats</u></p> <ul style="list-style-type: none"> <li>• What events are coming up that can influence our situation?</li> <li>• What trends or new developments (political, economic, social, cultural, etc.) can affect us?</li> <li>• What are other development actors doing that complements or competes directly with UN supported programmes?</li> <li>• What actors are in a position to influence decision-making on crucial development issues (either positively and negatively); what incentives drive them?</li> </ul> <ul style="list-style-type: none"> <li>• Each group to write each answer on a card – by the end of the brainstorming, each group will have prepared 20 cards</li> </ul>	hint)
--	---	-------

*\* Facilitation hint:*  
*This session can be done as a brainstorming exercise in 30 minutes. It can also be expanded to an hour or more, if the participants want more time for reflection, or to consult references. For example, it might be useful to have copies of the previous UNDAF evaluation or UNDAF progress reports to help identify strengths and weaknesses. Likewise, recent government reports, new policy papers, or reports from donors, local and international NGOs may help to identify opportunities or threats.*

<b>Session 3: Clustering and review</b>		
<b>Timing</b>	<b>Activity</b>	<b>Materials</b>
20 minutes	<ul style="list-style-type: none"> <li>• Prepare 4 areas of wall space to cluster the cards</li> <li>• Ask all participants to stand at the clustering area</li> <li>• Start with strengths. Ask one group to volunteer their results by posting their 5 cards on the wall</li> <li>• Read the cards aloud and ask the group to clarify any</li> </ul>	Group work cards Tape

	<p>cards that are unclear</p> <ul style="list-style-type: none"> <li>• One after the other, ask all other groups to post their cards – and to cluster cards that are similar</li> <li>• In this way, the major clusters of strengths will emerge as a group consensus</li> <li>• Any single cards are outliers, but the group can decide if it is a strength or it can be removed</li> <li>• Proceed in this way for the weaknesses, opportunities and threats</li> </ul>	
<b>Session 4: Identify comparative advantages</b>		
<b>Timing</b>	<b>Activity</b>	<b>Materials</b>
45 minutes	<ul style="list-style-type: none"> <li>• Mix the participants into new groups of 4</li> <li>• Ask the groups to reflect on the SWOT analysis and to identify the comparative advantages of the UNCT – help them by giving them this guide.</li> </ul> <p>Comparative advantages.</p> <ul style="list-style-type: none"> <li>➤ Utilize our strengths (and build on results achieved)</li> <li>➤ Avoid our weaknesses (or, if they constitute critical gaps in our capacity to address strategic issues, address them)</li> <li>➤ Capitalize on opportunities</li> <li>➤ Avoid or mitigate important risks or threats</li> <li>➤ Recognize what other development actors are doing</li> </ul> <ul style="list-style-type: none"> <li>• Ask each group to summarise each comparative advantage on a half sheet of flip chart paper – they can write a statement or list bullet points</li> <li>• As in session 3, the responses of all groups should be presented and similar ones can be clustered</li> <li>• In plenary discuss the results and agree that these represent the comparative advantages of the UNCT</li> <li>• Type and share the results</li> </ul>	1 flip chart with comparative advantages guide

**Additional questions to help groups with their SWOT exercise.**

Some groups may need more prompting with the exercise. This list also helps a facilitator or resource person probe the results and ask questions.

## **Strengths and Weaknesses**

1. How many of the UNCT members are up to date in:
  - a. Human Rights Based Approach;
  - b. Gender Analysis;
  - c. Emergency preparedness and conflict analysis;
  - d. Results-based management;
  - e. Assessment and development of capacities for national development processes.
2. How many UNCT members have engaged the government in upstream analytical work such as discussion on national budget analysis or policy-level national plan discussions?
3. Are there any major changes/transfers expected among the individuals leading the UNCT during the critical period of the CCA/UNDAF process?
4. What proportion of the substantive UNCT members is present/in country?
5. What normative and operational work is being done by all the different UN agencies at country level?
6. Are there any major UN-wide or agency-specific events that are likely to distract from the CCA/UNDAF process? Are there possibilities for making adjustments?

## **Opportunities and Threats:**

To identify *external* conditions that may be helpful in achieving the objective, the UNCT may use the following checklist:

1. Are there any new opportunities to get the buy-in of key decision-makers in government or civil society and ally with them to influence national priorities?
2. Are any major changes in government expected e.g. through elections or new constitution
2. Does the country envisage or is it in the process of conducting a major data gathering exercise e.g. population census, national survey etc?
3. Is there any major threat to stability?

## Annex 2 Checklist to assess the quality of country analysis

### A. Criteria

At a minimum, high quality country analysis will:

- ❖ **Assess the situation of the country with respect to the standards in the MD/MDGs and other internationally agreed treaty obligations and development goals.**
  - ✓ Do analytical processes or products (existing or planned) provide reliable, recent data related to the MDGs and do they adequately describe issues, trends and gaps?
  - ✓ Have important comments by Treaties Bodies and supervisory bodies within the UN system (i.e. responding to national reports) been considered?
  
- ❖ **Identify patterns of discrimination and inequality, and describe the situation of groups excluded and made vulnerable due to the denial of their rights.**
  - ✓ Are data sufficiently disaggregated (e.g. by gender, ethnicity, region, religion and language) to identify excluded groups?
  - ✓ Are there evident priorities among the problems and challenges identified?
  - ✓ Are the root causes of these problems and challenges identified?
  - ✓ Does the analysis describe patterns of discrimination and the different ways that females and males experience these problems?
  
- ❖ **Assess capacity development needs at different levels**
  - ✓ Does the analysis identify responsibilities and capacity gaps of key actors to address the problems and challenges (at national, sub-national, community and family level)?
  
- ❖ **Involve non-government stakeholders, and ensure the active and meaningful participation of groups subjected to discrimination, including the poor, indigenous peoples and migrants.**
  - ✓ Is there evidence of institutionalized participation of non-state actors and excluded groups in analytic work?
  
- ❖ **Assess the risks of conflict and natural disasters, as well as the readiness of countries to respond.**
  - ✓ Have risks of humanitarian crises and natural disasters been assessed, and are the groups most likely to be affected identified?
  - ✓ Have the analytical processes and products considered the readiness of government, civil society and communities to respond to crises and natural disasters?

## **B. Process suggestions**

The nature and scope of the review should be clearly defined, comprehensive and focus on capacity development. The review should be conducted transparently on the basis of the principles of UN cooperation (see Part 1). It will need to survey a wide range of analytic processes and products that make up the national development framework. These include, but are not limited to: a National Development Plan (NDP), PRSP, JAS, sub-national plans, sector analyses and plans, World Bank or IMF reports and reports from credible international and country civil society organizations. The review will also indicate the adequacy of the national processes and institutions in each stage of the planning cycle including situation analysis, policy and strategy formulation, budget allocation, programme planning and implementation, monitoring and evaluation.

The following are suggested:

1. The Resident Coordinator, on behalf of the UNCT, should inform government about the purpose and process of the review, seek their involvement, and request focal points for the exercise, and agree on a schedule. A steering committee or other body may be formed.
2. The UNCT and partners should agree on the analytical processes and documents that will be reviewed. The review must use the questions listed in part A. Additional criteria may be added, at the request of partners or to address a unique country situation. It may be undertaken by staff from the UN system and with the support of a qualified consultant.
3. The results of the review should provide adequate information to guide a decision about the UN's analytical contribution. This should be summarised in a note for the record which should include:
  - i. The purpose, the process, the participating partners, and the analytic processes or products reviewed;
  - ii. A summary of the comparative advantages of the UN system at country level;
  - iii. Entry points in the national planning process
  - iv. A summary of the major findings from the review;
  - v. The planned analytical contribution, and the rationale for its selection, with specific emphasis on its capacity development benefits.
4. The draft report should be endorsed by all partners in the review, and it will represent a plan of engagement in country analysis and strategic planning.

### **C. Supporting national analysis: Some issues for consideration**

The issues listed below were identified by the UNCTs in Ethiopia, Mozambique, Tanzania and Zambia, who did not undertake a CCA exercise, but opted for full support to the national analytic process, as part of a PRSP or equivalent process. A fuller discussion of these [early country experiences of programming without a CCA](#) is available for reference.

Each UNCT will have to find its own solutions for these issues. It is recommended that these be discussed among individuals leading the UNCT including those from non-resident agencies, and with the Regional Directors and PSG before the review with partners.

#### **(a) Some considerations for decision-making**

- 1) Carefully consider your decision and do not expect an easier process. All UNCTs who have reported on using government analysis stress the high demands put on UNCTs by the decision not to undertake a CCA.
- 2) Assess and respect expectations of stakeholders in government, civil society and the wider donor community.
- 3) Not to undertake a CCA usually means to make all efforts to participate in the development of the national priority document.
- 4) Review the UNCT profile to assess its capacity to influence national processes and to respond to the demands of the changing aid environment. Specialised agencies and non-resident agencies must be included in this review process.
- 5) Review the capacity of Resident Coordinator office to fulfil its role as an inclusive coordinator.
- 6) Focus on building the role of the combined UNCT as opposed to the agendas of different agencies and try to focus and maximize the contributions of the different agencies.
- 7) Before taking a final decision ensure full commitment of all UNCT members and have at least a draft plan on how to compensate for the loss of core functions usually filled by CCA preparation.

#### **(b) Some considerations after the decision has been made not to have a full CCA**

- 1) Once the decision has been taken, ensure full commitment of UNCT and develop a joint strategy for (1) a joint review and discussion of country analytical work, (2) the participation in government-led analytical work, (3) the advocacy of UN priorities' inclusion in national priority document and (4) the translation of national priorities in the UNDAF results matrix.
- 2) Keep the process of UNDAF preparation light and short. UNCTs recommended a timeframe of 2-3 months and no longer than 6 months.
- 3) Carefully manage the process of agency-government interaction to avoid fragmentation of UNCT and ensure maximum influence most likely through

focusing on selected areas of UN comparative advantage and appointing lead agencies.

- 4) Review UNCT coordination mechanisms and procedures such as existing theme groups and, if necessary, develop additional mechanisms.
- 5) Support and enable the Resident Coordinator office to lead the overall process and agencies to take on sector/thematic leadership.
- 6) Finalize UNDAF preparation only after completion of the national priority document (if at all possible)

Alignment with the national priority document opens up new opportunities for joint monitoring and evaluation. Build your M&E strategy around this. Consider establishing a technical committee or another joint body and integrate an M&E capacity development strategy.

## **Annex 3            Structure and content of the CCA document**

All CCA documents should contain an **executive summary** with a synthesis of the major findings of the analysis, followed by at least **three sections** (described below). The CCA document should present a focused discussion of key issues, preferably within 30 to 35 pages, excluding annexes.

### **Section 1: Introduction**

This should be brief, explaining the preparation process and scope of the CCA, and then the efforts made to ensure government ownership and leadership in the process, and how the CCA will add value to country analytic work and to the national development framework.

### **Section 2: The Analysis**

This section contains a focused analysis of the national development situation. Major problems or challenges are analyzed to identify trends, disparities and the most affected population groups. It will highlight progress made towards national priorities, with a clear focus on the MD/MDGs and other internationally agreed treaty obligations and development goals. It should use a HRBA and mainstream gender equality concerns to:

- Identify priority development problems and state them as interrelated, and unfulfilled, human rights;
- Provide a greater understanding of their causes; and
- Identify the individuals and groups in society who are obligated to take action, and the capacities they need to be able to take action.

In line with the principles of UNCT cooperation, the analytical process must encourage government ownership and leadership, and it must involve non-government stakeholders, and ensure the active and meaningful participation of groups subject to discrimination, including the poor, indigenous peoples and migrants.

A learning resource package on [HRBA](#) is being prepared for UN staff by the inter-agency group on human rights. The CCA largely follows Part IV of the draft package which contains detailed information about the steps involved in conducting a human rights based analysis at country level.

#### **a) Gather information**

A HRBA depends on the quality of information available. The information should cover the civil, cultural, economic, political and social context that will lead to the identification of the main development and human rights challenges in the country, their severity, the most affected and where they live. Development of an indicator framework (see Annex 4) may help to establish a baseline and identify trends, data gaps, and also constraints in the capacity of national statistical systems. The

information should be disaggregated as much as possible by sex, age, geographic area, and ethnicity. The information should come from a variety of sources including government and official data, civil society, observations and recommendations of international human rights mechanisms, regional and national human rights mechanisms and other reliable sources.

## **b) Assess the situation**

Based on the information gathered, the assessment from a human rights and gender perspective helps to determine whether, and where, a problem or challenge exists, its intensity and who is affected. It reviews the trends in development indicators and it highlights disparities: where these occur, who are most affected and how many are affected. It examines the commitments of the State to respect, protect and fulfil human rights. The HRBA adds value to this assessment by relating the situation to the human rights obligations in the international instruments ratified by each country. This data-driven assessment will help to identify patterns of discrimination and inequality, and describe the situation of groups excluded and made vulnerable due to the denial of their rights.

The assessment should also address risks for potential natural and man-made disasters, and discuss the country's [disaster preparedness](#), including the availability of early warning and crisis monitoring indicators.

## **c) Select challenges for deeper analysis**

Using the assessment in step 2, the UNCT and national partners will identify particular problems or challenges for deeper analysis. Criteria for the selection will include:

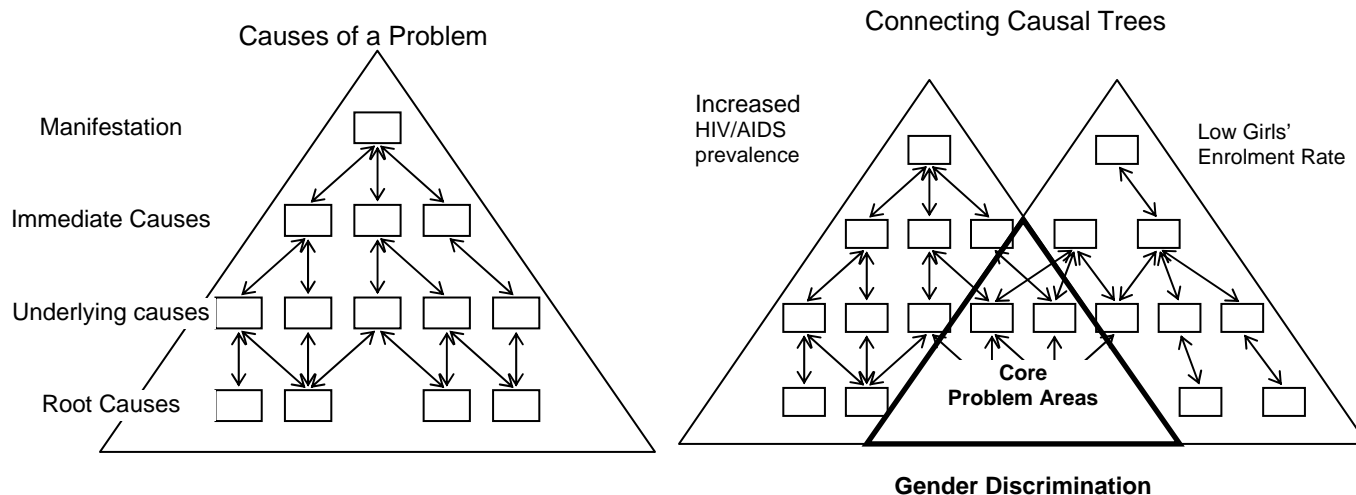
- The persistence, severity and scope of the problem;
- Negative trends;
- Trends that might lead to man-made crises or natural disasters;
- Disparities suggesting unequal treatment and discrimination;
- Particular opportunities for UNCT advocacy and programme cooperation; and
- Opportunities for multiple impacts where problems are closely linked or have a causal relationship.

## **d) Analyse selected problems and challenges to identify root causes**

The quality of the CCA depends on the depth and quality of the analysis. The analysis organizes the main data, trends and findings into relationships of cause and effect. It identifies the manifestation of the problem – or its effect on people, and its underlying and root causes. Again these should be disaggregated as much as possible by sex, age,

geographic area, and ethnicity, among others. A graphic representation of this causality analysis is called a problem tree (see Figure 4).

**Figure 4: causal analysis, causal trees**



Normally,

- Immediate causes determine the current status of the problem.
- Underlying causes are the consequence of policies, laws and availability of resources.
- Root causes concern attitudes and behaviour at different levels, including the family, communities, and governments.

A causality analysis must be guided by human rights principles and standards. It is important to understand the problem and its causes as human rights not yet fulfilled. For example, do the State and its authorities ensure that rural girls are protected against gender discrimination in the school system? What do the relevant laws and policies stipulate regarding discrimination based on gender?

A human rights based analysis should reveal gaps in norms, institutions, legal and policy frameworks. It should describe how laws, social norms, traditional practices and institutional responses affect the fulfilment of human rights. Most importantly, the analysis should consider the implementation – both in legislation and in practice – of international human rights treaties, including the recommendations of relevant human rights monitoring bodies.

Some underlying or root causes for different development challenges may be the same (See the overlapping triangles on the right in figure 4). Identification of these common underlying or root causes of multiple problems will increase the likelihood that policy or programmatic responses yield multiple impacts.

**Unfulfilled right:  
Rural girls are not attending school**

Rights-Holders: Rural girls, their parents (both rights-holders and duty-bearers, their teachers (also rights-holders and duty-bearers), the community school board or equivalent body (as rights-holders and duty-bearers). While the parents, teachers, and school board are also duty-bearers, they are not able to fulfill their obligations due to their own lack of capacity.

Duty-Bearers: Parents, teachers, school board, local authorities, ministry of education, parliamentarians and other elected leaders. The question then arises as to where capacity building will produce the greatest results and impact?

**e) Identify rights holders and duty bearers, and their capacity needs**

Once the causal analysis is completed, the next step is to identify rights-holders, and duty-bearers. A HRBA recognizes people as **rights-holders** (also referred to as claim-holders, or subjects of rights) and as key actors in their own development. They are not passive recipients of benefits. At the same time, it recognizes the corresponding human rights obligations of the **duty-bearers**, which include both state and non-state actors, to **respect, protect and fulfil**

human rights. The role analysis helps examine the relationship between rights-holders and duty-bearers. This part simply calls for making a list of the rights-holders on the one hand and a list of the corresponding duty-bearers on the other in relation to a specific human right and to compare the relationships.

Once all the relevant actors have been identified, the next step is to assess the capacity gaps of rights-holders and duty bearers in terms of skills, resources, responsibility, motivation and authority. At this stage of the analysis it is important to ask:

- What capacities are lacking for the rights-holders to claim their rights?
- What capacities are lacking for these institutions or individuals to carry out their duties?

On the basis of this analysis, the UNCT and partners will identify a limited number of priority problems where programme cooperation can produce the greatest results.

Divergent points of view about the analysis may mean that full consensus cannot be reached. Differences of opinion are inevitable, and are indicative of important issues that require further study. The UNCT should facilitate a participatory process that considers divergent views in an equitable manner.

Problem areas that are not analyzed in detail should be included in the future research agenda of national institutions and authorities and development partners. Similarly, the strengthening of national efforts to establish an up-to-date database should be noted for future development cooperation.

### **Section 3: Priority development problems and their common root causes**

The final section identifies the priority problems, from those analysed in section 2. Prioritization should be guided by where the UNCT can bring its comparative advantages to bear to make the biggest difference.

The following criteria may be helpful in establishing priorities among the analysed problems:

- The magnitude and growth of the problem and the level of national commitment;
- Problems with common underlying or root causes where programmatic responses may yield multiple impacts;
- Whether the UNCT has the comparative advantages to address the problem and develop lasting in-country capacities;
- Sufficient human resources and funds are available, or can be mobilized; and
- The potential for alignment with key actors within government and civil society who have decision-making power or can influence national priorities and support UNCT action.

#### **Stages in the CCA process**

The UNCT, in consultation with partners, decides which existing theme groups are useful to help with the CCA, or creates new ad hoc theme groups to make the best use of available analytical resources. Theme groups discuss and investigate relevant issues and help draft thematic or sector-specific sections of the CCA document. Country databases of relevant, up-to-date information are used to conduct the analysis. Where relevant data are not available or reliable, the theme group ensures that appropriate actions for data collection and capacity building are proposed. Theme groups must use a HRBA and mainstream gender equality concerns in the analytical process.

Typically, an individual leading the UNCT will chair each theme group to ensure that its work receives appropriate attention and follow-up. Chairpersons should promote, to the extent possible, sex-balanced membership and encourage contributions from staff with crosscutting expertise, in particular in the areas of [gender analysis](#) and human rights. From the outset, the Resident Coordinator invites relevant national authorities and other partners as well as all United Nations actors present in the field, including the United Nations political/peace-keeping and relief agencies, where appropriate, and non-resident United Nations agencies to participate in the work of the theme groups. Experts of the United Nations system located in their headquarters or (sub) regional offices may also be requested by the UNCT to support the CCA-UNDAF process. Theme groups will typically consult Government, civil society, including worker and employers organizations, indigenous organizations and institutions, the private sector and external partners. The theme groups should use any relevant national poverty analyses, sectoral studies and/or any other work completed or underway.

When the theme groups have completed their work, a drafting committee will prepare a first draft of the CCA which is then distributed by the individuals leading the UNCT to all partners, including to non-resident United Nations agencies and to the Peer Support Group.

As a mandatory quality check, the first complete draft of the CCA is submitted by the Resident Coordinator, on behalf of the individuals leading the UNCT, to a Peer Support Group which comprises persons nominated by the relevant regional and/or headquarters offices of UN agencies. UN agencies that do not have an in-country presence and which have not otherwise been a part of the CCA preparation are particularly encouraged to participate in the regional Readers Group. The group is co-ordinated by one of the regional offices of the UNDG covering the country concerned, as decided by Regional Directors in their first meeting each year.

The convening regional office is responsible for ensuring the membership of the PSG, distributing the draft CCA to them, synthesizing comments and emailing the synthesis, to which all individual comments may be annexed, back to the Resident Coordinator within 15 calendar days of receipt of the draft. The approximate date of this review should be indicated in the UNCT's work plan. Any subsequent change should be communicated to the convening agency as early as possible. The 15-day return time ensures that the UNCT can review and incorporate external comments in a revised draft, if they agree with them, prior to the final stakeholder review meeting for the CCA.

Country teams, together with all partners may want to organize a final consultation to reach consensus on:

- The major findings of the CCA;
- The priority problems identified for development cooperation;
- The possible roles of development partners.

After clearance by the UNCT as a whole, the finalised CCA should be shared with national authorities, UN regional and headquarters offices, non-resident agencies, all other partners and to the Chair of the United Nations Development Group for submission to the Secretary-General. [Completed CCAs](#) are available at the [UNDG website](#)

While Government endorsement of the final document is strongly encouraged, it is not mandatory since the CCA is not a statement of government policy but rather an impartial, forward-looking analysis. Partner participation and endorsement of the document ensures its wider use in the country. The impact of the CCA will be much greater if, as a result of wide "ownership", it influences national policy and resource allocation, than if it only influences UN policy and resource allocations.

## Annex 4 Indicator framework

Under any of the options for contributing to country analysis, it is strongly recommended to work with partners to develop or strengthen the **indicators** for the national development framework. **UNCT efforts should build on and influence what already exists in the country – not develop a parallel indicator framework.** A robust indicator framework will help to establish baselines, identify trends and data gaps, and highlight constraints in country statistical systems. Particular attention should be paid to disaggregation of data and to any research that reflects the situation and views of people who suffer from discrimination.

The [Millennium Declaration](#), the series of United Nations global conferences and summits held in the 1990s and the United Nations conventions and treaties<sup>11</sup> established a number of interconnected and mutually reinforcing goals, targets and obligations for progressively realizing rights, mostly to be achieved by 2015. A focus on priority development problems and human rights concerns, within the context of national commitments to international instruments, is the focus of the UN's contribution to country analysis. In addition to the indicators listed in the table below, the EFA indicators and guidelines on measuring them can be found [here](#).

The indicator framework is a tool to help to measure progress towards the MD/MDGs and other internationally agreed treaty obligations and development goals. The list of indicators contained in this annex, while limited, reflects a balanced representation of key goals and provides an entry point into the areas covered by the mandates of United Nations system organizations embodied in the Millennium Declaration. The framework is intended to suggest, rather than prescribe indicators, and is by no means exhaustive since UNCTs will need to expand the list with country-specific qualitative and quantitative data, especially relating to the PRSP or other national poverty-reduction strategies.

The primary purposes of the indicator framework are to (a) provide a means to focus on national and international development goals; (b) provide a quantitative focus for measuring results achieved in progressing towards the major development goals and objectives of the MDGs, United Nations conferences, summits and in realizing rights stated in international instruments of the UN system; (c) flag key development issues covered by United Nations agency mandates; and (d) help to identify data gaps and constraints in the capacity of the national statistical systems. The indicator framework provides an opportunity for data collection and the identification of data gaps, which serve as a first step in establishing trends and setting 2015 development targets towards national Millennium Development Goals to be reported in the [MDGRs](#).

---

<sup>11</sup> See Annex 7 for a hyperlinked list of UN conventions and conferences

The indicator framework comprises five components:

- (a) Indicators relating to development goals and objectives set in United Nations conferences, conventions, declarations and summits. This group of indicators builds on existing established global lists, especially that used for the global monitoring of MDGs;
- (b) Conference and convention indicators relating to governance, democracy, justice administration and security and protection of persons;
- (c) Basic contextual indicators relating to the demographic and economic conditions of the country, which provide the necessary background for understanding development and socio-cultural concerns. Disaggregated data, including by sex, language, religion and ethnicity is an important instrument of analysis;
- (d) Indicators used for monitoring Millennium Declaration goal 8 “Develop a global partnership for development”, which relates to international governance but also includes indicators that can be monitored at the country level;
- (e) Thematic indicators to provide further insights into issues of major concern for development, including specific country settings, national priorities and needs, and cross-cutting issues.

The indicators can be used to measure progress of development concerns and will be needed for at least two points in time (e.g. 5 or 10 year intervals) to establish trends. Changes in the values of indicators enable development partners to examine progress and change over time. It will seldom suffice merely to have indicators for just one point in time. The indicator framework establishes or confirms a baseline, and examines trends where data is available over time.

### **Using the Indicator Framework to track MDGs**

The list of indicators in the revised indicator framework includes those indicators that will be used for the global and country-level tracking of the MDGs in such a way that the latter form a subset of the larger group of indicators included in part A of the indicator framework. The other indicators included in part A relate to goals and targets contained in the series of global United Nations conferences, summits and conventions held in the 1990s that were not explicitly included in the development chapter of the Millennium Declaration.

### **Selection criteria**

The four main criteria that guided the selection of the indicators are:

- (a) Indicators should provide relevant and robust measures of progress towards the targets contained in the MDGs, as well as the goals and objectives, conventions of the UN system, and declarations and programmes of action adopted at United Nations conferences;
- (b) Indicators should be clear and straightforward to interpret and should provide a basis for international comparison;

- (c) Indicators should be broadly consistent with other global lists while not imposing an unnecessary burden on UNCTs, the government and other partners;
- (d) Indicators should be constructed from well-established data sources, be quantifiable, and consistent to enable measurement over time.

The indicator framework, like any indicator list, is dynamic and will necessarily evolve in response to changing national situations.

### **Indicators for rights-based development**

Approaching development from the perspective of human rights creates particular demands for data that are not satisfied by traditional socio-economic indicators alone, and requires the selection and compilation of indicators on the basis of the following principles: (a) internationally agreed human rights norms and standards that determine what needs to be measured; (b) a comprehensive human rights framework with sectors mirroring civil, cultural, economic, political and social rights; (c) integration of the 'rights element' into existing indicators by identifying (i) explicit standards and benchmarks against which to measure performance, (ii) the capacities of specific actors or institutions responsible for performance, (iii) the capacities of rights-holders to whom responsibility is owed, and (iv) groups excluded and marginalized due to the denial of their rights, such as indigenous peoples, and (v) mechanisms for delivery, accountability, and redress; (d) measuring subjective elements, such as levels of public confidence in institutions of governance, including among people suffering from discrimination, and (e) process indicators to measure the application of the human rights principles of participation, equality and non discrimination and accountability in all phases of the programming cycle.

All relevant indicators should be disaggregated, to the extent possible and where appropriate, by race, colour, sex, language, religion, nation, ethnic, or social origin, property and disability and other status such as woman or child head of household, or displaced. The indicators should also take into account indigenous peoples' perspective of well-being and development.

### **Gender**

All relevant indicators should be compiled and analysed separately by sex so as to assess progress in gender equality and equity.

### **Geographic level**

Where possible and applicable, the indicators should be classified separately for urban, peri-urban, and rural areas. The indicators should also be separately compiled and analysed for provinces, regions and states. Maps should be included where appropriate.

### **Use of national sources**

Country data should be used for compiling the selected indicators where such data are available and of reasonably acceptable quality. The data source for any given indicator and the quantitative value of the indicators should be decided by consensus among the key stakeholders participating in the preparation of the framework.

A wide range of data sources should be consulted including, inter alia, official annual reports from ministries and national human rights institutions, national censuses and surveys, and databases from national statistics institutions and MDG reports. Existing data sources and reporting systems should be used where possible. Data collection is costly and often long term and countries generally have very limited resources to develop and strengthen statistical capacity. Cost-effective, rapid assessment methodologies should be considered for additional data collection

### **Minimum information to be reported with quantitative indicators**

The specific value of the indicators should be given (e.g., 53.5 per cent and NOT “more than 50 per cent”); the reference year of the data, that is the year during which the data were gathered - note that the reference year is often different from the year of the publication from where the figure is taken. Full reference should be given of the publication from which the figure is taken, that is title, author and year of the publication.

### **Wider information base**

The data provided in the indicator framework should be used to flag particular development issues. The assessment will necessarily require a much wider information base.

### **Qualitative monitoring**

Some goals and targets, such as those relating to significant improvement in the lives of at least 100 million slum dwellers and the provision of special assistance to children orphaned by HIV/AIDS, both of which are included in the Millennium Declaration, can often be monitored through qualitative assessments using relatively low-cost rapid assessment procedures. Such assessments are useful not only where quantitative data are lacking but also for supplementary purposes. They can provide useful insights into causal processes, such as constraints on access to and delivery of public services, as well as providing a perspective of deprivation from the poor and excluded and how their lives may have changed over time. Ideally, qualitative assessments, like quantitative assessments, should be related to a common sample and baseline. Qualitative indicators from focus group discussions and the records maintained by specialized service providers can also provide very useful monitoring information.

## Partnerships and developing statistical capacity

The United Nations Country Team should work collaboratively to help to build ownership and consensus on the indicators selected. A consultation process, generally with the national statistical office or other national authority, line ministries and other key stakeholders, must be initiated in the selection and compilation of country-specific indicators and should take into account national development priorities and the availability of data. Completing the indicator framework is an important opportunity to begin to invest in national capacity for information management and priority-setting for informed policy-making and programming. As part of the UN's efforts to build country analytical capacity, the UNCT and partners should review the indicator data collection and analysis process and consider the need for better statistics and databases at the national level as a foundation for poverty programming, MDGRs, and other important development reporting mechanisms.

## Indicators

### A. MILLENNIUM DECLARATION AND CONFERENCE INDICATORS

\* For statistics not specifically linked, click [here](#) to access the UN's Statistics Division database

Conference goal	Target	Indicators
<b><i>Income-Poverty</i></b>		
Eradicate extreme poverty	Halve, between 1990 and 2015, the proportion of people whose income is less than \$1 dollar a day (Millennium Declaration)	<ul style="list-style-type: none"> <li>• <a href="#">Poverty headcount ratio (percentage of population below national poverty line)</a></li> <li>• <a href="#">Proportion of population below \$1 (PPP) per day</a></li> <li>• <a href="#">Poverty gap ratio</a></li> <li>• <a href="#">Share of poorest quintile in national consumption</a></li> </ul>

Conference goal	Target	Indicators
<b><i>Food security and nutrition</i></b>		
Eradicate hunger	Halve between 1990 and 2015, the proportion of people who suffer from hunger (Millennium Declaration)	<ul style="list-style-type: none"> <li>• <a href="#">Prevalence of underweight children under five years of age</a></li> <li>• <a href="#">Proportion of population below minimum level of dietary energy consumption</a></li> <li>• Proportion of household income spent on food for the poorest quintile</li> </ul>
		<ul style="list-style-type: none"> <li>• <a href="#">Net food availability per capita expressed in calories</a></li> <li>• <a href="#">Coefficient of variation of net food availability per capita over the last ten years (expressed in calories) Drawn from food balance sheets of FAO</a></li> </ul>

Conference goal	Target	Indicators
<b>Education</b>		
Achieve universal primary education	Ensure that, by 2015, children everywhere, boys and girls alike, will be able to complete a full course of primary schooling (Millennium Declaration)	<ul style="list-style-type: none"> <li>• <a href="#">Net enrolment ratio in primary education</a></li> <li>• <a href="#">Proportion of pupils starting grade 1 who reach grade 5</a></li> <li>• <a href="#">Literacy rate of 15-24 year olds</a></li> <li>• <a href="#">Adult literacy rate</a></li> </ul>
Achieving Education For All	Expanding and improving comprehensive early childhood care and education, especially for the most vulnerable and disadvantaged children (EFA Goal 1)	<ul style="list-style-type: none"> <li>• Gross enrolment in early childhood development programmes, including public, private, and community programmes, expressed as a percentage of the official age-group concerned, if any, otherwise the age-group 3 to 5.</li> <li>• Percentage of new entrants to primary grade 1 who have attended some form of organized early childhood development programme.</li> </ul>
Achieving Education For All	Ensuring that by 2015 all children, particularly girls, children in difficult circumstances and those belonging to ethnic minorities, have access to and complete free and compulsory primary education of good quality (EFA Goal 2)	<ul style="list-style-type: none"> <li>• Apparent (gross) intake rate: new entrants in primary grade 1 as a percentage of the population of official entry age.</li> <li>• Net intake rate: new entrants to primary grade 1 who are of the official primary school-entrance age as a percentage of the corresponding population.</li> <li>• Gross enrolment ratio.</li> <li>• Net enrolment ratio.</li> <li>• Repetition rates by grade.</li> </ul>
Achieving Education For All	Ensuring that the learning needs of all young people and adults are met through equitable access to appropriate learning and life-skills programmes (EFA Goal 3)	<ul style="list-style-type: none"> <li>• Literacy rate of 15-24 year olds</li> </ul>
Achieving	Achieving a 50	<ul style="list-style-type: none"> <li>• Adult literacy rate: percentage of the population aged 15+</li> </ul>

Conference goal	Target	Indicators
Education For All	per cent improvement in levels of adult literacy by 2015, especially for women, and equitable access to basic and continuing education for all adults (EFA Goal 4)	<p>that is literate.</p> <ul style="list-style-type: none"> <li>Literacy Gender Parity Index: ratio of female to male literacy rates.</li> </ul>
Achieving Education For All	Eliminating gender disparities in primary and secondary education by 2005, and achieving gender equality in education by 2015, with a focus on ensuring girls' full and equal access to and achievement in basic education of good quality (EFA Goal 5)	<ul style="list-style-type: none"> <li>No explicit EFA core indicator was identified to measure the progress towards this goal, but the Gender Parity Index in gross enrolment ratios in primary and secondary education can be used to measure gender parity, while gender equality has to be measured, using additional quantitative and qualitative indicators to reflect its multiple facets (gender biases in learning content or syllabi, gender differences in subject choices, gender supportive school environment, etc.)</li> </ul>
Achieving Education For All	Improving all aspects of the quality of education and ensuring excellence of all so that recognised and measurable learning outcomes are achieved by all, especially in literacy, numeracy and essential life skills (EFA Goal 6)	<ul style="list-style-type: none"> <li>Public current expenditure on primary education a) as a percentage of GNP; and b) per pupil, as a percentage of GNP per capita.</li> <li>Public expenditure on primary education as a percentage of total public expenditure on education.</li> <li>Percentage of primary school teachers having the required academic qualifications.</li> <li>Percentage of primary school teachers who are certified to teach according to national standards.</li> <li>Pupil-teacher ratio.</li> <li>Survival rate to grade 5 (percentage of a pupil cohort actually reaching grade 5).</li> <li>Percentage of pupils having reached at least grade 4 of primary schooling who master a set of nationally defined basic learning competencies.</li> </ul>

Conference goal	Target	Indicators
<b>Education</b>		
Achieve universal primary education	Ensure that, by 2015, children everywhere, boys and girls alike, will be able to complete a full course of primary schooling (Millennium Declaration)	<ul style="list-style-type: none"> <li>• <a href="#">Net enrolment ratio in primary education</a></li> <li>• <a href="#">Proportion of pupils starting grade 1 who reach grade 5</a></li> <li>• <a href="#">Literacy rate of 15-24 year olds</a></li> <li>• <a href="#">Adult literacy rate</a></li> </ul>

Conference goal	Target	Indicators
<b>Gender equality and women's empowerment</b>		
Promote gender equality and empower women	Eliminate gender disparity in primary and secondary education, preferably by 2005, and to all levels of education no later than 2015	<ul style="list-style-type: none"> <li>• <a href="#">Ratio of girls to boys in primary, secondary and tertiary education</a></li> <li>• <a href="#">Ratio of literate females to males 15-24 year olds</a></li> </ul>
	Eliminate discriminatory practices in employment	<ul style="list-style-type: none"> <li>• <a href="#">Share of women in wage employment in the non-agricultural sector</a></li> </ul>
	Equitable access to political institutions (Fourth World Conference on Women)	<ul style="list-style-type: none"> <li>• <a href="#">Proportion of seats held by women in national parliament</a></li> </ul>

Conference goal	Target	Indicators
<b>Child mortality and welfare</b>		
Reduce child mortality	Reduce by two thirds, between 1990 and 2015, the under-five mortality rate (Millennium Declaration)	<ul style="list-style-type: none"> <li>• <a href="#">Under five mortality rate</a></li> <li>• <a href="#">Infant mortality rate</a></li> <li>• Neo-natal mortality rate</li> <li>• <a href="#">Proportion of one year old children immunized against measles</a></li> </ul>
Reduce child labour	Elimination of child labour (WSSD)	<ul style="list-style-type: none"> <li>• Proportion of children &lt; age 15 who are working</li> </ul>

Conference goal	Target	Indicators
<b>Reproductive and maternal health</b>		
Improved reproductive health	Universal access to reproductive health services and information by 2015 (ICPD, World Summit Outcome, SG and GA recommendation)	<ul style="list-style-type: none"> <li>• Contraceptive prevalence rate</li> <li>• Unmet need for family planning</li> <li>• Adolescent fertility</li> </ul>
Improved maternal health and reduced maternal mortality	Reduce by three quarters, between 1990 and 2015, the maternal mortality ratio (Millennium Declaration)	<ul style="list-style-type: none"> <li>• <a href="#">Maternal mortality ratio</a></li> <li>• <a href="#">Proportion of births attended by skilled health personnel</a></li> </ul>

Conference goal	Target	Indicators
<b>HIV/AIDS, malaria and other diseases</b>		
Combat HIV/AIDS	Have halted by 2015 and begun to reverse the spread of HIV/AIDS (Millennium Declaration)	<ul style="list-style-type: none"> <li>• <a href="#">HIV prevalence among 15-24 year old pregnant women</a></li> <li>• <a href="#">Condom use rate of the contraceptive prevalence rate</a> <ul style="list-style-type: none"> <li>a. <a href="#">Condom use at last high-risk sex</a></li> <li>b. <a href="#">Percentage of population aged 15-24 with comprehensive correct knowledge of HIV/AIDS</a></li> </ul> </li> <li>• <a href="#">Ratio of school attendance of orphans to school attendance of non-orphans aged 10-14</a></li> </ul>
Combat malaria and other diseases	Have halted by 2015 and begun to reverse the incidence of malaria and other major disease (Millennium Declaration)	<ul style="list-style-type: none"> <li>• <a href="#">Prevalence and death rates associated with malaria</a></li> <li>• <a href="#">Proportion of population in malaria risk areas using effective malaria prevention and treatment measures<sup>a/</sup></a></li> <li>• <a href="#">Prevalence and death rates associated with tuberculosis</a></li> <li>• <a href="#">Proportion of tuberculosis cases detected and cured under directly observed treatment short course (DOTS)</a></li> </ul>

Conference goal	Target	Indicators
<b>Employment</b>		
Creation of full employment	Universal access to paid employment (WSSD)	<ul style="list-style-type: none"> <li>• Employment to population of working age ratio</li> <li>• Unemployment rate</li> <li>• Informal sector employment as percentage of total employment</li> </ul>

		<ul style="list-style-type: none"> <li>• Rural/urban employment rate</li> </ul>
--	--	---

Conference goal	Target	Indicators
<b>Environment</b>		
Ensure environmental sustainability	Integrate the principles of sustainable development into country policies and programmes and reverse the loss of environmental resources (Millennium Declaration)	<ul style="list-style-type: none"> <li>• <a href="#">Proportion of land covered by forest</a></li> <li>• <a href="#">Ratio of area protected to maintain biological diversity to surface area</a></li> <li>• <a href="#">Energy use (kg oil equivalent) per \$1 GDP (PPP)</a></li> <li>• <a href="#">Carbon dioxide emissions (per capita) and consumption of ozone-depleting CFCs (ODP tons)</a></li> <li>• <a href="#">Proportion of population using solid fuels.</a></li> </ul>
	Halve by 2015 the proportion of people without sustainable access to safe drinking water (Millennium Declaration)	<ul style="list-style-type: none"> <li>• <a href="#">Proportion of population with sustainable access to an improved water source, urban and rural</a></li> </ul>
	By 2020 to have achieved a significant improvement in the lives of at least 100 million slum dwellers (Millennium Declaration)	<ul style="list-style-type: none"> <li>• <a href="#">Proportion of urban population with access to improved sanitation</a></li> <li>• <a href="#">Proportion of households with access to secure tenure</a></li> </ul>

Conference goal	Target	Indicators
<b>Housing and sanitation</b>		
Adequate shelter for all	Provision of sufficient living space and avoidance of overcrowding (HABITAT II)	<ul style="list-style-type: none"> <li>• No. of persons per room, or average floor area per person</li> </ul>
Improved access to safe sanitation	Universal sanitary waste disposal (WCW/WCS/WSSD/UNCED)	<ul style="list-style-type: none"> <li>• Proportion of population with access to improved sanitation</li> </ul>

Conference goal	Target	Indicators
<b>Drug control and crime prevention</b>		
Improved drug control	Measurable results in reducing cultivation, manufacture, trafficking and abuse of illicit drugs by 2008 (UNGASS 20)	<ul style="list-style-type: none"> <li>• Area under illicit cultivation of coca, opium poppy and cannabis</li> <li>• Seizures of illicit drugs</li> <li>• Prevalence of drug abuse</li> </ul>
Improved crime prevention	Eliminate/significantly reduce violence and crime (UN Congress of Crime)	<ul style="list-style-type: none"> <li>• Number of intentional homicides per 100.000 inhabitants</li> </ul>

	Prevention and Criminal Justice)	
--	----------------------------------	--

Conference goal	Target	Indicators
<b><i>International human rights obligations</i></b>		
Universal ratification of international human rights instruments	Acceding to all international human rights instruments and avoiding resort to reservations, as far as possible	<ul style="list-style-type: none"> <li>• Status of ratification of, reservations to, and reporting obligations under, international human rights instruments</li> <li>• Status of follow-up to concluding observations of United Nations human rights treaty bodies</li> </ul>
Cooperation with the UN system's human rights monitoring mechanisms		<ul style="list-style-type: none"> <li>• Status of follow-up to recommendations made by the UN system's human rights monitoring mechanisms.</li> </ul>

*Notes:*

<sup>a/</sup>Prevention to be measured by the percentage of under five-year olds sleeping under insecticide-treated bed nets; treatment to be measured by percentage of under five-year olds who are appropriately treated.

## **B. CONFERENCE AND CONVENTION INDICATORS ON GOVERNANCE, DEMOCRACY, JUSTICE ADMINISTRATION AND SECURITY OF PERSON**

The indicators below differ from the more traditional quantitative indicators given above in that they are largely qualitative in nature and have not yet been fully field-tested. However, these indicators may be used to the extent that data are already available in government and United Nations documents. These indicators are currently under further development and should be considered as work in progress.

Conference goal	Target	Indicators
<b><i>Democracy and popular participation</i></b>		
Strengthened democratic institutions and popular participation	Free and fair elections and democratic government (WCHR)	<ul style="list-style-type: none"> <li>• Periodicity of free and fair elections</li> <li>• Number of independent NGOs/CSOs and employers' and workers' organizations operating in the country</li> <li>• Existence of independent broadcasting and print media</li> </ul>
<b><i>Administration of justice</i></b>		
Fair administration of justice	Effective legislative framework, law enforcement, prosecutions,	<ul style="list-style-type: none"> <li>• Legal guarantees for independent judiciary</li> <li>• Procedural guarantees for fair trial</li> <li>• Availability of free legal assistance for the</li> </ul>

	legal profession, and fair trials in conformity with international standards (WCHR)	criminal defence of poor people throughout the country
Improved framework of remedies	Existence of legal remedies in conformity with international standards	<ul style="list-style-type: none"> <li>• Recognition in law of the right to seek judicial remedies against state agencies/officials</li> </ul>

<b><i>Liberty security and protection of person</i></b>		
Liberty and security of person	Elimination of gross violations of human rights affecting security of person, including torture and cruel, inhuman or degrading treatment or punishment; summary and arbitrary execution; disappearances, and slavery (WCHR)	<ul style="list-style-type: none"> <li>• Number of complaints of extra-judicial executions</li> </ul>
Provide protection for displaced persons	Upholding the right to seek asylum and refugee status, and the return and reintegration of refugees.	<ul style="list-style-type: none"> <li>• Number of persons granted asylum/refugee status</li> <li>• Number of refugees that have returned and been reintegrated;</li> <li>• strengthened support to displaced persons for their return and reintegration</li> <li>• Number of displaced persons that have returned and been integrated</li> </ul>

### C. CONTEXTUAL INDICATORS

<b>Demographics</b>	<ul style="list-style-type: none"> <li>• Population size <sup>(a)</sup></li> <li>• Population structure, including ethnic composition of the population</li> <li>• Sex ratio</li> <li>• Total fertility rate</li> <li>• Life expectancy at birth</li> <li>• Rural/urban migration flows</li> </ul>
<b>Economy</b>	<ul style="list-style-type: none"> <li>• GNP per capita (US\$ and PPP)</li> <li>• External debt (US\$) as percentage of GNP</li> <li>• Decadal growth rate of GNP per capita (US\$)</li> <li>• Gross domestic savings as percentage of GDP</li> <li>• Ratio of total trade (exports plus imports) over GDP</li> <li>• Share of foreign direct investment inflows in GDP</li> <li>• Budget deficit as percentage of GDP</li> <li>• Percentage of public expenditure on basic social services</li> <li>• Share of manufacturing value added in GDP</li> </ul>

*Note:*<sup>(a)</sup> An age classification will also generally be required to identify target groups, for example, the percentage of those below the age of 15 and the elderly, and this should be defined contextually.

## D. SELECTED INDICATORS USED FOR MONITORING MILLENNIUM DECLARATION GOAL NO. 8

### Conference Goal: Develop a global partnership for development

*Note: Some of the indicators listed below are monitored separately for the least developed countries (LDCs), Africa, landlocked countries and small island developing States*

Target	Indicators
<p>Develop further an open, rule-based, predictable, non-discriminatory trading and financial system</p> <p>Includes a commitment to good governance, development, and poverty reduction — both nationally and internationally</p>	
<p>Address the special needs of the least developed countries</p> <p>Includes: tariff and quota free access for least developed countries' exports; enhanced programme of debt relief for HIPC and cancellation of official bilateral debt; and more generous ODA for countries committed to poverty reduction</p>	<p><b>Official development assistance</b> Net ODA, total and to LDCs, as percentage of OECD/DAC donors' gross national income (OECD)</p> <p>Proportion of bilateral ODA of OECD/DAC donors that is untied (OECD)</p>
<p>Address the special needs of landlocked countries and small island developing states (through the Programme of Action for the Sustainable Development of Small Island Developing States and the outcome of the twenty-second special session of the General Assembly)</p>	<p>ODA received in small island developing states as proportion of their GNIs (OECD)</p> <p>ODA received in landlocked countries as proportion of their GNIs (OECD)</p>
<p>Deal comprehensively with the debt problems of developing countries through national and international measures in order to make debt sustainable in the long term</p>	<p><b>Market access</b> Proportion of total developed country imports from developing countries (by value and excluding arms) and from LDCs, admitted free of duties (WTO, UNCTAD, World Bank, IMF)</p> <p>Average tariffs imposed by developed countries on agricultural products and textiles and clothing from developing countries (WTO, UNCTAD, World Bank, IMF)</p> <p>Agricultural support estimate for OECD countries as percentage of their GDP (OECD)</p> <p>Proportion of ODA provided to help build trade capacity <sup>al</sup></p>
	<p><b>Debt sustainability</b> Debt relief committed under HIPC initiative, US\$ (IMF)</p> <p>Debt service as a percentage of exports of goods and services (World Bank)</p>

Target	Indicators
	Proportion of ODA provided as debt relief <sup>b/</sup>  Total number of countries that have reached their HIPC decision points and number that have reached their HIPC completion points (cumulative) (IMF)
In cooperation with developing countries, develop and implement strategies for decent and productive work for youth	Unemployment rate of 15-to-24-year-olds, each sex and total (ILO) <sup>c/</sup>
In cooperation with pharmaceutical companies, provide access to affordable essential drugs in developing countries	Proportion of population with access to affordable essential drugs on a sustainable basis (WHO)
In cooperation with the private sector, make available the benefits of new technologies, especially information and communications	Personal computers in use per 100 population (ITU estimates) Internet users per 100 population (ITU estimates)

a/ OECD and WTO collected data from 2001 onwards.

b/ Cannot be reliably compiled; will be eliminated from the public version of MDG indicators.

c/ An improved measure of the target is under development by ILO for future years

## E. THEMATIC INDICATORS

Thematic indicators should be added at country level for any specific themes addressed by the indicator framework in that country reflecting national priorities and needs.



## **Annex 5** Guiding questions to assess the quality and strategic positioning of the UNDAF

### **1. Comparative Advantage**

- ❑ Does the document, in explicit terms, present the UN's comparative and competitive advantages<sup>12</sup> (as a whole and for each individual agency) both in terms of demonstrated capacity to achieve results and in comparison with other actors?

### **2. Focus and Prioritization**

- ❑ Glance at the UNDAF Results Matrix and put it aside. Can you recall how the UNCT sees its role in the country, and its key deliverables for the next five years?
- ❑ Do the UNDAF outcomes "zoom in" on specific results, or are they formulated as door openers to include everything as activity? Are UNDAF outcomes merely an umbrella for a range of agency products? (Bad examples: "Improved access to social services...", "Reduced poverty", "Better governance")
- ❑ Beyond focus in terms of themes/sectors or geographical regions, is there a clear line of argumentation regarding the kind of intervention foreseen (e.g., technical assistance, capacity development, advocacy, knowledge-brokering)?
- ❑ Is the UNDAF Results Matrix a true planning instrument, or merely a rewording of the established areas of intervention? A true planning instrument would include at a minimum expected results, a budget against those results and an M&E framework.

### **3. Alignment**

- ❑ Is the UNDAF finalized after completion of a PRSP or NDP?
- ❑ Do the UNDAF outcomes relate to national priorities as expressed in the PRS, NDP or equivalent national document?
- ❑ Is the UNDAF M&E system aligned with the national monitoring system?

### **4. Logical Framework**

- ❑ Are the number and range of UNDAF outcomes and planned activities realistic, given the strength of the UN presence and programme resources available?
- ❑ Is the number of country programme outputs reasonable?
- ❑ Can an agency be accountable for the output(s) assigned to it in the UNDAF?
- ❑ Is the logical chain of results (if-then) followed correctly?
- ❑ Are the M&E indicators objective verifiable indicators?

### **5. Conflict/Transition Issues**

- ❑ Has the likelihood of crisis/disaster & and who is likely to be affected, been considered?
- ❑ Is the UNDAF based on a conflict analysis?

---

<sup>12</sup> Criteria to assess comparative/competitive advantage: (i) Demonstrated track record of achieving results, leading to established credibility in the priority area and acceptance by other actors; (ii) Recognized technical expertise within country staff and/or easy access to recognized technical expertise, in the priority area; (iii) System and agency capacity, both in terms of staff levels and availability of resources (including access to surge financial and human capacity); (iv) Geographical presence where the needs have been identified for the priority area.

## **Annex 6**      Relevant Roles and tasks

Following are key roles of the main actors in the UN support in strengthening Country Analysis and in the preparation, monitoring and evaluation of the UNDAF.

### **Resident Coordinator**

In collaboration with the individuals leading the UNCT and the government coordinating body, and supported by the Resident Coordinator Unit, the Resident Coordinator is responsible for:

1. Obtaining endorsement of the work plan for supporting Country Analysis and UNDAF preparation by the highest authority in the government coordinating body;
2. Overall leadership, management and commitment of adequate resources, including time, in order to meet the work plan deadlines;
3. Engaging and maintaining teamwork of the UN System, including specialized agencies and non-resident agencies to ensure development of coherent response that is relevant to country priorities and international goals and commitments;
4. Obtaining buy-in of government, especially the coordinating body, at the highest level to achieve its full ownership of the entire process and products;
5. Organization and full involvement of regional experts, relevant government line ministries, public institutions, international, regional and sub regional development partners, relevant NGOs, civil society and private sector representatives, indigenous peoples and minorities in the milestone events including validation (agreement with partners on the option for UN involvement in Country Analysis), prioritization and joint strategy meetings;
6. Dissemination of the draft UNDAF to all stakeholders for comments and their consideration;
7. Timely completion and signing, by government and individuals leading the UNCT of the UNDAF inclusive of the M&E Framework
8. If circumstances force a delay in the UNDAF such that ExCom Country Programme Documents must be submitted to the Second Session of their Executive Boards, the RC should seek permission for this delay from the ExCom Regional Directors

Click here to see the 2005 [Outcome of the UNDG Executive Committee Retreat on Strengthening the Resident Coordinator System](#), particularly the vision of “*An RC system that adds value*”.

### **UN Country Team**

The UN Country Team will be accountable for:

1. Approval and overall monitoring of the work plan for supporting Country Analysis and UNDAF preparation;

2. Planning for the best use of the UN's comparative advantages in the country and timely development of a coherent UNDAF Results Matrix in response to national priorities and focussed on achieving selected priorities in the national development framework;
3. Early identification and filling of specific critical capacity needs for the entire process;
4. Full participation in a comprehensive review of and agreement on the option for UN involvement in the Country Analysis; UN Plan of Engagement; UN-Supported Analysis/CCA (including macro assessment of the country's public financial management system); UNDAF; a well-costed Summary Results and Resources Matrix; as well as an M&E Framework which apportions clear responsibilities among Agencies;
5. Formation and evaluation of the performance of Theme Groups (for analysis), new UNDAF Outcome Groups (for planning and implementation), their specific ToRs and deadlines, including clear deliverables and reporting hierarchy and responsibilities.
6. Full consideration of the comments/feedback of the RDT on the Plan of Engagement, draft UN-supported Analysis and draft UNDAF;
7. Full participation in all key milestone events in the work plan including decision meetings on the UN's Plan of Engagement; Strategic Planning Retreat, prioritization exercise ([prioritization retreat](#)), [Joint Strategy Meetings](#) and UNDAF Annual Review Meeting
8. Monitoring of overall progress in the operationalization and implementation of the UNDAF Outcomes;
9. Review and endorsement of results achieved, lessons learnt and good practices and evaluation of the UNDAF
10. Identification and agreement on agency specific strategic roles in DBS, SWAps, PRSP and JAS, as they may occur.

### **Agency Representative**

Each of the UN Agency Representatives will:

1. Participate fully in the development, monitoring and implementation of the work plan;
2. Lead elements of the UN's contribution to the Country Analysis and UNDAF preparation, its review and evaluation, as delegated by the individuals leading the UNCT;
3. Pursue opportunities for joint programmes where there is clear value added from combining the work of two or more agencies and their partners in a common work plan and budget;
4. Within available resources, provide technical and financial support, including quality time, in the work plan activities, including decision-making meetings on the UN's Plan of Engagement; Strategic Planning Retreat, prioritization exercise

- (prioritization retreat), Joint Strategy Meetings, UNDAF Annual Review Meeting and UNDAF evaluation;
5. Implementation of the Agency specific components of the UNDAF M&E Plan;
  6. Release of key Agency staff to participate in the process, including the appropriate working groups and committees and training events;
  7. Support implementation of programmes and projects in line with the UNDAF results matrix

### **Theme Groups**

Theme group roles will be determined by the option chosen for the UN's contribution to Country Analysis. Normally, theme groups will support Country Analysis and build country analytic capacity in the following ways:

1. Identification of data gaps and support to actions for filling in these gaps;
2. Identification of excluded groups and disparities that suggest discrimination;
3. In collaboration with partners, and using a human rights-based and gender analysis, conduct more detailed causality analysis for identified problems;
4. Application of the principles of human rights based, gender and conflict and disaster risk reduction analyses;
5. Ensure that the UN contribution to the Country Analysis focuses on identifying gaps in the National plans

### **UNDAF Outcome Groups**

Group members should be drawn from across agencies, including non-resident agencies, and should include key government and civil society partners. The group is responsible for:

1. Refining the details of the results matrix for each UNDAF outcome.
2. Monitoring and reporting to the individuals leading the UNCT, through the Steering Committee, on progress and constraints in the achievement of each UNDAF outcome
3. Dissemination of lessons or good practices in their respective UNDAF Outcomes;
4. Identification of capacity development needs among partners, including those related to implementation of the UNDAF M&E Plan;
5. Preparation of synthesis reports of the Agency-specific and Joint programme progress reports for submission to the UNDAF Annual Review Meeting;
6. Full participation in the mid-term reviews and final evaluation of the effectiveness of the UNDAF as a contribution to the national development framework

### **Steering Committee**

1. Drafting of a comprehensive work plan (for review by the individuals leading the UNCT) detailing key steps and milestones, support needed from regional offices, headquarters and the [UN Development Group Office](#) to carry out a cost effective contribution to the Country Analysis and UNDAF.

2. Coordination of implementation of the work plan and regular reporting to the individuals leading the UNCT;
3. Formation, management and support to UNDAF Outcome groups to ensure that they remain focused in implementing their components of the CCA/UNDAF work plan;
4. Endorse Terms of Reference of the Theme Groups and UNDAF Outcome Groups. Staff from non-resident agencies and specialised agencies must be invited and encouraged to participate in these groups;
5. The Steering Committee should agree on cost sharing of resources required to implement the work plan;
6. Use of an RBM approach with partners to demonstrate a strategic use of UNCT resources and expertise through a logical chain of results that maximize the UNCT's contribution to the achievement of MD/MDGs-related national priorities to demonstrate a strategic use of UNCT resources and expertise

### **Regional Directors' Teams**

The Regional Directors' Team is accountable for establishing adequate capacity to monitor progress and provide policy guidance to UNCTs to ensure a high-quality and timely process and products. The RDT, facilitated by the Convening Agency, will:

1. Ensure that the PSG, under the leadership of the regional Convening Agency is operational and providing value-added services to UNCTs;
2. Provide a timely review the UNCT Plan of Engagement and supply the necessary support requested;
3. In response to capacity needs of the UNCTs, identify existing capacities and competencies among the agencies at regional level in support of strengthening Country Analysis and UNDAF preparation;
4. Determine budget needs and staff time to enable the PSGs to perform their roles effectively
5. Ensure the development and implementation of PSG work plans
6. Ensure timely feedback is provided to UNCTs on their plan of engagement, UN's contribution to Country Analysis (as appropriate) and draft UNDAF
7. Ensure timely response if the RC (on behalf of the ExCom members of the UNCT) has to request a delayed submission of Country Programme Documents to the ExCom Executive Boards
8. Assess quality of the UN Contribution to the Country Analysis and UNDAF, and disseminate lessons learned.

### **The UN Development Group Office/Agency Headquarters**

The UN Development Group Office (UNDGO) works closely with the UNDG Country Programme Support Group, RDTs and the UNSSC to:

1. Track progress and quality of implementation of the Country Analyses and UNDAFs<sup>13</sup>
2. Ensure availability of up-to-date materials related to the UN Common Country Programming process
3. Provide tools for cross-cutting issues such as Capacity Development, HRBA, RBM, Gender, Harmonized Approach to Cash Transfers and Joint Programmes.

### **The UN System Staff College**

The UN System Staff College (UNSSC) accountability in the development of the Country Analysis and UNDAFs includes organization of:

1. In-country and regional UN programming workshops;
2. In-country Strategic Planning Retreats;
3. Training of Trainer workshops in support of the above;
4. In-country and regional HRBA and RBM workshops; and
5. Teambuilding events for UNCTs.

---

<sup>13</sup> The main responsible parties include the Policy Cluster of UNDGO; UNDG Country Programme Support Group, whose membership includes UNSSC. For more information contact: DGO ( [qsa.dgo@undp.org](mailto:qsa.dgo@undp.org) ) and the UN System Staff College ( [rsc@unssc.org](mailto:rsc@unssc.org) )

## Annex 7 Hyperlinks to the conventions of the UN System, international human rights mechanisms, and other useful references

### Conventions and Declarations

- [Universal Declaration of Human Rights \(1948\)](#)
- [International Convention on the Elimination of All Forms of Racial Discrimination \(1965\)](#)
- [International Covenant on Economic, Social & Cultural Rights \(1966\)](#)
- [International Covenant on Civil and Political Rights \(1966\)](#)
- [Convention on the Elimination of All Forms of Discrimination against Women \(1979\)](#)
- [Declaration on the Elimination of Violence against Women \(General Assembly resolution 48/104 of 20 December 1993\)](#)
- [Convention against Torture and Other Cruel, Inhuman or Degrading Treatment or Punishment \(1984\)](#)
- [Convention on the Rights of the Child \(1989\)](#)
- [Declaration on the Right to Development \(1986\)](#)
- [Convention on Biological Diversity \(1992\)](#)
- [UN Convention to Combat Desertification \(1994\)](#)
- [UN Framework Convention on Climate Change \(1992\)](#)
- [Ramsar Convention on Wetlands \(1975\)](#)
- [Convention on International Trade in Endangered Species of Wild Fauna and Flora \(1975\)](#)
- [ILO Convention No. 169 concerning Indigenous and Tribal Peoples in Independent Countries](#)
- [ILO Convention on Indigenous and Tribal Populations \(1957\).](#)
- [Indigenous and Tribal Peoples Convention \(1989\)](#) (or in cases when this has not been ratified, the [Indigenous and Tribal Populations Convention of 1957](#)).
- [Declaration on the Rights of Persons Belonging to National or Ethnic, Religious and Linguistic Minorities \(1992\)](#)
- [Convention \(1951\)](#) and [Protocol \(1967\)](#) relating to the Status of Refugees
- [Single Convention on Narcotic Drugs \(1961\)](#)
- [Convention on Psychotropic Substances \(1971\)](#)
- [United Nations Convention against the Illicit Traffic in Narcotic Drugs and Psychotropic Substances \(1988\)](#)
- [United Nations Convention against Transnational Organized Crime and its Protocols \(2000\)](#)
- [United Nations Convention against Corruption \(2003\)](#)
- [Stockholm Convention on Persistent Organic Pollutants \(2004\)](#)

### Additionally, for following relate to international labour instruments:

- [Forced Labour Convention \(No. 29\) \(1930\)](#)
- [Freedom of Association and Protection of the Right to Organise Convention \(No. 87\) \(1948\)](#)
- [Right to Organise and Collective Bargaining Convention \(No. 98\) \(1949\)](#)
- [Equal Remuneration Convention \(No. 100\) \(1951\)](#)
- [Abolition of Forced Labour Convention \(No. 105\) \(1957\)](#)
- [Discrimination \(Employment and Occupation\) Convention \(No. 111\) \(1958\)](#)
- [Minimum Age Convention \(No. 138\) \(1973\)](#)
- [Declaration on Fundamental Principles and Rights at Work and its Follow-up \(1998\)](#)

- [Worst Forms of Child Labour Convention \(No. 182\) \(1999\)](#)

#### **International Conferences**

- [World Summit for Children – New York 1990](#)
- [World Conference on Environment and Development - RIO 1992](#)
- [International Conference on Nutrition – Rome 1992](#)
- [World Conference on Human Rights – Vienna 1993](#)
- [International Conference on Population and Development - Cairo 1994](#)
- [World Summit for Social Development – Copenhagen 1995](#)
- [Fourth World Conference on Women \(FWCW\) - Beijing 1995](#)
- [Ninth Congress on the Prevention of Crime and Treatment of Offenders \(UNCPCTO\) – Cairo 1995](#)
- [UN conference on Human Settlements](#)
- [Second UN Conference on Human Settlements – Istanbul 1996](#)
- [World Food Summit – Rome 1996](#)
- [Ninth Session of the United Nations Conference on Trade and Development \(UNCTAD IX\) – Medrand 1996](#)
- [Amsterdam and Oslo Conferences on Child Labour \(1997\)](#)
- [General Assembly Twentieth Special Session on the World Drug Problem \(GAD\) – New York 1998](#)
- [World Conference on Education For All - Dakar 2000](#)
- [World Conference for Women \(Beijing +5, 2000\)](#)
- [Tenth United Nations Congress on Crime Prevention and Criminal Justice](#)
- [Millennium Summit – New York 2000](#)
- [UN Special Session on HIV/AIDS – New York 2001](#)
- [World Conference against Racism, Racial Discrimination, Xenophobia and Related Intolerance – Durban 2001](#)
- [Yokohama Conference on the Commercial Sexual Exploitation of Children - 2001](#)
- [Istanbul+5: Reviewing and Appraising Progress Five Years After Habitat II – New York 2001](#)
- [International Conference on Financing for Development – Monterrey 2002](#)
- [UN Special Session on Children – New York 2002](#)
- [World Food Summit: Five Years Later - Rome 2002](#)
- [The World Summit on Sustainable Development – Johannesburg 2002](#)
- [The World Summit on the Information Society, First Phase: Geneva, 10-12 December 2003](#)
- [The 2005 World Summit](#)

Collection of Human Rights Instruments: <http://www.unhchr.ch/html/intlinst.htm>

Collection of Environmental Instruments:  
[http://www.unep.org/dpdl/Law/Law\\_instruments/multilateral\\_instruments.asp](http://www.unep.org/dpdl/Law/Law_instruments/multilateral_instruments.asp)

Conventions and treaties, related to food and agriculture: <http://www.fao.org/Legal/treaties/treaty-e.htm>

Conventions and Agreements adopted under the auspices of UNESCO, solely or jointly with other international organizations are at [Conventions: UNESCO](#)

## Observations and Recommendations of International Human Rights Mechanisms

- [Treaty Bodies](#)
- [Committee on Economic, Social and Cultural Rights \(CESCR\)](#)
- [Human Rights Committee \(HRC\)](#),
- [Committee on the Elimination of Racial Discrimination \(CERD\)](#),
- [Committee on the Elimination of Discrimination Against Women](#),
- [Committee Against Torture \(CAT\)](#),
- [Committee on the Rights of the Child](#),
- [Committee on the Protection of the Rights of All Migrant Workers and Members of Their Families \(CMW\)](#),
- Special procedures. For more information on the Special Procedures, visit OHCHR web page <http://www.ohchr.org/english/bodies/chr/special/index.htm>.

## Other useful reference sources

Additionally, for the CCA, there are various tools for conducting situation assessments, for the identification of development challenges and for the analysis of the challenges. For example, click here to visit FAO's useful website ([field tools @ participation](#)) which reviews many grass roots participatory tools and describes their use.

The Indicator Framework in Annex 4 also has hyperlinks to the Millennium Development Goals, PRSPs and the rights based approaches to development. The UN Staff college and OHCHR have also, in the last three years, been working with other UN organizations in piloting training for UNCTs on human rights based approaches to development.

## Annex 8 Abbreviations

The following abbreviations are used in the main text and in the annexes. This list does not include the acronyms of UN agencies, which are listed at: [www.un.org](http://www.un.org)

CAP	Consolidated Appeal Process
CCA	Common Country Assessment
CSO	Civil Society Organization
DBS	Direct Budget Support
ExCom	Executive Committee Agency (UNDP, UNFPA, UNICEF, WFP)
HACT	Harmonized Approach to Cash Transfers
HRBA	Human Rights Based Approach
JAS	Joint Assistance Strategy
JSM	Joint Strategy Meeting
MD	Millennium Declaration
MDGR	Millennium Development Goals Report
MDGs	Millennium Development Goals
M & E	Monitoring & Evaluation
NDP	National Development Plan
NGOs	Non-Governmental Organisations
PFM	Public Financial Management System
PRS/PRSP	Poverty Reduction Strategy/ Poverty Reduction Strategy Paper
PSG	Peer Support Group
QSA	Quality Support and Assurance
RBM	Results Based Management
SMART	Specific - Measurable - Achievable - Relevant - Time-bound
SWAP	Sector Wide Approach
SWOT	Strengths - Weaknesses - Opportunities - Threats
UNCT	United Nations Country Team
UNDAF	United Nations Development Assistance Framework
UNDG	United Nations Development Group