

TERMS OF REFERENCE

I. BACKGROUND

The principal objective of the the third global cooperation framework (GCF-III), 2005-2007, approved by the Executive Board in January 2005, is to support programme countries in achieving the Millennium Development Goals (MDGs) and make the principles enshrined in the Millennium Declaration a reality. This is to be achieved by the GCF-III, also frequently referred to as the 'global programme', in tandem with UNDP's regional and country programmes. Four priority areas outlined in UNDP's Multi-Year Funding Framework (MYFF), 2004-2007, comprise the substantive core of the GCF-III: (a) achieving the MDGs and reducing human poverty; (b) fostering democratic governance; (c) managing energy and environment for sustainable development; and (d) responding to HIV/AIDS. The GCF-III initiatives in these four areas aim to accelerate progress towards the MDGs through policy support services, global learning, knowledge management and capacity development. The principles and delivery approaches of the GCF-III are aligned with the drivers of development effectiveness defined by the MYFF.¹

During its June 2007 session, the Executive Board approved a one-year extension of the GCF-III, which will now end in December 2008. The Board is scheduled to review the performance of the GCF-III and to consider a new global programme at its September 2008 session. It is in this context that UNDP's Evaluation Office is conducting a comprehensive and independent assessment of the GCF-III.

II. PURPOSE OF THE EVALUATION

The purpose of the evaluation will be to facilitate the Executive Board's review of the GCF-III and provide strategic inputs into its deliberations on a new global programme as well as other, broader programmatic implications.

The evaluation will also provide UNDP management with findings and recommendations that are expected to assist in identifying strategies and operational approaches to further strengthen UNDP's development effectiveness through its global programme, in coordination with its regional and country programmes.

III. OBJECTIVES OF THE EVALUATION

Specific objectives of the the GCF-III evaluation are as follows:

1. To determine the extent to which the GCF-III contributed towards the accomplishment of intended organizational goals and development results in (i) achieving the MDGs and reducing human poverty, (ii) fostering democratic governance, (iii) managing energy and environment, and (iv) responding to HIV/AIDS
2. To assess the performance of the GCF-III and specify development results achieved—particularly at the outcome level—in terms of (i) country-level policy advice and programme support, (ii) targeted global projects, (iii) strategic partnerships and (iv) knowledge management
3. To establish the extent to which the GCF-III (i) promoted national ownership and

1. UNDP, 'BDP Alignment Process: Implementing the Strategic Plan and Accelerating Human Development', UNDP BDP, 30 January 2008, p. 4.

leadership of the development process, (ii) mainstreamed a gender perspective in all projects and practice areas, and (iii) applied an appropriate and coherent capacity development approach throughout

4. To ascertain the role the GCF-III has had in establishing or strengthening UNDP comparative advantage as a major upstream global policy advisor for poverty reduction and sustainable human development
5. To analyze the GCF-III's contribution towards establishing UNDP as a knowledge-based organization and, in particular, to assess the degree of innovation among the GCF-III initiatives and their value addition and contribution to generating and sharing knowledge within UNDP and with programme countries
6. To identify the main lessons learnt including, in particular, the extent to which the GCF-III constituted the most appropriate mechanism in providing development services and building capacity as envisaged in the project document, and develop recommendations for the design of a new global programme, covering policy and priority areas, plus institutional and implementation aspects

IV. SCOPE OF THE EVALUATION

In line with UNDP's overall focus on human development, a priority that is reflected in UNDP's evaluation policy, this evaluation will seek to place the GCF-III in a human development context. An overarching concern will thus be to ascertain the extent to which the GCF-III has upheld human development principles and has mainstreamed them in all aspects of its work. In reviewing in detail the different elements of the GCF-III, and in applying a range of evaluation criteria as described in more detail below, the evaluation will need to bear in mind UNDP's mission to promote human development.

The intention of the GCF-III evaluation is to focus on strategic issues, in particular on the

contribution of the GCF-III to (i) development results, as envisaged in the project document; (ii) the integrity of UNDP's work through programmatic and knowledge-based linkages between global, regional and country programmes; and (iii) the external standing of UNDP as a development player that adds value and plays a pivotal coordinating role within the United Nations (UN) system and beyond.

The evaluation will thus assess the overall relevance and effectiveness of the GCF-III, covering, in broad terms, its entire programmatic and geographic scope. The evaluation will be guided by key questions relating to these two primary evaluation criteria:

RELEVANCE

1. To what extent has the GCF-III supported UNDP's vision, overall strategies and role in development, especially at the global level? What distinctly 'global issues' has the GCF-III addressed, as distinct from issues at the country, region and interregional levels?
2. How has the role and strategic focus of the GCF-III support been relevant to country and regional priorities, including relevance to the achievement of the MDGs? To what extent is the GCF-III relevant and/or linked to the Regional Cooperation Frameworks (or Regional Programmes)?
3. What was the relevance of and possible synergies between the four practice areas (poverty, governance, energy/environment and HIV/AIDS) and the cross-cutting areas of gender equality, capacity building and national ownership, particularly in relation to the the GCF-III programme objectives and principles?
4. To what degree have the GCF-III-funded services based out of the Regional Service Centres (RSCs) and Subregional Resource Facilities (SURFs) been relevant from the country/regional perspective? How has the GCF-III enhanced the RSC/SURF's ability to respond to the diversity and nature of

demands from country offices for policy advice, or strengthened the quality of programme support? Has the RSC/SURF mechanism added value to, and improved the cost-effectiveness of, the GCF-III products and services? Have the structural changes from SURFs to RSCs had any impact on the GCF-III?

5. To what extent has the GCF-III supported the UN reform initiatives for greater coordination and cohesion of UN organizations and in the simplification and harmonization of development at the global, regional and country levels? To what degree has the GCF-III supported the Resident Coordinator function, and UNDP as the manager of the Resident Coordinator function?

EFFECTIVENESS

6. What key factors underlined the effectiveness, usefulness, strengths and weaknesses of approaches and strategies applied by the GCF-III? What risks and barriers to success were anticipated at the outset? Were there any unanticipated events, opportunities or constraints? Were the anticipated policy influences achieved? Did alternative ones emerge? What could be done differently in the future?
7. How did the GCF-III policies and practices influence and add value to UNDP system-wide modalities and mechanisms for supporting countries' development efforts in the different practice areas covered? How well did the GCF-III leverage non-core resources towards achievement of results, as defined in the programme document?
8. What effect did management and institutional arrangements have on BDP in terms of programming, delivery and monitoring of implementation of the GCF-III at the Headquarters level, at the regional level and at the country level? What measures were taken to assure the quality of development results and management practices, both in relation to process and products, and to partnership

strategies? What monitoring and evaluation procedures were applied by UNDP and partners to ensure greater accountability?

9. To what extent did the procedures established by the GCF-III ensure relevance and learning at the institutional and national levels with regard to the choice of specific development interventions, and the ways and means used to communicate results (e.g. operation of programmes, including advocacy, policy dialogue, brokerage, knowledge management and dissemination etc.)?
10. How effective and efficient were the institutional components of the GCF-III/BDP: i.e. the modality and mechanisms for delivering service lines and their cost-effectiveness, including the role of relevant UNDP bureaux or organizational units such as Human Development Report Office (HDRO) and Office of Development Studies (ODS), and the way these interface with each other and complement each other's work in supporting the goals and objectives of the GCF-III?
11. How well have the resource mobilization and funding criteria and mechanisms of BDP worked, including the allocation methods (as applicable to the global projects, the Thematic Trust Funds (TTFs) and other modalities and mechanisms)?
12. In terms of ownership by key target groups, what factors influenced (i) the motivation for specific development interventions supported by the GCF-III, (ii) the role and level of engagement of partners, (iii) the appropriateness of different implementation modalities chosen, and (iv) the value-added from UNDP's collaboration and results achieved (i.e. development effectiveness)?

SUSTAINABILITY

In looking at issues of effectiveness and relevance, it will be important to review the extent to which different elements of the GCF-III contributed to the establishment of sustainable capacities of its target groups. To what extent were the GCF-III initiatives led by a concern to ensure sustainability?

How was this concern reflected in the design of the programme, in the implementation of activities at different levels, in the delivery of outputs and the achievement of outcomes? In particular, did the regionally-based advisory services help build capacities in a sustainable manner or were they more ad-hoc (driven by other factors)?

EFFICIENCY

Where appropriate, the evaluation will also cover efficiency-related issues, particularly in order to understand management arrangements and the operational realities of the GCF-III and its linkages with other UNDP programme implementation mechanisms and modalities at the regional and country levels.

The evaluation of the GCF-II, completed in 2004, should be taken as a starting point in identifying pertinent evaluation questions, particularly with a view to ascertaining how recommendations were taken into account and followed up on in designing and implementing the GCF-III.

V. EVALUATION APPROACH

In view of the complexity of the GCF-III, the evaluation will seek to obtain data from a range of sources, including through desk reviews and document analyses, surveys and questionnaires, as well as stakeholder consultations, interviews and focus groups at UNDP Headquarters and in a range of programme countries, RSC/SURFs and other relevant institutions or locations. The rationale for using a range of data sources (data, perceptions, evidence) is to triangulate findings in a situation where much of the data, due to the very nature of the GCF-III, is qualitative, and its interpretation thus critically dependent on the evaluators' judgement. Triangulation provides an important tool in shoring up evidence by using different data sources to inform the analysis of specific issues.

Where possible and appropriate, the evaluation should seek to obtain evidence as to what may or may not have occurred in the absence of the GCF-III. Some of UNDP's programmes or

modalities may not, due to the very design of the GCF-III, have benefited from the GCF-III support. Such programmes or modalities may thus serve to provide insights into the relative value added of the GCF-III.

LOGIC MODEL AND EVALUABILITY ANALYSIS

In launching the evaluation, an important, initial exercise will be to develop a logic model for the GCF-III, taking into account (i) its expected outcomes, as defined in the project document, (ii) any strategic or operational changes introduced during the implementation process, and (iii) important and apparent milestones and achievements, as outlined in progress reports. The logic model will serve to highlight the theory of change underpinning the GCF-III and will assist in identifying, at an early stage, any challenges or bottlenecks that may affect the evaluability of the GCF-III. The evaluation methodology may thus need to be adjusted accordingly.

CASE STUDY APPROACH

The broad scope of the evaluation, will not permit the selection of a sufficiently large number of case studies that could be considered a 'representative sample' of the GCF-III initiatives. Therefore, it will be necessary to generalize from the findings of case studies that are considered most 'typical' of the GCF-III and thus lend themselves best to generalization. It is expected that individual case studies will comprise the global, regional and country level, in line with the vertical integration that is typical of the GCF-III's programme approach. I.e., in looking at different practice areas, modalities or principles, it will be important to recognize their linkages from the global, through the regional to the national levels. The case study approach will comprise of the following elements:

Stakeholder analysis. An important initial exercise will be the conduct of a stakeholder analysis in order to identify, *inter alia*, the institutional entities and individuals within UNDP involved in planning, management and implementation of the GCF-III; the primary

target groups of different GFC-III initiatives; and different partners at the global, regional and country levels.

Documentation reviews. Due to the complexity and very broad scope of the GCF-III, a very large number of documents and reports (published and unpublished) may be collected. Some may be the subject of only a general review while others will be subjected to detailed review. Some of the key sources of information will comprise (i) global project documents and results frameworks, monitoring and financial reports, evaluations, as well as key project outputs; (ii) Thematic Trust Funds and related documentation (as above); and (iii) strategic partnerships.

Consultations and interviews. The main source of information will be through structured, semi-structured and unstructured interviews and consultations at Headquarters, RSCs and COs. The results of these consultations and interviews are to be documented for internal team analysis. Structured interview methods are also to be used for other consultations. In some cases, focus group discussions may be held to capture the dynamic of information sharing and debate, and to enrich the findings. In other cases, interviews will be carried out by telephone or tele/video conference. The Evaluation Team will select countries and stakeholders to be visited based on criteria to be developed in consultation with the Evaluation Office and key UNDP stakeholders.

Pilot case study. In launching the country visits, the entire Evaluation Team will visit one RSC to be selected as a pilot case study. This will allow for the testing of interview and consultation methodologies, and the initial casting and validation of key evaluation issues, questions and hypotheses. Based on this first experience, the design for subsequent regional and case country visits will be amended.

Targeted surveys. As the 'stakeholder community' of the GCF-III is large and widespread, a series of surveys may be executed in order to collect additional information and perceptions. Surveys

themselves are one method for validation. The main surveys may include (i) a self-assessment survey of selected GCF project managers (all in the Bureau for Development Policy [BDP]), as well as other selected practice/ thematic focal points; (ii) survey of Policy Advisors; and (iii) survey of Resident Coordinators and Resident Representatives (or their respective Country Directors or Deputy Resident Representatives). Surveys of other stakeholders may be identified and carried out.

VI. THE EVALUATION TEAM

The Evaluation Team will comprise four international evaluators, one of whom will be the Team Leader. Local consultants at the field level will be recruited, as necessary, in selected sample field stations and/or in countries where UNDP RSCs are located. The Evaluation Office will recruit all Team members.

The composition of the Evaluation Team should reflect the independent and substantive results focus of the exercise. The Team Leader must have demonstrated capacity to think strategically, provide policy advice and manage the evaluation of complex development programmes. The Team composition should reflect cross-cultural experience in development and evaluation including expertise in poverty, governance, environment, HIV/AIDS, capacity development and gender mainstreaming.

All the Team members must possess educational qualifications in the social sciences or related disciplines. The Team is also expected to have extensive knowledge of issues relating to organizational and institutional change, the UN reform process, principles of results-based management, and should be familiar with the on-going debate on the issue of development effectiveness.

An Evaluation Office Task Manager will be part of the Evaluation Team and will provide overall managerial and coordination support. A Research Assistant will compile and analyze background documentation.

VII. MANAGEMENT ARRANGEMENTS

The Evaluation Office will manage the evaluation process, provide backstopping support and ensure the coordination and liaison with concerned agencies at the headquarter level as well as the country level. The Evaluation Office will be responsible for the production of the evaluation report and its presentation to the Executive Board.

An external Advisory Panel will be established at the outset of the evaluation, consisting of four to five individuals who should be leading authorities on development effectiveness, global development issues of relevance to the GCF-III and evaluation. The Advisory Panel will play an important role in providing strategic, methodological and substantive inputs into the evaluation process.

Annex B

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Annex C

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EUROPE AND COMMONWEALTH OF INDEPENDENT STATES REGION

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Mercado, Leida, Policy Advisor, Energy and Environment

Natale, Lucia, Consultant, Energy and Environment

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Novey, Alexandra Castro, Programme Associate, Dialogue for Development Programme

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Rodríguez, Alvaro, Country Director, UNDP Pakistan, former BDP Policy Support & SURF Coordinator, UNDP

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González, Liliana, Programme Officer,
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Democratic Governance
Jordan, Tatiana, Programme Officer, HIV/AIDS
Mayori, Oscar Agramont, Monitoring and
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Salas, Ruben, Small Grants Project (SGP),
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Tapia, Virginia, Project Administrator

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De Campero, Ana María Romero, Executive
Director, Fundación UNIR Bolivia
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Dreikorn, Carolina, Programme Officer,
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Faieta, Jessica, Resident Representative & UN
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Schmutt, Marcela, Governance Coordinator

Government

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on Security
Escalante, Roberto, Vice Minister, Ministry
of Environment
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Ministry of Environment

Other

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Gobernabilidad, CARE
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Costa, Joana, IPEA Researcher, Gender
Equality Research Programme
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Focus, on secondment from the Swedish
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and Poverty
Fabra, Javier, Research Associate, Governance
and Conflict
Filmer-Wilson, Emilie, Human Rights
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(HuriTALK)
Førde, Bjørn, Director
Hermansen, Hege, Research Associate,
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Foreign Affairs
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Annex D

EVOLUTION OF GLOBAL PROGRAMME OBJECTIVES

Table 1. Global Cooperation Framework Objectives, 1997–2008

GCF-I (1997–2000) DP/GCF/2	GCF II (2001–2004) DP/GCF/2/Extension1	GCF–II Evaluation Recommendation	GCF–II Evaluation Management Response	GCF–III (2005–2008) DP/GP/1/Rev.1
(a) "To develop further the portfolio of UNDP interventions responding to global mandates, in particular those emanating from United Nations conferences, for adaptation by regional and country programmes and projects in their support of the commitments made by programme countries;	(a) "It will support the ability of UNDP to generate alternative and cutting-edge development thinking and to address emerging challenges presented by globalization, including marginalization of the poorest, through groundbreaking research and analysis by the Human Development Report (HDR), the Office of Development Studies (ODS), and the Bureau for Development Policy (BDP). Innovative research, such as that which contributed such key concepts to current development thinking as sustainable human development (SHD) and global public goods will be strengthened;	(a) "GCF III should continue to provide a two-way window for programme countries to influence and be influenced by global trends, and benefit from global knowledge in the pursuit of their national development priorities and the MDGs [Millennium Development Goals]. UNDP should narrow the focus on one or two practice areas with a small set of secondary practice, thematic and cross-cutting areas. Criteria for use of global resources must be clear, consistently applied and sufficiently distinct from regional or country level programming.	(a) "[Promoting a two-way window for programme country involvement in the global arena] will be a central priority of BDP [Bureau for Development Policy] in its implementation of the corporate knowledge strategy. UNDP focus is provided by the MYFF [Multi-year Funding Framework]. Within the MYFF, UNDP intends to place greater emphasis on those service lines that make the greatest contribution to achieving the MDGs and for which there is the highest demand from programme countries. Consultations with regional bureaux, regional centres and country offices on GCF programmes will be enhanced and formalized. Criteria are being developed in consultation with RBx [regional bureaux] and CO [country offices] to determine the nature and delineation of global programmes and their relationship to regional and country programmes.	(a) "To help UNDP country offices improve their effectiveness on the ground, in responding to requests from programme countries to plan, manage and deliver resources for development in pursuit of the MDGs;
(b) To provide the technical guidance needed—partly through partnerships—to respond to the demands emanating from regional and country programmes and projects in their support of the commitments made by programme countries; and	(b) It will allow, for the first time ever, the integration of UNDP global development thinking and advocacy with country-level practices by building on country-driven demand for policy and programme support as captured in the results-oriented annual report (ROAR);	(b) GCF-III should continue to be applied to the transformation of UNDP into a knowledge-sharing, globally networked agency. The definition of policy advice should be adjusted to include the provision of a range of both upstream and downstream technical assistance and professional services in the policy domain.	(b) The proposal for GCF-III will maintain [a knowledge based] focus. In practice, policy advice and policy support will cover a wide range of services, from upstream policy dialogue to more downstream technical support and backstopping. GCF-III will incorporate clearer, practical objectives aligned to MYFF priorities.	(b) To support developing countries, when requested, in developing policy frameworks that take advantage of global opportunities and resources under the priority goals of the MYFF; and
(c) To identify gaps and emerging issues for attaining SHD and to work to incorporate them into the global agenda." (paragraph 15)	(c) It will promote a state-of-the-art knowledge network by moving UNDP policy support capacity out of headquarters to the sub regional level to ensure that the best available advice can be given when and where it is most needed—at the country level." (paragraph 1)	(c) There should be continued emphasis on identifying and documenting good, innovative practices and promoting their adaptation in other countries or settings. Knowledge networks should be made available to staff in all UN organizations as well as national counterparts in partner countries. There should be a deliberate policy within UNDP to encourage external knowledge sharing."	(c) A central purpose of the knowledge management system will be to identify, store and disseminate good practices to facilitate an effective global learning exchange. Successful knowledge sharing calls for building and supporting strong, well-defined communities of practice, which generate trust among their members. A UNDP knowledge management strategy has been put in place that proposes both to strengthen UNDP's internal practice communities as well as to extend knowledge networks to in-country communities and UN system partners."	(c) To enable developing countries to benefit from interregional knowledge exchange and South-based experiences and learning under the priority goals of the MYFF and ensure that development assistance, advice, programme design and capacity-building efforts draw on global best practices and expertise." (paragraph 14)

Annex E

GCF-III PROGRAMME METRICS

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- Table 6. BDP Resource Mobilization (Income) 2005-2007 Including Global Environment Facility & Montreal Protocol
- Table 7. Thematic Trust Fund Income versus Expenditure 2005-2007
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**Table 1. Global Programme III Core Resource Allocations 2005-2007
as Contained in the Programme Document (in \$ Millions)**

Practice / Cross-Cutting Area	Policy Advisory Services Budget	Targeted Project Budget	Interregional Knowledge Transfer, Learning and Codification	Strategic Reserve	TOTAL
Poverty Reduction	16.24	8.51	1.25		26.00
Gender	2.24		0.25		2.49
Democratic Governance	14.56	9.25	1.50		25.31
Energy & Environment	6.16	8.82	1.50		16.48
HIV/AIDS	1.68	4.98	1.50		8.16
Capacity Development	1.12				1.12
Strategic Reserve				5.14	5.14
TOTAL	42.00	31.56	6.00	5.14	84.7

Source: DP/GP/1/Rev.1, Annex 1, p. 17

Table 2. Global Programme III Actual Core Resource Allocations 2005-2007 (in \$ Millions)

Department/ Practice	2005		2006		2007	
	Global Projects	Thematic Centres	Global Projects	Thematic Centres	Global Projects	Thematic Centres
Policy Support¹						
Policy Advisory Service	14.0		14.0		14.0	
Knowledge Management	2.0		1.6		2.4	
Practice Area						
Poverty	1.3	1.0	1.1	1.0	3.4	1.0
Democratic Governance	1.3	1.0	1.1	1.0	1.4	1.0
Energy & Environment	1.1	1.0 ²	1.1	1.0	1.1	1.0
HIV/AIDS	0.9		0.9		0.9	
Gender			0.5		0.6	
Capacity Development	0.7		0.8		0.7	
Cross Practice	2.0				2.0	
SUBTOTAL	223.3	3.0	21.0	3.0	26.5	3.0
TOTAL	26.3		24.0		29.5	
TOTAL FOR 2005 – 2007 = 79.8						

1. The Policy Support Department was created in ATLAS to allow for central management of the policy advisory and knowledge management funds.

2. BDP noted that the Drylands Development Centre over-expenditure of \$2 million was charged in 2004.

Source: Based on memos provided by Bureau for Development Policy (BDP)

Table 3. Global Programme I - III Core and Non-Core Allocations (in \$ Millions)

Practice Area	GCF-I 1997-2000		GCF-II 2001-2004		GCF-III 2005-2007	
	Core	Non-Core	Core	Non-Core	Core	Non-Core
Policy Support¹						
Policy Advisory Service				15.0	42.0	
Knowledge Management					6.0	
Practice Area		8.0	57.9	100.0		190.0
Poverty	17.6				8.5	
Democratic Governance	17.6				9.3	
Energy & Environment	17.6				8.8	
HIV/AIDS					5.0	
Cross Cutting	17.6					
Gender	7.8					
Capacity Development						
Cross Practice						
Other²	19.4		26.4			
Strategic Reserve	8.7				5.1	
Contingency Fund ³	7.5		3.0			
SUBTOTAL	113.8	8.0	87.3	115.0	84.7	190.0
TOTAL		121.8⁴		202.3⁵		274.7⁶

1. 'Policy Support' is a department that was created in ATLAS to enable central management of the policy advisory and knowledge management funds. However, the policy specialists and knowledge management funds are distributed across all practice areas. See Table 14 for the distribution of policy specialists by practice area and region.

2. Includes Human Development Report Office [HDRO], Office of Development Studies [ODS], Consultative Group on International Agricultural Research [CGIAR] and United Nations Sudano-Sahelian Office [UNSO] (now the Drylands Development Centre-DDC).

3. Allocations made at the discretion of the Administrator.

4. As noted in the First Global Programme Document (DP/GCF/1/Rev.1): "Figures have been rounded off; therefore, they do not add up to exactly \$114 million. As described in paragraph 53, \$114 million is the total global programme earmarking (\$126 million) less borrowing from the fifth cycle (\$12 million)."

5. As noted in the Second Global Programme Document (DP/GCF/2, November, 2000, Annex): The numbers in the document do not match the actual sums. Includes field-based policy specialists, and a carry-over of \$30 million from the first GCF (1997-2000). Does not include GCF-II extension \$20.3 million in core resources and \$38.3 million in non-core resources (DP/GCF/2/Extension1).

6. As noted in the Third Global Programme document (DP/GP/1/Rev.1) includes \$ 20.76 million in carryover from GCF-II.

Table 4. Core and Non-Core Funding and Expenditure During 2005-2007 (in \$ Millions)

Department/ Practice Area	Core		Non-Core ¹		
	Budget	Expenditure	Projected ²	Income	Expenditure
Policy Support³					
Policy Advisory Services	42.0	43.5			
Knowledge Management	6.0	4.8			
Practice Area			190.0		
Energy & Environment	8.8	6.9		53.1	58.8
Democratic Governance	9.3	6.4		90.8	69.3
HIV/AIDS	5.0	2.9		21.8	25.9
Poverty Reduction & MDGs	8.5	9.6		56.7	28.0
Cross Cutting					
Gender		1.2		6.6	5.8
Capacity Development		2.1		7.1	13.4
Cross Practice		4.6			0.04
SUBTOTAL	79.6	82.0	190.0	236.1	201.3
Strategic Reserve	5.1	5.1			
Total	84.7	87.1	190.0	236.1	201.3

1. Non-core, in this case, includes income received through 'cost-sharing,' Trust Funds and Thematic Trust Funds. It does not include income received through the Montreal Protocol (MP) and the Global Environment Facility (GEF).

2. DP/GP/1/Rev.1, p. 1.

3. The Policy Support Department was created in ATLAS to allow for central management of the policy advisory and knowledge management funds.

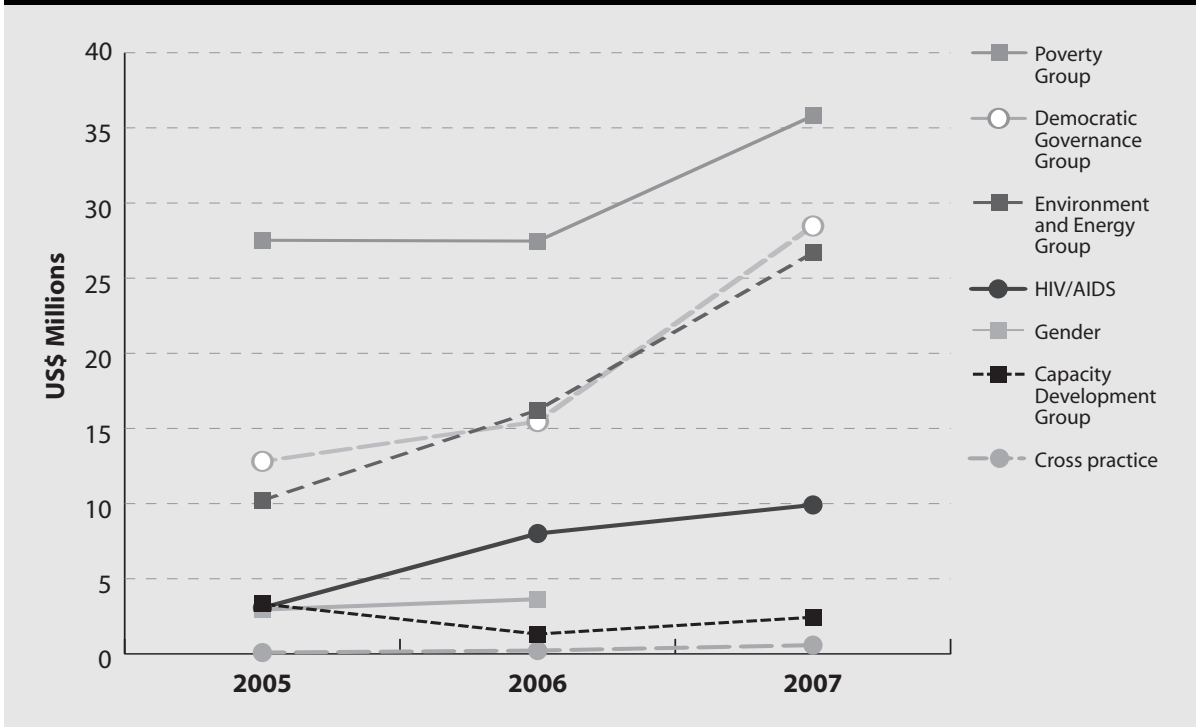
**Table 5. BDP Resource Mobilization (Income) and Expenditure 2005-2007
(Not including the Global Environment Facility and Montreal Protocol Trust Funds, in \$ Millions)**

Practice Area	Income			TOTAL for Practice	Expenditure			TOTAL for Practice
	Cost Sharing	Trust Fund	Thematic Trust Fund		Cost Sharing	Trust Fund	Thematic Trust Fund	
Capacity Development	1.9	5.2		7.1	3	10.3		13.4
Cross Practice	0.9			0.9	0.04			0.04
Democratic Governance	13	0.3	77.6	90.8	9.4	4.4	55.5	69.3
Energy & Environment	10.8	12.4	29.9	53.1	3.9	41.6	13.3	58.8
Gender	3.8		2.8	6.6	0.4	-	5.5	5.8
HIV/AIDS	19.6		2.2	21.8	24.3	-	1.6	25.9
Poverty Reduction	8.2	37.0	11.5	56.7	1.1	18.5	8.4	28.0
SUBTOTAL	58.1	54.9	124		42.1	74.8	84.3	
TOTAL Income				237.0	TOTAL Expenditure			201.3
							% Unexpended	15%

**Table 6. BDP Resource Mobilization (Income) 2005-2007
(Including the Global Environment Facility and Montreal Protocol Trust Funds, in \$ Millions)**

Practice Area	Cost Sharing	Trust Fund	Thematic Trust Fund	TOTAL for Practice
Capacity Development	1.9	5.2		7.1
Cross Practice	0.9			0.9
Democratic Governance	13.0	0.3	77.6	90.8
Energy & Environment	10.8	976.3	30.0	1,017.1
Gender	3.8		2.8	6.6
HIV/AIDS	19.6		2.2	21.8
Poverty Reduction	8.2	37.0	11.5	56.7
SUBTOTAL	58.1	1,018.8	124.1	
TOTAL				1,201.0

**Figure 1. BDP Resource Mobilization (Income) 2005–2007
(Not Including the Global Environment Facility and Montreal Protocol Trust Funds)**



**Figure 2. BDP Resource Mobilization (Income) 2005–2007
(Including the Global Environment Facility and Montreal Protocol Trust Funds)**

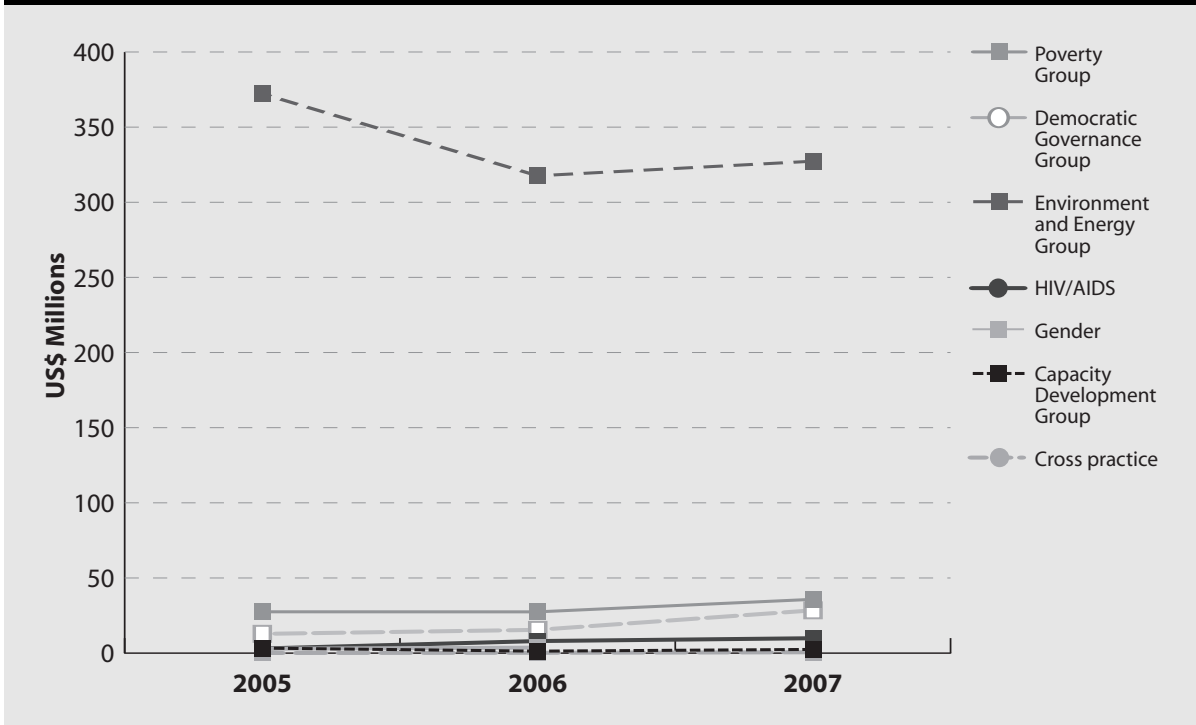


Table 7. Thematic Trust Fund Income vs. Expenditure 2005-2007 (in \$ Millions)

Practice	Thematic Trust Fund (TTF)	TOTAL Income	TOTAL Expenditure	Percentage Unexpended
Democratic Governance	TTF Democratic Governance	71.8	53.8	25%
	TTF Information Communications Technology	5.7	1.8	69%
Subtotal		77.6	55.5	28%
Energy & Environment	TTF Energy for Sustainable Development	4.3	9.2	-115%
	TTF Environment	25.7	4.1	84%
Subtotal		30	13.3	56%
HIV/AIDS	TTF HIV/AIDS	2.2	1.6	28%
Subtotal		2.2	1.6	28%
Poverty Group	TTF Poverty Reduction	11.5	8.4	27%
Subtotal		11.5	8.4	27%
Gender	TTF Gender	2.8	5.5	-94%
Subtotal		2.8	5.5	-94%
TOTAL		124	84.4	32%

Figure 3. Thematic Trust Fund Growth in Income, 2005–2007

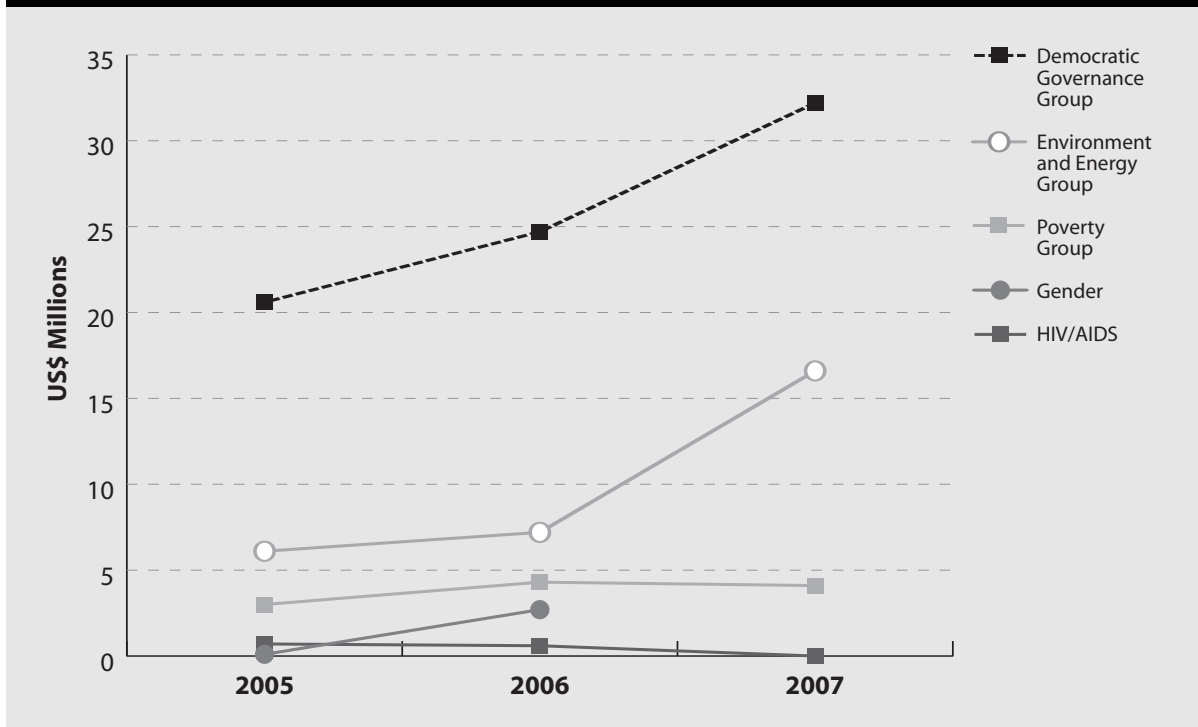


Figure 4. Thematic Trust Fund Growth in Expenditure, 2005–2007

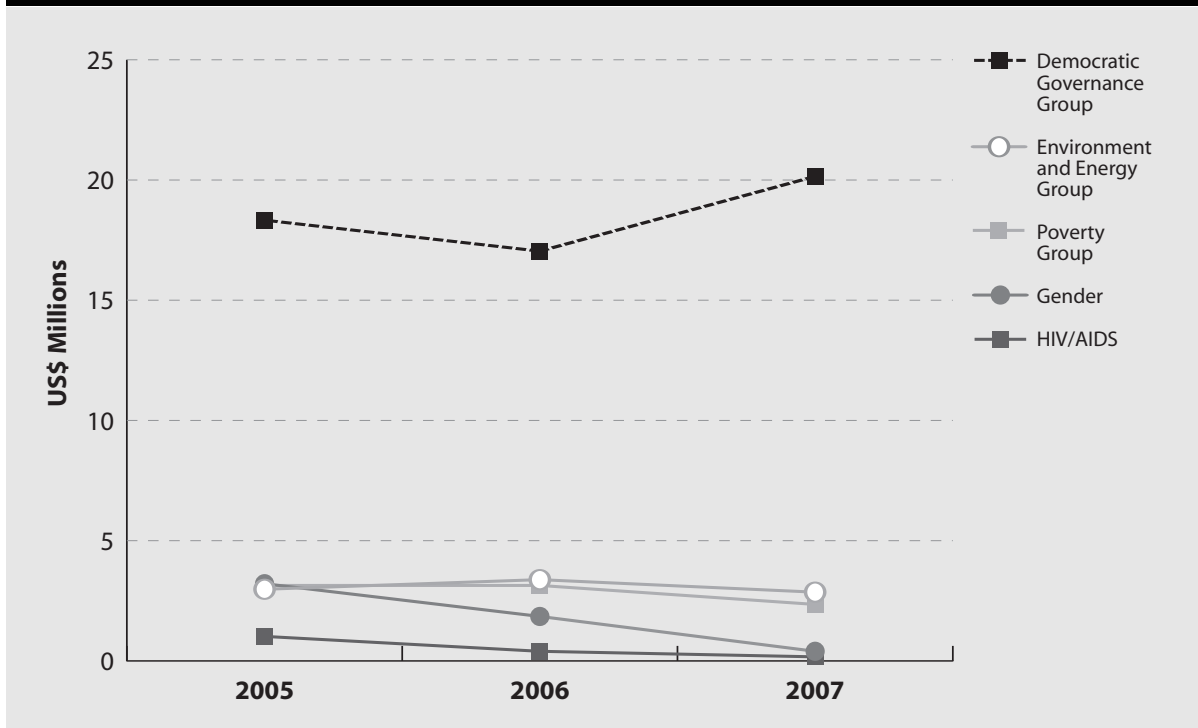


Table 8. Thematic Trust Fund Details and Expenditure by Department (in \$ Millions)

PRACTICE AREA	TITLE/SERVICE LINE	TOTAL
Democratic Governance (DG)	TTF DG	0.9
	TTF DG City Office/Reg Co Finance	9.7
	TTF DG Legislatures	3.6
	TTF DG Electoral Systems & Process	4.4
	TTF DG Access Justice Human Rights	18.1
	TTF DG Access to Information	4.9
	TTF DG Decent & Local Governance	7.0
	TTF DG Public Administration & Civil Service	5.2
TTF Democratic Governance Subtotal		53.8
Information & Communications Technology (ICT)	ICT	0.04
	TTF ICT City Office/Reg Finance	1.5
	TTF ICT National & Reg Development Strategies	0.1
	TTF ICT Strategy Implementation & Capacity	0.04
	TTF ICT Democratic Governance	0.1
	TTF ICT Digital Grants Intervention	0
TTF Information & Communications Technology Subtotal		1.7
TTF DGG + ICT Subtotal		55.5
Energy & Environment (E&E)	TTF E&E	0.03
	TTF E&E City Office/Reg Co Finance	0.2
	TTF E&E National Develoement Frameworks	0.3
	TTF E&E Water Governance	0.5
	TTF E&E Envr Glo & Reg Env Chal	1.4
	TTF E&E Energy Services	0.7
	TTF E&E Land Management	0
	TTF E&E Biodiversity	0.8
	TTF E&E Chemicals	0.1
TTF Environment Subtotal		4.1
Energy for Sustainable Development (ESD)	TTF ESD	0.2
	TTF ESD City Office/Reg Co Finance	2.8
	TTF ESD National Policy Frameworks	1.9
	TTF ESD Rural Energy Service	3.0
	TTF ESD Clean Energy Technology	1.1
	TTF ESD Access Investment Finance	0.3
TTF Energy for Sustainable Development Subtotal		9.2
EEG + ESD Subtotal		13.3
Gender (GDR)	TTF GDR	0.2
	TTF GDR Engendering Policy	1.8
	TTF GDR Engendering Legal Frameworks	0.1
	TTF GDR Engendering Institutions	3.4
TTF GDR Subtotal		5.5
HIV/AIDS	TTF HIV/AIDS	0.1
	TTF HIV/AIDS City Office/ Reg Co-Fn	0.6
	TTF HIV/AIDS Adv Strengthening Leadership	0
	TTF HIV/AIDS Capacity Development Plan Meeting	1.0
	TTF HIV/AIDS Human Rights	0.02
	TTF HIV/AIDS Multi-media Technology	0
TTF HIV/AIDS Subtotal		1.6
Poverty Reduction (PRSD)	TTF PRSD	0.1
	TTF PRSD City Office/Reg Co Finance	0.5
	TTF PRSD Benchmarking & Poverty	1.7
	TTF PRSD Participatory Process	0.3
	TTF PRSD Pro Poor Policy Reforms	5.1
	TTF PRSD Piloting & Innovation	0.7
TTF PRSD Subtotal		8.4
TOTAL		84.3

**Table 9. Global Programme Targeted Projects:
Number of Projects and Expenditure by Department**

Practice	Number of Projects	Total Expenditure ¹	Percentage of Total Expenditure
Policy Support²	2	48.3	59
Practice Area			
Democratic Governance	32	6.4 ³	8
Poverty Group	33	9.5 ⁴	12
HIV/AIDS	5	2.9	4
Energy & Environment	18	6.9 ⁵	8
Cross Cutting			
Gender	7	1.2	1
Cross Practice	14	4.6	6
Capacity Development	10	2.1	3
TOTAL	121	82.0	100

1. In \$ millions.

2. The Policy Support Department was created in ATLAS to allow for central management of the policy advisory and knowledge management funds.

3. Includes \$2.9 million for the Oslo Governance Centre.

4. Includes \$2.67 million for the International Poverty Centre.

5. Includes \$3.16 million for the Drylands Development Centre.

*Please note that numbers may not add up due to rounding.

Source: BDP provided dataset: I. Global Programme Projects 2005-2007 V1.3

Table 10. Global Programme Targeted Project Expenditure 2005-2007 by Input Item (in \$ Millions)

Expenditure Category	TOTAL	Percentage of Total Expenditure
Consultant	5.6	7.0
Equipment	0.3	0.3
Miscellaneous	3.0	3.7
Printing and Publications	2.3	2.9
Rent	1.9	2.4
Salary	58.5	72.8
Service Contract	3.1	3.9
Travel	5.7	7.1
TOTAL¹	80.3	100.0

1. Some projects were missing from the expenditure by input data provided by BDP. Thus, the total expenditure does not match the actual total expenditure for the Global Programme Projects (\$81.2 million).

Table 11. Extra Budgetary Income¹ from Global Projects 2005-2007 (in \$ Millions)

Department	TOTAL
Policy Support ²	1.7
Democratic Governance	0.2
Capacity Development	0.04
Cross Practice	0.1
HIV/AIDS	0.04
Environment & Energy	0.2
Gender	0.04
Poverty	0.3
TOTAL	2.6

1. Extra Budgetary Income is generated from the Direct Execution (DEX) Project Modality; a 5% DEX management fee is charged against all global projects.

2. The Policy Support Department was created in ATLAS to allow for central management of the policy advisory and knowledge management funds.

Table 12. Total Core and Non Core Expenditure for the Global Programme Projects 2005-2007 (in \$ Millions)

Practice/ Department	Project Number	Project Title	Core	Non Core	TOTAL	% Core of TOTAL Expenditure
B0079 Policy Support (Directorate)	11365	Policy Support Services	43.500		43.50	100%
	11408	Improving Delivery of Knowledge Services	4.030		4.030	100%
B0079 Total			47.530	-	47.530	100%
DGG	11400	Democratic Governance Practice				100%
	11437	Support to Partnerships in ICT				100%
	35768	Public Administration Reform and Anti-Corruption				100%
	35889	E-governance and Access to Information				100%
	36006	Parliamentary Development & Electoral Assistance				100%
	36214*	<i>Policy Support for Democratic Governance</i>		0.321		64%
	38223	<i>Justice and Human Rights Project</i>		0.121		30%
	40489	Decentralization, Local Governance and Urban Management Programme				100%
	41625	<i>Oslo Governance Centre Budget</i>	1.000	0.671	1.670	60%
	43381	DGG SL2.7 Parliamentary Reform & Anti-Corruption				100%
	43748	UNDP Elections and ACE Project				100%
	44248	<i>Towards a Community of Democracy</i>		0.037		75%
	49251	<i>OGC Operational Budget</i>		0.295	1.190	75%
	51089	<i>Service Line 2.1 Policy Support for Democratic Governance</i>		0.647	0.890	27%
	51127	Service Line 2.5 E-governance				100%
	51152	SL 2.3 Electoral Systems and Processes				100%
	51155	SL 2.7 Public Administration Reform	0.195		0.195	100%
	51169	SL 2.4 Justice and Human Rights				100%
	55078	<i>OGC Operational Budget</i>	1.000	0.127	1.130	88%
	55651	Comp #1: Strengthening Civic Engagement				100%
	55652	Comp #2: Effective Electoral Assistance	0.095		0.095	100%
	55653	Comp #3: Independent Media & Elections	0.095		0.095	100%
	55654	Comp #4: Pro-Poor E-Governance	0.095		0.095	100%
	55655	Comp #5: Mapping Public Administration Reform	0.175		0.175	100%
	55656	Comp #6: Federalism & Conflict Prevention	0.065		0.065	100%
	55657	Comp #7: Election Support & Conflict Prevention	0.070		0.070	100%
	55658	Comp #8: Benchmarks for Democratic Representative Institutions	0.095		0.095	100%
	55659	Comp #9: Community of Practice on Justice and Human Rights	0.095		0.095	100%
	55660	Com #10: Minorities and MDGs	0.100		0.100	100%
	55661	Comp #11: Anti-Corruption Practitioners Manual	0.075		0.075	100%
	55662	Comp #12: UN Forum on Democratic Governance	0.145		0.145	100%
	55663	<i>Comp #13: Enhancing Democratic Governance Advocacy and Communication</i>		0.073		44%
DGG Total			6.350	2.290	8.640	73%

*Italics indicate that the project was co-financed with non-core funds

Table 12 (cont-d)

Practice/ Department	Project Number	Project Title	Core	Non Core	TOTAL	% Core of TOTAL Expenditure
CDG	11376*	<i>Public Private Partnership & Urban Environment</i>		1.819	2.070	12%
	31648	RTC Finalization & Dissemination				100%
	33340	CDG Knowledge Management				100%
	34392	MDG Focused PPP Initiative				100%
	34871	<i>Mainstreaming Capacity</i>	0.085	0.447		16%
	38814	C2015 Operationalizing the MDGs				100%
	43398	Capacity Development Innovation				100%
	50520	<i>AID Effectiveness/ National Capacity</i>	0.050	0.056		89%
	50899	<i>Support to Capacity 2015 Regional Initiatives</i>		0.617	1.340	54%
	55691	<i>Capacity Development Strategies</i>	0.300	0.071		81%
CDG Total			2.100	3.010	5.050	42%
Cross Practice	42880	MDG Manual				100%
	44006	<i>Intellectual Property & Access to Drugs</i>	0.820	0.023		97%
	44173	<i>Procurement Capacity Building</i>		0.038		91%
	45258	Capacity Diagnostics for Human Development				100%
	45677	Localisation of the Millennium Development Goals				100%
	46009	Facilitating Private Sector Capacity				100%
	46446	<i>HIV/AIDS and Women's Inheritance</i>		0.075		71%
	47062	Land Rights Empowerment for Democratic Governance				100%
	50520	<i>Aid Effectiveness/ National Capacity</i>		0.456	0.930	51%
	52687	Global Initiative on Gearing Macroeconomic Policies to Reverse the HIV/AIDS Epidemic				100%
	55691	Capacity Development Strategies	0.400		0.400	100%
	58283	Women's Political Participation	0.100		0.100	100%
	58284	Government Accountability	0.100		0.100	100%
	58285	Democratic Governance Assessment	0.100		0.100	100%
Cross Practice Total			4.520	0.590	5.110	88%
HIV/AIDS	11442	HIV/AIDS Leadership Capacity And Expertise Building				100%
	46453	HIV/AIDS Building Capacity for An Intensified Response				100%
	50687	<i>HIV/AIDS 2006/7 Arab States</i>		1.830	1.830	0%
	50691	<i>HIV/AIDS 2006/7 Headquarters</i>	1.060	2.800	3.860	27%
	50895	HIV/AIDS 2006/7 GCF Funding	0.855		0.850	100%
HIV/AIDS Total			2.930	4.630	7.560	38%

*Italics indicate that the project was co-financed with non-core funds

Table 12 (cont-d)

Practice/ Department	Project Number	Project Title	Core	Non Core	TOTAL	% Core of TOTAL Expenditure
EEG	11383	Sustainable Energy Global Programme				100%
	11398	Technical Advisory Group for Environment	0.095		0.095	100%
	11416*	<i>Poverty and Environment Initiative</i>		1.940	1.940	7%
	11431	<i>Environment Global Programme</i>	0.880	0.637	1.520	58%
	42416	Dryland Development Centre Management	3.160		3.160	100%
	44773	Dryland Adjustments for Record				100%
	46582	<i>MDG Carbon Facility</i>	0.015	1.010	1.025	1%
	46738	<i>Water Governance Facility</i>		0.476	0.855	44%
	47423	<i>GLO/SGP/OP3</i>		10.760	10.810	0%
	50584	<i>EEG Knowledge Management</i>		0.043		76%
	50586	Framework and Strategy for Sustainable Development				100%
	50588	Effective Water Governance				100%
	50589	Access to Energy Services				100%
	50590	Biodiversity	0.040		0.040	100%
	50591	Sound Management of Chemicals				100%
	50593	CLIMATE CHANGE				100%
	50773	<i>UNDP Equator Initiative 2006</i>		1.110	1.310	15%
	56240	<i>GCF Environment and Energy Group</i>		0.079	1.070	93%
EEG Total			6.910	16.060	22.830	30%
Gender	11395	Gender Mainstreaming	0.240		0.240	100%
	36955	Gender Knowledge Product Development				100%
	50729	Gender Mainstreaming	0.030		0.030	100%
	53167	Support to the Implementation of the Gender Action Plan				100%
	55167	<i>Developing the UNDP Gender Equality</i>		0.647		10%
	57463	Gender Team CPR/EE Implementation	0.065		0.065	100%
	57465	<i>Gender Team CD Implementation</i>		0.036		92%
Gender Total			1.220	0.680	1.900	64%

*Italics indicate that the project was co-financed with non-core funds

Table 12 (cont-d)

Practice/ Department	Project Number	Project Title	Core	Non Core	TOTAL	% Core of TOTAL Expenditure
Poverty & MDGs	11363*	<i>Trade and Sustainable Human Development</i>	0.090	0.017	0.107	84%
	11381	Globalization Trade Liberalization & Sustainable Human Development	0.081		0.081	100%
	11396	Promoting Social Policy Dialogue	0.120		0.120	100%
	11414	Djibouti Integrated Framework	0.006		0.006	100%
	11417	<i>UNDP Support to WSIS</i>	0.081	0.093	0.174	47%
	11433	Support to Poverty Reduction	0.103		0.103	100%
	11440	Policy Advice for Economic Alternatives	0.025		0.025	100%
	36346	Integrated Framework Support Project	0.243		0.243	100%
	36642	Operationalizing Human Rights	0.0004		0.0004	100%
	36954	Towards Debt Sustainability	0.025		0.025	100%
	38031	Strengthening Developing Country Competitiveness	1.030		1.030	100%
	38347	<i>Policy Tools to support ICT for Development</i>	0.0008	0.391	0.392	0%
	39163	<i>Making Infrastructure Work</i>	0.100	0.177	0.271	37%
	39189	GLO/04/P01 Pro-Poor Growth and Policies	0.001		0.001	100%
	39394	Promoting Employment for the Poor	0.102		0.102	100%
	39594	Integrated Approaches to MDGs	0.055		0.055	100%
	46066	<i>International Poverty Centre Brasilia</i>	2.670	0.584	3.250	82%
	46587	Monetization of KST Chief	0.084		0.084	100%
	47557	MDG Support	0.071		0.071	100%
	50047	MDG-based Poverty Reduction	0.425		0.425	100%
	50898	Engaging Government & Civil Society	0.251		0.251	100%
	51147	National Development Strategies	0.025		0.025	100%
	51606	Fiscal Space	0.086		0.086	100%
	52597	Workshop on Systemic Commodity	0.050		0.050	100%
	54273	<i>MDG Support</i>	2.500	0.465	2.960	84%
	55666	Market, the State and the Dynamic Economy	0.200		0.200	100%
	55921	Civil Society's Role in Poverty	0.100		0.100	100%
	56217	Operationalizing Fiscal Space	0.160		0.160	100%
	56566	Legal Empowerment of the Poor	0.279		0.279	100%
	56582	Use of ICT to Support the Achievements of the MDGs	0.069		0.069	100%
	57535	PG Intellectual Property, Trade and Biodiversity	0.075		0.075	100%
	57638	External Drivers of Development	0.200		0.200	100%
58407	SPPR Cluster Support	0.255		0.255	100%	
Poverty & MDGs Total			9.560	1.730	11.280	85%
GRAND TOTAL			81.120	28.990	109.900	74%

**Italics indicate* that the project was co-financed with non-core funds

Note: DGG indicated Democratic Governance Group; CDG, Capital Development Group; EEG, Energy and Environment Group; MDG, Millennium Development Goal.

Source: BDP provided datasets: 1. Global Programme Projects 2005-2007 VI.3 & IV. BDP project list all source of funding. 2005-2006 expenditure data; 2007 budget data.

Table 13. Global Programme Funded Staff by Funding Source

Department	Global Programme Staff ¹		Global Programme Policy Advisors ²		Extra Budgetary ³	Total
	Field	New York	Field	New York	New York	
Directorate		1				1
Programme Support Unit		1			4	5
Human Resources					1	1
Knowledge Services Team		11				11
SURF	8					8
Practice Areas						
Democratic Governance	6 ⁴	1	19	8	1	35
Energy & Environment	5 ⁵	1	8	5	1	20
Poverty Reduction	6 ⁶	22 ⁷	19	6		53
HIV/AIDS		1	2	1		4
Cross Cutting	4	2				6
Capacity Development	4	2			1	7
Gender			4	1		5
SUBTOTAL	33	42	52	21	8	156
Subtotal Field = 84						
Subtotal New York = 52						
TOTAL STAFF FUNDED BY GLOBAL PROGRAMME = 156						

1. Referred to as "Glo Non 75" by BDP; funding from the global projects.

2. Referred to as "Glo 75" by BDP; funding from the policy advisory project 11365.

3. Extra Budgetary Income generated from the 5% Direct Execution fee charged to the global projects.

4. Includes 6 staff at Oslo Governance Centre.

5. Includes 4 staff at the Drylands Development Centre.

6. Includes 4 staff at the International Poverty Centre.

7. Includes 21 staff in the MDG section.

Table 14. Number of Planned Policy Specialists by Region and Practice Area

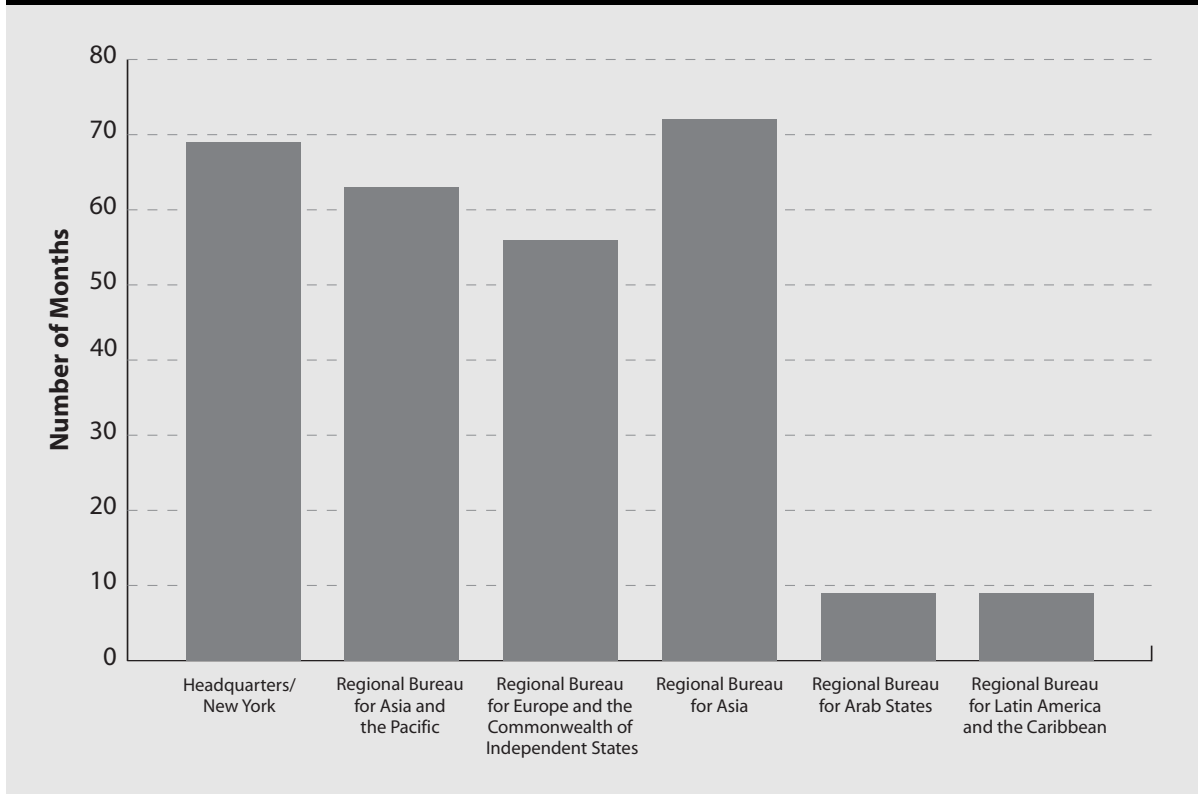
Practice Areas	HQ	RBA	RBAP	RBAS	RBEC	RBLAC	TOTAL
Capacity Development	2	0	0	0	0	0	2
Democratic Governance	8	6	3	2	3	5	27
Environment & Energy	5	3	2	1	0	2	13
Gender	1	2	1	1	0	0	5
HIV/AIDS	1	1	1	0	0	0	3
Poverty Group	8	7	4	2	3	1	25
TOTAL	25	19	11	6	6	8	75

HQ indicates Headquarters; RBA, Regional Bureau for Africa; RBAP, Regional Bureau for Asia & the Pacific; RBAS, Regional Bureau for Arab States; RBEC, Regional Bureau for Europe and the Commonwealth of Independent States; RBLAC, Regional Bureau for Latin America and the Caribbean.

Table 15. Policy Specialist Post Vacancy Months

Region	Number of Months	Number of Posts
Headquarters/New York	69	6
Regional Bureau for Asia & the Pacific	63	5
Regional Bureau for Europe and the Commonwealth of Independent States	56	3
Regional Bureau for Africa	72	5
Regional Bureau for Arab States	9	1
Regional Bureau for Latin America and the Caribbean	9	1
TOTAL	278	21

Figure 5. Total Vacancy Months for Policy Specialist Posts by Region During the GCF-III Period (2005–2007)



ANALYSIS OF TARGETED SURVEYS

This annex contains the summary results of the surveys of the policy advisors/specialists and of Resident Representatives. It is organized as follows:

- Summary of the Survey of Policy Advisors/Specialists
- Summary of the Survey of Resident Representatives
- Survey Questions and Responses: Policy Advisors/Specialists
- Survey Questions and Responses: Resident Representatives

SUMMARY OF THE SURVEY OF POLICY ADVISORS/SPECIALISTS

INTRODUCTION

Purpose

The GCF-III funds “a global network of 75 policy specialists—50 of whom are based in the field in Subregional Resource Facilities (SURFs) and regional service centres (RSCs) and 25 at headquarters—covering the 24 service lines under MYFF [Multi-Year Funding Framework].”¹ A survey was undertaken to obtain the viewpoints of the Policy Advisors on the following issues: 1) General characteristics, 2) Reporting and accountability, 3) Nature of the services provided, and 4) Views on the GCF-IV. The questionnaire contained 63 questions and was deployed through the internet-based Zoomerang service. This summary report explores the question: “Are the experiences of headquarter (HQ) and field-based Policy Advisors different?”

Response Rate

The survey was sent to 70 current and former Policy Advisors out of whom 36 (51 percent) responded. Two reminders were sent. There was fairly even regional and practice area distribution (especially between Headquarters-based and field-based Policy Advisors). However, there were no respondents from the Capacity Development or HIV/AIDS groups, leaving gaps of data for these two practice areas. Potential biases may have arisen because respondents may be more familiar with the global programme than those who did not respond. Although the response rate was not optimal, the results can be generalized to the population of Policy Advisors as there was good regional distribution.

SUMMARY OF FINDINGS

General Characteristics of Respondents

Approximately 70 percent of respondents had been a Policy Advisor during the GCF-III period—and almost half of all respondents had been a Policy Advisor for even longer. The majority of respondents are at the L5 position level (56 percent, n=20/36), however, regional differences exist. Headquarters-based Policy Advisors were more likely to be a L5 or higher position than field-based Policy Advisors. 69 percent of all respondents are male, while 31 percent are female. However, 45 percent of Headquarters-based respondents are female, while only 26 percent of field-based respondents are female. In general, respondents at Headquarters and in the field are satisfied with their job: 94 percent would renew their contract. Professional experience rated higher than personal experience: respondents enjoy the

1. The MYFF development drivers provide the principles by which to frame the qualitative contribution of UNDP programming efforts at all levels.

intellectual stimulation but the management arrangements and burdensome reporting requirements challenge work-life balance.

Reporting and Accountability

Field-based Policy Advisors are three times more likely than Headquarters-based Policy Advisors to report “fair” or “poor” clarity of their reporting relationships. All Headquarters-based respondents report to the BDP Practice leader, while the field-based Policy Advisors gave a variety of responses from BDP Practice leader to RSC leader or SURF chief. However, when asked “Who should be your supervisor?”, 47 percent of respondents from the field noted that they think the practice leader should be their direct supervisor. The majority (75 percent) of all respondents (both Headquarters and field) claim the country office (CO) (thus the National Government) is their main client.

Nature of Services Provided

Almost half of all field-based respondents spend 16 weeks or more on mission, while only one Headquarters-based respondent fit into this category. Field-based respondents spend more time supporting CO national counterparts than Headquarters-based Policy Advisors: 42 percent of field-based respondents spend “most of the time” supporting CO counterparts and no Headquarters-based Policy Advisors responded similarly.

About half of all respondents are involved with the GCF-III-funded global projects. However, there is wide variation between Headquarters and the field: 91 percent of Headquarters-based Policy Advisors are involved with global projects compared with only 38 percent of field-based Policy Advisors. Approximately 30 percent of respondents rated the quality and effectiveness of global projects as “excellent” and 25 percent responded that the global projects are “fair”.

However, knowledge products are highly regarded by the respondents, with the quality ranking higher than the utility: 91 percent of all

respondents rated the quality of knowledge products as either “excellent” or “good” while 72 percent rated the utility as either “excellent” or “good”, while the “fair” and “poor” categories were dominated by field-based Policy Advisor respondents. Practice-level analysis demonstrates that Policy Advisors tend to be more active in their respective practice area knowledge network than any of the other networks. However, the majority of Policy Advisors rated involvement in their own knowledge network as only “somewhat active”. The vast majority (71 percent) of respondents rate the usefulness of the knowledge networks as “excellent” or “good”.

Wider Views and Views on the GCF-IV

On the whole, 60 percent of respondents rated the quality and effectiveness of the GCF-III as “excellent” or “good” and 85 percent responded that the GCF-III “certainly” or “somewhat” positioned UNDP as a knowledge-based organization and major upstream policy advisor on global issues. The main theme throughout the commentary was the unsatisfactory management arrangements. Ranging from lack of leadership to frequent institutional change, Policy Advisors at both Headquarters and in the field see management issues as the main challenge and constraint affecting the success of the Policy Advisors’ work. The field-based Policy Advisors were very vocal about the time constraints they are faced with while trying to meet the demands of the country offices and satisfy regional and global requirements and the lack of support between the Headquarters and the field.

When asked, “What are the major impacts of your work?”, Headquarters-based Policy Advisors focused on the impact of their work on the global level: positioning UNDP as a key player within their respective field (trade, rule of law, environment, gender, etc.). On the other hand, field-based Policy Advisors focused on the impact of their work at the local level: positioning UNDP as a trusted player at the local and regional level by building capacity and/or increasing knowledge of the national government via the CO.

CONCLUSIONS

The survey analysis demonstrated that there are differences (although not tested to be statistically significant) between the Headquarters-based and field-based Policy Advisors. The differences center on the management arrangements and the nature of services provided. Although both Headquarters and field-based Policy Advisors claim the CO (and, by implication, the programme country government) to be their main client—the field-based Policy Advisors report more time spent providing direct CO support than the Headquarters-based Policy Advisors. Additionally, field-based Policy Advisors report the impact of their work to be at the CO level, while the Headquarters-based Policy Advisors report the impact of their work to be at a more global or institutional level. Although no differences between the global and field-based Policy Advisors are stipulated in the programme document,² one may conclude that the role of the Policy Advisor varies between Headquarters and the field. However, although not the case in every practice area or in every region, by and large, the field-based Policy Advisors do not obtain the level of support they would wish to receive from Headquarters.

SUMMARY OF THE SURVEY OF RESIDENT REPRESENTATIVES

INTRODUCTION

Purpose

The survey was designed to gauge the performance of the GCF-III from the perspective of Resident Representatives and Country Directors. An important objective of the survey was to understand the responsiveness of the GCF-III to country office demand, as generated through the GCF-III modalities of delivery.

Response Rate

The survey was sent to 146 Resident Representatives (RRs)/Resident Coordinators (RCs) and Country

Directors (CDs) from 119 countries and 2 regional centres. A total of 33 responses were received representing a fairly low (23 percent) response rate. However, there is fairly good regional representation—with the Regional Bureau for Arab States (RBAS) and Regional Bureau Africa (RBA) somewhat under-represented. The low number of respondents per region does not allow for a meaningful regional analysis, and generalizations to the wider RR/RC/CD population must be drawn with caution. An additional limitation is self-selection bias: i. e. respondents may be more aware of the GCF-III than non-respondents. Additionally, as it is not possible to determine which countries responded, some may have been involved with the evaluation through the country missions and are thus more knowledgeable about the GCF-III.

SUMMARY OF FINDINGS

Objectives, Principles and Rationale of the Current Global Programme

When viewed as a whole, the majority (77 percent) of respondents stated that the GCF-III, “to some” or “to a small extent”, reached its objectives, principles and rationale. The majority of respondents (62 percent) stated that the GCF-III only “to a small extent” has developed and promoted innovative approaches in addressing development challenges that were applied in their country. Similarly, 50 percent (n=16) of respondents stated that the GCF-III, only “to a small extent”, increased opportunities for South-South cooperation and facilitated the exchange of South-South expertise.

These results indicate that either the respondents are not aware of the achievements of the GCF-III (“don’t know” was not an option) or that they feel that the GCF-III has not reached its objectives, principles and rationale as stipulated in the GCF-III programme document. A common theme was the difficulty attributing results directly to the GCF-III. However, as one respondent noted, the fact that one cannot

2. Global Programme Document Section VI, p. 16.

identify results specific to the GCF-III may demonstrate that it has been fully streamlined, which is a positive trend. However, this also poses challenges in identifying accountability and assessing achievements.

The GCF-III Modalities of Delivery

Performance of Policy Advisors. Overall, the GCF-III Policy Advisory services were reported as not in high demand: 58 percent responded that the services are either “not very important” or “not important”. However, when asked how important providing policy advice was to the work of the CO over the GCF-III period, 58 percent responded either “very important” or “somewhat important”. Conversely, comparative research referrals, mutual support initiatives, research and analysis, and resource mobilization ranked low in demand, which may potentially demonstrate the demand for very specific services instead of the broad range made available to the CO. Between 61-67 percent of respondents demand policy advisory services from the Environment and Energy Group (EEG), Democratic Governance Group (DGG), and Poverty/Millennium Development Goal (MDG) Group and between 41-47 percent of respondents demand policy advisory services from Gender, HIV/AIDS and the Capacity Development Group (CDG).

Global Projects. About half of the respondents reported that they are familiar, “to some extent”, with the global projects. However, the majority responded that the global projects only “to a small extent” made a direct contribution to country development results. The global projects did not draw upon the country experiences of the majority of respondents: approximately 72 percent of respondents’ countries were not involved in the global projects as a case study and 77 percent responded that there has never been a global project pilot initiative in their country. However, at least one respondent from each region was represented for those projects where the CO was involved as a case study or pilot initiative. Although a few RR/RC/CD’s reported that the projects draw upon their country experience, it

may be concluded that the global projects are not, “to a great extent”, reaching or drawing from the country level.

Knowledge Management and Knowledge Products. The majority (74 percent) either “strongly agrees” or “agrees” that the global programme knowledge networks and communities of practice have been important mechanisms for knowledge sharing. In particular, the knowledge networks are regarded highly: 79 percent of respondents either strongly agree or agree that the networks have been important mechanisms for the exchange and sharing of knowledge. On the other hand, many stated that the knowledge products are not responding to the needs at the country level as indicated by the split response between the categories. The thematic centres (Oslo Governance Centre [OGC], International Poverty Centre [IPC] and Drylands Development Centre [DDC]) knowledge products received the lowest scores in terms of usefulness.

The GCF-III Governance and Management. The respondents were split almost 50/50 regarding whether their respective RSC/SURF meets the demands of the country offices in a cost-effective manner through the provision of services and support of the GCF-III-funded policy advisors. The majority (90 percent) of respondents would like to have a range of internal and external options in acquiring Policy Advisor services and support (n=30/33 fell in the “agree” or “strongly agree” categories). Additionally, 68 percent of respondents “disagree” or “strongly disagree” that the allocation and management of policy advisor resources is a good reflection of demand. Around 62 percent of respondents rated the overall performance of the RSC/SURF Policy Advisors as “acceptable” or “poor”. Approximately 62 percent of respondents either “disagreed” or “strongly disagreed” that the current matrix management system between BDP and the regional bureaux is effective and the commentary received in this section stressed the perceived ineffectiveness of the matrix management system. Regarding BDP management of the GCF-III, respondents did not

believe that the GCF-III has been open, transparent and accountable (65 percent, n=19/29 disagreed that it was transparent). However, respondents agree that the GCF-III should be centrally managed by BDP (65 percent). Additionally, the vast majority (84 percent) of respondents agree that BDP should continue to lead and manage the UNDP knowledge management function.

The GCF-III IV Formulation. The majority believe that the GCF-III should continue to support: positioning UNDP as a global leader in development policy, UNDP-wide practice coherence, UNDP regional centres, development innovation, development policy research and development and backstopping support to the COs. However, respondents were split almost 50/50 regarding whether to support UNDP-wide organizational change and staffing support to BDP. The majority of respondents “agree” or “strongly agree” that the GCF-IV should continue regional and global knowledge networks and develop corporate and country-specific knowledge products. The general comments received on the suggested direction of the GCF-IV were varied. Some respondents suggested working in areas of UNDP comparative advantage, highlighting priority thematic areas such as climate change and poverty reduction, while others focused on operational mechanisms, such as the need for direct country office funding and support.

CONCLUSION

Based on the survey results, respondents of this survey felt the GCF-III had not achieved the objective of responding to country-level demand. The survey illustrates the lack of ability of the GCF-III to leverage country office experience and the generally poor knowledge or clarity regarding the GCF-III activities. Knowledge management emerged as one of the more successful areas of the GCF-III, particularly the knowledge networks, and as a priority area for the GCF-IV. In general, the respondents stated that the current objectives and principles should remain. However improvements in the operationalization of the global programme are necessary.

SURVEY QUESTIONS AND RESPONSES: POLICY ADVISORS/SPECIALISTS

Note that numbers may not add up due to rounding.

GENERAL

1. Location		
Bangkok RSC	5	14%
Beirut SURF	6	17%
Bratislava RSC	3	9%
Colombo RSC	3	9%
Dakar RSC	2	6%
Johannesburg RSC	2	6%
New York	11	31%
Panama SURF	3	9%
Port of Spain SURF	0	0%
Total	35	100%

2. Practice Area		
Poverty/MDG	13	36%
Governance	13	36%
Environment & Energy	7	19%
HIV/AIDS	0	0%
Gender	3	8%
Capacity development	0	0%
Other, please specify	0	0%
Total	36	100%

3. Position Level		
L3	0	0%
L4	11	31%
L5	20	56%
L6	3	8%
Other, please specify	2	6%
Total	36	100%

4. How long have you been, or were you, a Policy Advisor?		
< 1yrs	3	8%
1 to 2 yrs	2	6%
2 to 3 yrs	6	17%
3 to 4 yrs	8	22%
> 5 yrs	17	47%
Total	36	100%

5. Sex		
Male	24	69%
Female	11	31%
Total	35	100%

6. Age		
Below 30	0	0%
30-39	8	22%
40-49	13	36%
50 and above	15	42%
Total	36	100%

7. Family		
With Family	28	78%
Without Family	8	22%
Total	36	100%

8. Would you accept an offer to extend or renew your contract?		
Yes	33	94%
No	2	6%
Total	35	100%

9. Overall, how would you rate your own professional experience as a Policy Advisor (i.e. in terms of developing and applying your professional expertise)?		
Excellent	17	47%
Good	15	42%
Fair	4	11%
Poor	0	0%
Total	36	100%
10. If you have any additional comments on the question above, please provide them here.		
18 Responses		

11. Overall, how would you rate your 'personal' experience working as a Policy Advisor (i.e. in terms of developing new relationships, enjoying the work, general learning experience, work-life balance)?		
Excellent	7	19%
Good	19	53%
Fair	8	22%
Poor	2	6%
Total	36	100%
12. If you have any additional comments on the question above, please provide them here.		
20 Responses		

13. In your role as a Policy Advisor, how would you rate, in general terms, your contribution to or impact on:				
Top number is the count of respondents selecting the option. Bottom number is the percentage of the total respondents selecting the option.	Excellent	Good	Fair	Poor
BDP	10	17	8	1
	28%	47%	22%	3%
Regional Service Centre or SURF	13	14	8	0
	37%	40%	23%	0%
Country Offices	13	14	8	1
	36%	39%	22%	3%
Corporate UNDP	7	14	14	1
	19%	39%	39%	3%
National Governments	8	17	7	4
	22%	47%	19%	11%
14. If you have any additional comments on the question above, please provide them here.				
16 Responses				

15. How important do you consider the following skills to be for the work that you do?				
Top number is the count of respondents selecting the option. Bottom number is the percentage of the total respondents selecting the option.	Very Important	Important	Somewhat Important	Not Important
Specialist or Technical Skills in Your Practice Area	27	8	1	0
	75%	22%	3%	0%
Communication (verbal)	19	17	0	0
	53%	47%	0%	0%
Communication (written)	24	11	1	0
	67%	31%	3%	0%
Ability to Work in Teams	17	15	4	0
	47%	42%	11%	0%
Adaptability	20	15	1	0
	56%	42%	3%	0%
Flexibility	17	17	2	0
	47%	47%	6%	0%
Pro-active, responsive	22	14	0	0
	61%	39%	0%	0%
Networking	20	11	4	0
	57%	31%	11%	0%
Team Management	6	22	7	0
	17%	63%	20%	0%
Programme Management	7	18	9	1
	20%	51%	26%	3%
16. If you have any additional comments on the question above, please provide them here.				
6 Responses				

17. Are you interested in a long-term career in UNDP?		
Yes	30	83%
No	6	17%
Total	36	100%
18. If 'Yes', are you interested in moving out of the Policy Advisor position?		
Yes	17	61%
No	11	39%
Total	28	100%

19. Overall, how would you rate your satisfaction with your job?		
Very satisfied	16	46%
Somewhat satisfied	16	46%
Not very satisfied	3	9%
Not satisfied	0	6%
Total	35	0%
20. If you have any additional comments on the question above, please provide them here.		
7 Responses		

REPORTING AND ACCOUNTABILITY

21. Who is your immediate supervisor?		
RSC Director	8	22%
SURF Chief	4	11%
BDP Practice Director	15	42%
Regional Bureau Director	0	0%
Other, please specify	9	25%
Total	36	100%

22. Who do you think should be your immediate supervisor?
29 Responses

25. Who do you consider to be your major client?		
Country Office	23	64%
National Government of countries served	5	14%
Corporate UNDP	1	3%
BDP	0	0%
RSC	0	0%
Regional Bureau	0	0%
Other, please specify	7	19%
Total	36	100%

23. How would you rate the clarity of your reporting relationships?		
Excellent	9	26%
Good	18	51%
Fair	3	9%
Poor	5	14%
Total	35	100%

24. If you have any additional comments on the question above, please provide them here.
15 Responses

NATURE OF THE SERVICES THAT YOU PROVIDE

26. What percentage of your time do you work in teams as opposed to on your own										
Top number is the count of respondents selecting the option. Bottom number is the percentage of the total respondents selecting the option.	<10	11-20	21-30	31-40	41-50	51-60	61-70	71-80	81-90	>90
Team	3	3	10	5	2	3	6	4	0	0
	8%	8%	28%	14%	6%	8%	17%	11%	0%	0%

27. For the time that you spend in teams, how much of your time do you spend on:					
Top number is the count of respondents selecting the option. Bottom number is the percentage of the total respondents selecting the option.	All of the time	Most of the time	Half of the time	Some of the time	None of the time
Your Practice Teams	3	10	10	13	0
	8%	28%	28%	36%	0%
Cross-practice Teams	0	3	2	29	2
	0%	8%	6%	81%	6%
Other Types of Teams (e.g. country office)	1	7	12	15	0
	3%	20%	34%	43%	0%

28. How much of your time do you spend supporting:					
Top number is the count of respondents selecting the option. Bottom number is the percentage of the total respondents selecting the option.	All of the time	Most of the time	Half of the time	Some of the time	None of the time
Country Office National Counterparts	1	11	6	14	4
	3%	31%	17%	39%	11%
Internal Country Office Staff and Processes	2	5	4	16	7
	6%	15%	12%	47%	21%
Regional Service Centres/SURFs	1	3	4	25	0
	3%	9%	12%	76%	0%
BDP	1	3	6	24	0
	3%	9%	18%	71%	0%
Regional Bureau	1	3	4	24	2
	3%	9%	12%	71%	6%
Corporate UNDP	2	5	3	19	6
	6%	14%	9%	54%	17%
29. If you have any additional comments on the question above, please provide them here.					
9 Responses					

30. How much of your time do you spend on the following services?					
Top number is the count of respondents selecting the option. Bottom number is the percentage of the total respondents selecting the option.	All of the time	Most of the time	Half of the time	Some of the time	None of the time
Policy Advice	3	16	8	9	0
	8%	44%	22%	25%	0%
Referral Services	0	3	4	26	3
	0%	8%	11%	72%	8%
Technical Support Services	1	8	3	22	1
	3%	23%	9%	63%	3%
Programme and Project Development	0	6	6	24	0
	0%	17%	17%	67%	0%
Support to UN Coordination	0	3	4	24	5
	0%	8%	11%	67%	14%
Knowledge Management	0	5	10	21	0
	0%	14%	28%	58%	0%
Monitoring and Reporting	0	5	1	29	1
	0%	14%	3%	81%	3%
Training and Capacity Building	0	6	6	22	1
	0%	17%	17%	63%	3%
Research and Analysis	0	6	7	22	0
	0%	17%	20%	63%	0%
31. If you have any additional comments on the question above, please provide them here.					
8 Responses					

32. On average, how many hours over and above the regular work week (37.5 hrs) do you work?

0	0	0%
<5	1	3%
5-10	11	31%
11-15	11	31%
16-20	8	23%
>20	4	11%
Total	35	100%

33. If you have any additional comments on the question above, please provide them here.

11 Responses

34. Over the past year, approximately how many weeks did you spend on mission?

0	0	0%
<5	5	14%
5-10	8	23%
11-15	10	29%
16-20	5	14%
>20	7	20%
Total	35	100%

35. If you have any additional comments on the question above, please provide them here.

6 Responses

36. Ideally, what percentage of your time should you spend on mission as opposed to in your duty station?

Top number is the count of respondents selecting the option. Bottom number is the percentage of the total respondents selecting the option.	<10	11-20	21-30	31-40	41-50	51-60	61-70	71-80	81-90	> 90%
Missions	1	4	11	10	5	3	1	1	0	0
	3%	11%	31%	28%	14%	8%	3%	3%	0%	0%

37. If you have any additional comments on the question above, please provide them here.

7 Responses

38. Which are the main countries that you support (missions and desk services) in priority order?

31 Responses

39. How many countries do you support (missions and desk services) per year?

35 Responses

40. In your opinion, what is the optimum number of countries that you should support (missions and desk services) per year?

32 Responses

41. Are you involved in the implementation of activities funded by one of the (GCF-III) global projects?		
Yes	20	56%
No	16	44%
Total	36	100%

44. Are you involved in the implementation of activities funded by a Thematic Trust Fund?		
Yes	23	66%
No	12	34%
Total	35	100%

42. How do you rate the quality and effectiveness of the global projects in your practice area?		
Excellent	10	31%
Good	12	38%
Fair	8	25%
Poor	2	6%
Total	32	100%

45. How do you rate the quality and effectiveness of the TTF funded activities in your practice area?		
Excellent	12	38%
Good	13	41%
Fair	5	16%
Poor	2	6%
Total	32	100%

43. If you have any additional comments on the question above, please provide them here.
11 Responses

46. If you have any additional comments on the question above, please provide them here.
13 Responses

47. Which are the most important 1-3 knowledge products you have contributed to?
33 Responses

48. How do you rate the quality and utility of the knowledge products in your practice area?				
Top number is the count of respondents selecting the option. Bottom number is the percentage of the total respondents selecting the option.	Excellent	Good	Fair	Poor
Quality	12	21	3	0
	33%	58%	8%	0%
Utility	8	18	8	2
	22%	50%	22%	6%

49. If you have any additional comments on the question above, please provide them here.
10 Responses

50. How would you rate your level of activity in the following knowledge networks and practice communities (i.e. in terms of reading and responding to the e-mails)? (Main Practice and Cross-cutting Area Networks)				
Top number is the count of respondents selecting the option. Bottom number is the percentage of the total respondents selecting the option.	Active	Somewhat active	Not very active	Not active
Democratic Governance Practice Network (DGP Net)	6	6	14	7
	18%	18%	42%	21%
Poverty Reduction Practice Network (PR Net)	3	16	8	6
	9%	48%	24%	18%
Energy and Environment Practice Network (EE Net)	3	3	7	19
	9%	9%	22%	59%
HIV/AIDS Practice Network	0	2	5	24
	0%	6%	16%	77%
Capacity Development Network (Capacity Net)	1	5	11	14
	3%	16%	35%	45%
Gender Equality Network (Gender Net)	2	8	10	11
	6%	26%	32%	35%
Prevention and Recovery Practice Network (CPRPNet)	3	3	11	16
	9%	9%	33%	48%
51. If you have any additional comments on the question above, please provide them here.				
5 Responses				

52. Other Networks				
Top number is the count of respondents selecting the option. Bottom number is the percentage of the total respondents selecting the option.	Active	Somewhat active	Not very active	Not active
Evaluation Network (EvalNet)	1	3	5	21
	3%	10%	17%	70%
Management Practice Network (MPN)	2	2	10	17
	6%	6%	32%	55%
Millenium Development Goals Network (MDG-net)	3	9	7	11
	10%	30%	23%	37%
Human Rights Network (HuriTALK)	3	4	2	20
	10%	14%	7%	69%
Decentralization, local governance and urban/rural development (DLGUD)	3	9	11	10
	9%	27%	33%	30%
HDR Statistics Network	2	3	4	20
	7%	10%	14%	69%
Information and Communications Technology for Development Network (ICTD Net)	1	1	5	20
	4%	4%	19%	74%
Small Enterprise and Micro-Finance Network (SEMFNet)	2	2	2	24
	7%	7%	7%	80%
53. If you have any additional comments on the question above, please provide them here.				
6 Responses				

54. How would you rate the usefulness of these networks?		
Excellent	7	20%
Good	18	51%
Fair	9	26%
Poor	1	3%
Total	35	100%

55. What percentage of your time do you spend accessing/inputting to these networks?		
<10	24	67%
11-20	11	31%
21-30	1	3%
31-40	0	0%
>40	0	0%
Total	36	100%

WIDER ISSUES

56. Describe one activity or support service that you consider to have been highly successful, and why (please indicate where we might obtain further information)?

34 Responses

57. What do you consider to be the major 'impacts' of your work?

34 Responses

58. What are the main constraints affecting the success of your work?

34 Responses

59. How do you rate the quality and effectiveness of the Third Global Cooperation Framework (2005-07) as a whole?

Excellent	6	18%
Good	14	42%
Fair	13	39%
Poor	0	0%
Total	33	100%

43. If you have any additional comments on the question above, please provide them here.

11 Responses

61. Has the GCF-III sufficiently contributed to positioning UNDP as a knowledge-based organization and major upstream policy advisor on global issues?

Yes, certainly	14	41%
Yes, somewhat	15	44%
No, not much	4	12%
No, not at all	1	3%
Total	34	100%

62. If you have any additional comments on the question above, please provide them here.

8 Responses

63. Are there any other comments, suggestions or advice that you would like to provide on the design of a Fourth Global Cooperation Framework (GCF-IV) and/or the role of the Policy Advisor in the GCF-IV?

16 Responses

SURVEY QUESTIONS AND RESPONSES: RESIDENT REPRESENTATIVES/COUNTRY DIRECTORS

VIEWS ON OVERALL RELEVANCE OF THE GLOBAL PROGRAMME

1. Location of country office (CO)		
Africa	9	26%
Arab States	4	12%
Asia and the Pacific	7	21%
Europe and the Commonwealth of Independent States	6	18%
Latin America and the Caribbean	8	24%
Total	34	100%

2. This question relates to the objectives, principles and rationale of the current global programme				
Top number is the count of respondents selecting the option. Bottom number is the percentage of the total respondents selecting the option.	To a great extent	To some extent	To a small extent	Not at all
The global programme supported my country in achieving the Millennium Development Goals (MDGs).	2	12	16	4
	6%	35%	47%	12%
The Global Programme ensured that in my country, development assistance, advice, programme design and capacity-building efforts drew on global best practices and expertise.	2	16	10	5
	6%	48%	30%	15%
The global programme ensured that gender perspectives were reflected and integrated through projects and practice areas.	4	8	12	8
	12%	25%	38%	25%
The global programme codified experience into knowledge products (such as practice notes and 'how-to' guides) that were used by UNDP and its partners in identifying policy options in my country.	6	14	8	5
	18%	42%	24%	15%
The global programme has developed and promoted innovative approaches in addressing development challenges that were applied in my country.	1	9	20	2
	3%	28%	62%	6%
The global programme increased opportunities for South-South cooperation and facilitated the exchange of South-South expertise.	1	8	16	7
	3%	25%	50%	22%
The global programme supported strategic partnerships to expand access to the global knowledge base that helped identify policy options relevant to my country.	1	9	18	4
	3%	28%	56%	12%
The global programme contributed to transforming UNDP into a globally networked, knowledge-based organization, connecting countries to knowledge, experience, technology and resources.	6	11	12	4
	18%	33%	36%	12%
The global programme responded to the national development priorities in my country.	0	14	12	7
	0%	42%	36%	21%
The global programme has been important to UNDP's work at the global level.	7	17	8	0
	22%	53%	25%	0%
The global programme has helped position UNDP as a global leader in development policy thinking.	2	15	10	4
	6%	48%	32%	13%
3. If you have any additional comments on the question above, please provide them here.				
9 Responses				

VIEWS ON THE PERFORMANCE OF GCF-III FUNDED POLICY ADVISORS

4. How important were the following types of services provided by the BDP GCF-funded Policy Advisors to the work of the CO over the period 2005-2007?				
Top number is the count of respondents selecting the option. Bottom number is the percentage of the total respondents selecting the option.	Very Important	Somewhat Important	Not Very Important	Not Important
Providing Policy Advice	6	14	8	6
	18%	41%	24%	18%
Providing Technical Expertise & CO Backstopping	11	7	11	5
	32%	21%	32%	15%
Referrals (experts)	4	18	7	5
	12%	53%	21%	15%
Referrals (comparative research)	0	11	14	9
	0%	32%	41%	26%
Mutual Support Initiatives	0	15	11	8
	0%	44%	32%	24%
Research and Analysis	1	12	11	9
	3%	36%	33%	27%
Building CO Capacity (training etc.)	5	4	17	7
	15%	12%	52%	21%
Resource Mobilization	1	4	13	16
	3%	12%	38%	47%
5. If you have any additional comments on the question above, please provide them here.				
6 Responses				

6. How important was the availability of BDP GCF-funded Policy Advisors to the work of the CO in the following BDP Practice and Cross-Practice Areas over the period 2005-2007?				
Top number is the count of respondents selecting the option. Bottom number is the percentage of the total respondents selecting the option.	Very Important	Somewhat Important	Not Very Important	Not Important
Poverty and the MDGs	5	17	6	6
	15%	50%	18%	18%
Energy and Environment	8	15	7	4
	24%	44%	21%	12%
Democratic Governance	7	14	8	5
	21%	41%	24%	15%
HIV/AIDS	3	11	12	7
	9%	33%	36%	21%
Capacity Development	7	7	11	9
	21%	21%	32%	26%
Gender	4	12	8	10
	12%	35%	24%	29%
7. If you have any additional comments on the question above, please provide them here.				
4 Responses				

VIEWS ON THE PERFORMANCE OF GCF-III FUNDED POLICY ADVISORS

8. Approximately \$32 million of core funds was budgeted for 'targeted global projects' over the period 2005–2006.				
Top number is the count of respondents selecting the option. Bottom number is the percentage of the total respondents selecting the option.	To a great extent	To some extent	To a small extent	Not at all
I am familiar with global projects.	2	17	12	3
	6%	50%	35%	9%
Global projects have made a direct contribution to the achievement of development results in my country.	2	4	18	10
	6%	12%	53%	29%
9. If you have any additional comments on the question above, please provide them here.				
1 Responses				

10. To what extent did global projects draw upon country experiences?		
Top number is the count of respondents selecting the option. Bottom number is the percentage of the total respondents selecting the option.	Yes	No
Global projects have used case studies from my country.	10	23
	30%	70%
Global projects have piloted approaches or initiatives in my country.	8	24
	25%	75%

KNOWLEDGE MANAGEMENT AND GCF-FUNDED KNOWLEDGE PRODUCTS

11. The global programme funds and supports interregional knowledge transfer through virtual knowledge networks and production of knowledge products, primarily by BDP					
Top number is the count of respondents selecting the option. Bottom number is the percentage of the total respondents selecting the option.	Strongly Agree	Agree	Disagree	Strongly Disagree	Don't Know
The global programme enhanced knowledge sharing through the communities of practice at the country, regional and global levels.	4	24	3	1	2
	12%	71%	9%	3%	6%
The communities of practice enabled practitioners from UNDP, the United Nations and programme countries to come together and define how specific UNDP priorities can be made directly relevant to specific national and regional realities.	4	17	8	2	3
	12%	50%	24%	6%	9%
The knowledge networks have been important mechanisms for the exchange and sharing of knowledge and information.	6	21	4	0	3
	18%	62%	12%	0%	9%
Knowledge products supported by the global programme responded to requests and needs from national counterparts.	3	10	13	3	5
	9%	29%	38%	9%	15%
The development of knowledge products has been based on real country experiences.	4	15	8	1	6
	12%	44%	24%	3%	18%
My CO was consulted in the development of some of the BDP produced knowledge products.	3	10	14	4	3
	9%	29%	41%	12%	9%
BDP knowledge products are practical and readily adaptable to meeting needs within my country.	1	14	10	4	4
	3%	42%	30%	12%	12%
12. If you have any additional comments on the question above, please provide them here.					
4 Responses					

13. Generally, how useful does your office find the various products produced by BDP and the Thematic Centers?

Top number is the count of respondents selecting the option. Bottom number is the percentage of the total respondents selecting the option.	Very Useful	Somewhat Useful	Marginally Useful	Not Useful	Have Not Seen
Policy Series – including practice notes and policy briefs/notes	3	17	9	3	2
	9%	50%	26%	9%	6%
Practitioner Series – including practice tools for COs and “how-to” guides or manuals	5	16	7	2	4
	15%	47%	21%	6%	12%
Research Series – includes case studies, analytical reports, discussion papers and intelligence briefs on emerging issues	2	14	11	4	3
	6%	41%	32%	12%	9%
Knowledge Management Series – includes consolidated replies from networks and e-discussion summaries	6	17	9	2	0
	18%	50%	26%	6%	0%
Knowledge Management Series – includes compilations of comparative experiences, good practices and lessons learned	6	17	6	3	2
	18%	50%	18%	9%	6%
Websites and Workspaces	3	15	8	5	3
	9%	44%	24%	15%	9%
Oslo Governance Centre (applied research and analytical work)	1	13	10	6	4
	3%	38%	29%	18%	12%
Brasilia Poverty Center (applied research and analytical work)	1	8	10	4	10
	3%	24%	30%	12%	30%
Nairobi Drylands Development Centre (applied research and analytical work)	1	3	7	5	18
	3%	9%	21%	15%	53%

14. If you have any additional comments on the question above, please provide them here.

1 Responses

15. Which BDP knowledge products do you consider to have been most useful in the work of your office?

16 Responses

GCF GOVERNANCE AND MANAGEMENT

16. This question touches upon selected aspects of the management of the RSC/SURF.					
Top number is the count of respondents selecting the option. Bottom number is the percentage of the total respondents selecting the option.	Strongly Agree	Agree	Disagree	Strongly Disagree	Don't Know
Generally, the RSC/SURF is a cost-effective mechanism for meeting the programme demands of my country office.	4	12	11	6	1
	12%	35%	32%	18%	3%
The provision of services and support of the GCF-funded Policy Advisors responds well to the priority demands from the COs.	3	13	11	7	0
	9%	38%	32%	21%	0%
GCF-funded Policy Advisor services are a cost-effective means to meeting CO demands.	4	12	12	5	1
	12%	35%	35%	15%	3%
My CO would prefer to have a range of internal and external options in acquiring Policy Advisor services and support.	16	15	3	0	0
	47%	44%	9%	0%	0%
The current system of matrix management between the regional Bureaux and BDP is effective.	0	10	10	10	3
	0%	30%	30%	30%	9%
The allocation and management of GCF-funded Policy Advisor resources responds to the priorities and demands of the country offices.	2	8	15	7	2
	6%	24%	44%	21%	6%
The RSC/SURF Board is an effective means of management oversight and direction.	1	16	9	5	3
	3%	47%	26%	15%	9%
17. If you have any additional comments on the question above, please provide them here.					
5 Responses					

18. As the main client of the SURF/RSC GCF-funded Policy Advisors, how would you rate general performance on...					
Top number is the count of respondents selecting the option. Bottom number is the percentage of the total respondents selecting the option.	Very Good	Good	Acceptable	Poor	Does Not Apply
Delivery	3	11	10	7	3
	9%	32%	29%	21%	9%
Timeliness	1	8	7	13	4
	3%	24%	21%	39%	12%
Quality of Work	5	13	8	5	3
	15%	38%	24%	15%	9%
Quantity of Work	1	9	12	8	4
	3%	26%	35%	24%	12%
Responsiveness	3	12	13	4	2
	9%	35%	38%	12%	6%
Client Relationships	1	11	14	4	4
	3%	32%	41%	12%	12%
Continuity of Support	4	5	15	7	3
	12%	15%	44%	21%	9%
Degree to which GCF-funded services complemented regional programme support modalities	0	5	15	7	5
	0%	16%	47%	22%	16%
19. If you have any additional comments on the question above, please provide them here.					
3 Responses					

20. This question touches upon selected aspects of BDP management of the Global Programme.					
Top number is the count of respondents selecting the option. Bottom number is the percentage of the total respondents selecting the option.	Strongly Agree	Agree	Disagree	Strongly Disagree	Does Not Apply
My country office and government counterparts were consulted in the design of the current global programme.	0	5	14	10	4
	0%	15%	42%	30%	12%
My country office and government counterparts should be consulted in the design of the next global programme (GCF-IV).	12	16	4	1	1
	35%	47%	12%	3%	3%
The management of the global programme by BDP has been open, transparent and accountable.	1	9	14	5	4
	3%	27%	42%	15%	12%
The global programme should continue to be centrally managed by BDP.	3	16	7	3	5
	9%	47%	21%	9%	15%
The majority of core GCF resources should fund BDP posts in HQ [Headquarters] and the regions (i.e. Policy Advisors and other specialists).	4	13	12	5	0
	12%	38%	35%	15%	0%
BDP should continue to lead and manage the UNDP-wide Knowledge Management function.	7	22	4	1	0
	21%	65%	12%	3%	0%
21. If you have any additional comments on the question above, please provide them here.					
8 Responses					

SUGGESTIONS ON THE DESIGN AND PRIORITIES FOR GCF-IV

22. What are your general suggestions for the priorities and focus of GCF-IV over the period 2009 - 2011?
14 Responses

23. In the area of knowledge management, the GCF-IV should be used to ...					
Top number is the count of respondents selecting the option. Bottom number is the percentage of the total respondents selecting the option.	Strongly Agree	Agree	Disagree	Strongly Disagree	Does Not Apply
Strengthen Communities of Practice	10	19	4	0	1
	29%	56%	12%	0%	3%
Strengthen Global Knowledge Networks	6	24	4	0	0
	18%	71%	12%	0%	0%
Support Regional Knowledge Networks	9	21	4	0	0
	26%	62%	12%	0%	0%
Develop Corporate-level Knowledge Products	17	13	2	2	0
	50%	38%	6%	6%	0%
Develop Country-specific Knowledge Products	10	15	5	2	0
	31%	47%	16%	6%	0%
24. If you have any additional comments on the question above, please provide them here.					
4 Responses					

25. GCF-IV should continue to support ...					
Top number is the count of respondents selecting the option. Bottom number is the percentage of the total respondents selecting the option.	Strongly Agree	Agree	Disagree	Strongly Disagree	Does Not Apply
Efforts to position UNDP as global leader in development policy thinking	22	9	3	0	0
	65%	26%	9%	0%	0%
UNDP-wide Organizational Change	3	13	12	5	1
	9%	38%	35%	15%	3%
UNDP-wide Practice Coherence	8	23	2	0	1
	24%	68%	6%	0%	3%
UNDP Regional Centres	10	12	6	5	1
	29%	35%	18%	15%	3%
Development Innovation	15	13	3	1	1
	45%	39%	9%	3%	3%
Development Policy Research and Development	13	14	3	2	1
	39%	42%	9%	6%	3%
Back-stopping Support to the COs	25	6	2	1	0
	74%	18%	6%	3%	0%
Staffing Support to BDP	6	9	10	7	2
	18%	26%	29%	21%	6%
26. If you have any additional comments on the question above, please provide them here.					
3 Responses					

Annex G

ANALYSIS OF GLOBAL PROJECTS

Italics indicate that the project was randomly selected for the 'substantive analysis' in addition to the project document 'quality scan'.

DEMOCRATIC GOVERNANCE GROUP					
Project Number	Project Title	Expenditure in \$ Million			
		2005	2006	2007	TOTAL
36214	<i>Policy Support for Democratic Governance</i>	0.582			0.582
43381	<i>DGG SL2.7 PAR & AC</i>	0.187			0.187
55651	<i>Comp #1: Strengthening Civil Engagement</i>			0.127	0.127
55652	<i>Comp #2: Effective Electoral Assistance</i>			0.095	0.095
55659	<i>Comp #9: Community of Practice</i>			0.095	0.095
55657	<i>Comp #7: Election Support</i>			0.07	0.07
51127	<i>Service Line 2.5 E-governance</i>		0.029		0.029
40489	<i>Decentralization, Local Governance</i>	0.0003			0.0003

CAPACITY DEVELOPMENT GROUP					
Project Number	Project Title	Expenditure in \$ Million			
		2005	2006	2007	TOTAL
50899	<i>Support to Capacity 2015 Region</i>		0.223	0.500	0.723
11376	<i>PPPUE</i>	0.258		0.007	0.265
34871	<i>Mainstreaming Capacity</i>	0.009	0.076		0.085

HIV/AIDS GROUP					
Project Number	Project Title	Expenditure in \$ Million			
		2005	2006	2007	TOTAL
46453	<i>HIV/AIDS Building Capacity</i>	0.911			0.911
11442	<i>HIV/AIDS Leadership Capacity</i>	0.103			0.103

ENVIRONMENT AND ENERGY GROUP					
Project Number	Project Title	Expenditure in \$ Million			
		2005	2006	2007	TOTAL
56240	<i>GCF Environment and Energy Group</i>			0.993	0.993
50773	<i>UNDP Equator Initiative 2006</i>		0.199		0.199
11416	<i>Poverty and Environment Initiative</i>	0.132			0.132
50593	<i>Climate Change</i>		0.097		0.097
50590	<i>Biodiversity</i>		0.038		0.038

GENDER GROUP					
Project Number	Project Title	Expenditure in \$ Million			
		2005	2006	2007	TOTAL
57465	<i>Gender Team CD Implementation</i>			0.412	0.412
11395	Gender Mainstreaming	0.240			0.240
57463	<i>Gender Team CPR/EE Implementation</i>			0.065	0.065

POVERTY REDUCTION & MDGS					
Project Number	Project Title	Expenditure in \$ Million			
		2005	2006	2007	TOTAL
54273	<i>MDG Support</i>			2.5	2.5
58407	<i>SPPR Cluster Support</i>			0.255	0.255
57638	External Drivers of Development			0.200	0.200
11433	Support to Poverty Reduction	0.056	0.047		0.103
57535	PG-Intellectual Property, Trade			0.075	0.075
52597	<i>Workshop on Systemic Commodity</i>		0.049		0.049
11440	<i>Policy Advice for Economic Alternatives; Campaign for Achieving MDGs</i>	0.025	-0.038		-0.013

CROSS PRACTICE					
Project Number	Project Title	Expenditure in \$ Million			
		2005	2006	2007	TOTAL
44006	<i>IP & Access to Drugs Capacity</i>	0.273	0.247	0.300	0.820
50520	<i>Aid Effectiveness/ National Capacity</i>		0.274	0.200	0.474
45677	Localization of the Millennium Development Goals		0.054	0.200	0.254
52687	<i>Global Initiative on Gearing Macroeconomic Policies to Reverse the HIV/AIDS Epidemic</i>		0.132	0.058	0.190
58284	Government Accountability			0.100	0.100

1. INTRODUCTION

This report is an analysis of a sample of global projects from the third global cooperation framework (GCF-III) 2005-2007 as part of the evaluation of the overall GCF-III. The analysis is in two parts. The first part titled, 'Document Scan of 33 Global Projects' is an analysis of the project documentation of 33 randomly selected projects from the perspective of their conformity with UNDP administrative requirements such as whether the products were signed and whether

they had proper monitoring and evaluation. The second part titled, 'Substantive Assessment of 21 Global Projects' is an analysis of 21 randomly selected projects as a sub-set of the 33 projects for their conformity with selected broad themes such as their linkage with other service lines, focus on outcomes, integration of gender and level of innovation.

The GCF-III has three components: country level policy and programme support through a global network of policy specialists; targeted global

projects and strategic partnerships addressing key development issues affecting countries in multiple regions; and a system of interregional knowledge creation, transfer and codification. The projects reviewed in this report comprise the second component but they also contribute to the third component, which is dedicated toward making UNDP a knowledge institution.

The methodology used was to examine project documentation supplied by BDP in order to determine whether it met criteria developed by the evaluation in a standard template. Some criteria were ranked with a 'yes', 'no' or 'somewhat' while others were ranked 'low', 'medium' or 'high'.

2. THE GCF-III GLOBAL PROJECT PORTFOLIO OVERVIEW

There are 121 projects in the GCF-III portfolio (excluding the policy advisory and knowledge services projects). Global project expenditure of \$33.8 million constitutes 41 percent of the total the GCF-III expenditure of approximately \$81.9

million. At 12 percent of total expenditure, the Poverty Group (PG) is the largest in the GCF-III project portfolio. The Energy and Environment Group (EEG) and Democratic Governance Group (DGG) each make up approximately 8 percent of the total GCF expenditure, followed by Cross-Practice Initiatives (6 percent), HIV/AIDS (4 percent), Capacity Development Group (CDG) (3 percent) and Gender (1 percent).

The distribution of expenditure was based on the global programme document based on country demand as outlined in the multi-year funding framework (MYFF). However, in 2006 the annual actual practice allocations were distributed based on the following 2005 global project performance criteria: absolute resource mobilization in 2005; absolute non-core delivery in 2005; implementation of non-core resources; and the ratio of core to non-core.

Individual project approval was based on the following 2004 criteria: have a clear development

Table 1. Global Programme Targeted Projects: Number of Projects and Expenditure by Theme

Practice	Number of Projects	Total Expenditure ¹	% of Total Expenditure
Policy Support ²	2	48.25	59%
Practice Area			
Democratic Governance	32	6.41 ³	8%
Poverty Group	33	9.54 ⁴	12%
HIV/AIDS	5	2.93	4%
Energy and Environment	18	6.915	8%
Cross Cutting			
Gender	7	1.22	1%
Cross Practice	14	4.58	6%
Capacity Development	10	2.12	3%
TOTAL	121	81.96	100%

1. In \$ millions.

2. The Policy Support Department was created in ATLAS to allow for central management of the policy advisory and knowledge management funds.

3. Includes \$2.9 Million for the Oslo Governance Centre.

4. Includes \$2.67 Million for the International Poverty Centre.

5. Includes \$3.16 Million for the Drylands Development Centre.

* Please note that numbers may not add up due to rounding.

Source: BDP provided dataset: I. Global Programme Projects 2005-2007 V1.3

impact in terms of Millennium Development Goals (MDGs); enhance UNDP visibility; promote new or strengthen existing partnerships; create opportunity for resource mobilization; and contribute to knowledge work.

There is a general correlation between the amount of expenditure and the number of projects in the practice portfolio with some exceptions. For example, HIV/AIDS has higher expenditures than CDG, but HIV/AIDS implemented fewer projects. The same holds for EEG and DGG. EEG has higher expenditures than DGG, but EEG had about half the number of projects of DGG. Although expenditures in the DGG and EEG practices remained fairly constant between 2006 and 2007, the number of projects in DGG more than doubled, while in EEG the number of projects more than halved. This is mainly attributable to EEG moving all previous individual service line projects under one ‘umbrella’ project titled ‘GCF Environment and Energy Group’, while DGG maintained the individual service line project approach.

3. DOCUMENT QUALITY SCAN OF 33 GLOBAL PROJECTS

3.1 INTRODUCTION

Thirty-three projects were selected for the document quality scan (see Table 2 for a breakdown by practice), which represent 27 percent of the total

number of projects and 31 percent of the total expenditures in the portfolio. Distribution over the years of the GCF-III period was fairly equal with 12 projects implemented in 2005, 13 in 2006 and 18 in 2007 (some projects span multiple years). The sample is statistically valid and representative and was randomly chosen.

3.2 PROJECT COVERAGE AND TYPOLOGY

Most projects have a global focus and some projects also focus regionally. Nine projects have a country-level focus. Most often, there is no specification of the region or country of focus. The project document is probably left open so as to leave room to manoeuvre during implementation.

Most GCF-III projects are oriented towards the preparation of knowledge products and other means for sharing knowledge such as workshops, knowledge networks and participation in conferences. Several projects seek to study and develop emerging or novel ideas that will help to position UNDP globally. A few projects actually pilot initiatives at the country level, such as the 50520 Aid Effectiveness Project and the 11416 Poverty and Environment Initiative.

Table 4 shows by practice area and by project the range of project coverage (global, regional, country) and the project typology (staffing, research, knowledge creation/codification, knowledge sharing and pilot projects) for the 33 projects analyzed.

Practice	TOTAL Practice Portfolio	TOTAL Project Analysis	Percentage of TOTAL Practice Portfolio
DGG	32	8	25%
CDG	10	3	30%
HIV/AIDS	5	2	40%
EEG	19	5	26%
Gender	7	3	43%
PG	34	7	20%
Cross Practice	14	5	36%
TOTAL	121	33	27%

Table 3. Global Project Expenditures by Practice

Practice	TOTAL PORTFOLIO (in \$)	Value of Projects Selected for Analysis (in \$)	Percentage of TOTAL Portfolio
DGG	6,408,910	1,196,028	19%
CDG	2,116,609	1,075,354	51%
HIV/AIDS	2,932,292	1,015,561	35%
EEG	6,914,095	1,383,576	20%
Gender	1,226,616	718,073	59%
PG	9,631,128	3,170,043	33%
Cross Practice	4,583,144	1,840,603	40%
TOTAL	33,812,794	10,399,238	31%

3.3 BASIC STRUCTURE, PROCESS AND KEY CONTENTS

The projects under review were assessed against the UNDP and BDP operational procedures for the project pipeline.¹ Some of the requirements were looked at in more depth than others. This section includes a discussion on:

- Structure of project document—were the required sections included?
- Was the project document signed?
- Were Project Appraisal Committee meeting notes submitted?
- Was the Direct Execution modality cleared through resources clearance documentation?

Overall, the majority of projects (54 percent; n=18/33) reviewed followed the UNDP requirements for the structure of the project document (prodoc). However, three types of problems were identified with the structure of project documents resulting in 10 projects categorized as ‘somewhat’ following the UNDP structure.

The project document is from a previous GCF period and a budget or project revision was **not submitted**:

- DGG 40489: the prodoc is from 2004

- HIV/AIDS 11442: the prodoc is from 2004
- Gender 11395: the prodoc is from 2001-2003
- Cross practice 44006: the prodoc is from 2003-4004; a budget revision for 2005 was submitted, but no revisions were submitted for 2006 and 2007

The project document is from a previous global programme period and a budget revision was **submitted**. However, the budget revision does not explicitly describe the intended outputs/activities for the project year:

- DGG 36214: the prodoc is from 2004
- CDG 11376: the prodoc is from 1995

The project document was submitted for the correct global programme period, however there are **missing sections/documents**:

- Cross practice 52687: there is no cover page with budget and signature; no monitoring and evaluation section; workplan is missing
- Cross practice 45677: there is no budget or project revision for 2007 (the expenditures show that no expenditures were made in 2005, but were made in 2006 and 2007)
- Gender 57463 & 57465: the results and resources framework is missing

1. ‘BDP Operational Procedures: Project Life Cycle’, available online at <http://content.undp.org/go/bdp/operations>.

Table 4. Project Coverage and Typology

Practice	Project Number & Title	Project Coverage				Project Typology				
		Global	Region	Country	UNDP Internal	Staffing	Research	Knowledge Creation/Codification	Knowledge Sharing	Pilot Projects
Totals	33	24	9	9	3	4	9	23	20	6
Cross Practice	50520 Aid Effectiveness			X				X	X	
	52687 Macroeconomic Policies	X						X	X	
	58284 Strengthening Government Accountability	X					X			
	45677 Localization of MDGs	X		X			X			X
	44006 IP and Access to Drugs	X						X	X	
Energy and Environment	11416 Poverty Environment	X	X	X			X	X	X	
	50773 Equator Initiative	X						X	X	
	56240 EEG Global Programme	X					X	X	X	
	50590 Biodiversity	X						X		X
	50593 Climate Change	X					X			X
Poverty Reduction & MDGs	11440 Policy Advice			X				X	X	
	58407 SPPR	X				X				
	57638 External Drivers	X						X		X
	57535 Intellectual Property	X	X					X		
	54273 MDG Support	X	X							
	52597 Workshop on Systemic Commodities	X				X	X			
	11433 Support to Poverty Reduction	X						X	X	
Democratic Governance	36214 Policy support for DGG		X					X	X	
	43381 PAR and Anti-corruption			X				X	X	
	55651 Civic Engagement	X						X	X	
	55657 Election Support Conflict	X						X		
	55659 COP [Communities of Practice] on Justice and Human Rights	X						X	X	
	55652 Effective Electoral Assistance				X		X	X		
	51127 E-Governance	X	X				X		X	
	40489 Decentralization Local Governance	X	X				X	X	X	X
HIV/AIDS	46453 Building Capacity	X		X				X	X	
	11442 Leadership Capacity			X					X	
Capacity Development	34871 Mainstreaming Capacity				X					
	11376 PPUE		X	X				X	X	X
	50899 Support to Capacity 2015	X	X			X		X		
Gender	11395 Gender Mainstreaming	X	X	X				X	X	
	57463 Gender Team Conflict Prevention	X						X	X	
	57465 Gender Team CD Implementation				X	X			X	

Importantly four projects (12 percent) did not follow the UNDP requirements, meaning that there was **no project document**:

- DGG 43381: only a project proposal is on file
- CDG 34871: three documents were submitted but none of them are the official prodoc outlining the use of GCF funds
- Poverty 58407: no prodoc was provided as this project was used for staffing
- Poverty 11433: the prodoc provided contains only the signature page and the agreement between UNOPS and UNDP from 2003

The vast majority of project documents were signed (72 percent; n=24/33); 78 percent (n=26/33) had the proper Project Appraisal Committee documentation, and 60 percent (n=20/33) had the proper Direct Execution documentation. The HIV/AIDS group is the only practice area that complied with all three requirements. The EEG project documents were all signed and Project Appraisal Committee compliant. However, all other practice areas had at least one project that was not in compliance with all three of these operational procedures.

The results and resources framework is an integral component of the project document, as this is where the logical framework of the project is described. The outcome, outcome indicators and outputs should be mentioned so that the reader can understand the flow and logic of the project. Approximately 75 percent (n=25/33) of project documents reviewed contained a results and resources framework. Seven projects, four of which did not have project documents, failed to include this essential component.

When looking at the results and resources framework in more detail, 12 (33 percent) project documents (including those without prodocs) did not include outcomes and 15 project documents (48 percent) did not include outcome indicators. In some cases, the results and resources framework refers the reader to the GCF-III official programme document. Upon looking up

the global programme outcomes and outcome indicators, they may not be particularly relevant to the project proposal at hand. Regardless, the reader should not have to go searching for this critical information. Finally, only those projects without prodocs did not include outputs.

Although a requirement, hardly any project documents (88 percent; n=29/33) contained a section on the risks associated with the project. The four projects that did contain a risk assessment are as follows:

- CDG project 11376 Public Private Partnerships for the Urban Environment
- Poverty Group 57638 External Drivers of Development
- Poverty Group 54273 MDG Support
- Cross Practice 50520 Aid Effectiveness for Reducing Poverty and Achieving the MDGs

In terms of the partnership arrangements, their rationale was generally explained well (63 percent, n=21, received a high score). However, in many cases the rationale was quite weak because it relied on the reader having knowledge about the partner and the partner's expertise in the area of the proposed project.

Several project documents did well in most procedural aspects. The PG Project 54273 MDG Support is an example of a project document that complied with all operational procedures except for the outcome indicators. The EEG Project 56240 EEG Global Programme is a project that submitted a quality project revision document. Thus, the project document for 2006 is used as the overall structure and rationale behind the 2007 project, while the project revision document details the new outcomes, outputs, and budget plan for the extension of the project into 2007.

3.4 PROJECT MANAGEMENT ARRANGEMENTS

The vast majority of project documents (81 percent; n=27/33) detail the line of accountability for the project management. The Project Appraisal

Committee members are generally identified in the Project Appraisal Committee minutes, not in the actual project document. Approximately 70 percent (n=23) of project documents identified the Project Appraisal Committee members. Although a requirement, only 10 projects (30 percent) identified members of a project steering board. A couple examples of where the project steering board is identified include the Gender Project 57463: Gender Team Conflict Prevention and Recovery and Environmental Energy Implementation, and the Capacity Development Group Project 50899: Support to Capacity 2015 Regional Teams.

Typically, the manager is identified (72 percent; n=24/33) but is not mentioned by name but rather by title in the accountability section. Only 33 percent (n=11/33) included a description of the staff working on the project, usually in the work plan/budget section. Although the project document does not need to name an individual, it is important to be clear who will be accountable for the various outputs within the project.

3.5 MONITORING, EVALUATION AND REPORTING

This section of the quality scan brought attention to the lack of connection between what is planned and what happens in reality. Approximately 79 percent (n=26/33) of projects contain a section detailing the monitoring, evaluation and reporting of the project. However, only nine projects complied with what was planned.

The following projects were ranked high in terms of the reporting on file:

- Democratic Governance Umbrella Project for 2007 (containing 55651, 55652, 55657, and 55659)
- Poverty Group Project 52597 Workshop on Systemic Commodities
- Gender 57463 Gender Team CPR/EE implementation and 57465 Gender Team Capacity Development Implementation
- Cross Practice 50520 Aid Effectiveness

- Environment and Energy 50773 Equator Initiative

Although quarterly reporting was part of the global programme reporting requirements, very few projects (only in the DGG and CDG practice areas) provided at least one quarterly report. Although requested, no documentation was provided from BDP regarding the change in reporting requirements. However, beginning in 2006 the monthly practice progress meetings with senior BDP management replaced the quarterly reporting requirement.

In summary, a total of 19 Annual Project Reports (APR) were received for the 33 projects. DGG, CDG, HIV, EEG and Gender practice areas all had one project without an APR, while two projects in the cross-practice area were missing APRs. The PG had only one project that submitted the required APR in the format followed by other groups (Project 52597 Workshop on Systemic Commodities). Several 'pilot project reports', 'donor reports' and a 'lessons learned report' were submitted for Project 11433 Support to Poverty Reduction. However, the required APR format was not followed. No other annual reports were received for the poverty group projects under review.

Evaluations were planned by 12 projects, but none were received. However, 48 percent (n=16/33) make no mention of a project evaluation. The DGG project documents refer to the DGG retreat and the GCF-III evaluation as the evaluation for DGG projects.

4. SUBSTANTIVE ASSESSMENT OF 21 GLOBAL PROJECTS

4.1 INTRODUCTION

Twenty-one global projects were randomly selected as a subset of the 33 projects selected for substantive assessment. A tabulation of the results of the 21 projects analyzed is contained in Annex G.2.

Table 5 shows the number of projects selected by practice area. These projects represent approximately 17 percent of the entire portfolio.

Given the small number of projects analyzed in each practice (only two each in CDG, HIV/AIDS and Gender) it is not reliable to draw conclusions by practice area. Rather, the analysis and conclusions in this section relate to all 21 projects. The analysis is based on a reading of all documentation furnished for each project.

Documentation was uneven, ranging from the Poverty Project 58407 SPPR Cluster Support Project, where no information was available; to eight projects where no APRs were available; to half the projects with acceptable levels of documentation. Where documentation was incomplete, it limited the nature, scope and quality of the assessment. Nonetheless, a consistent and clear picture emerges from the 21 projects reviewed.

The projects were analyzed and assessed according to the template shown in Table 6.

4.2 OVERVIEW

The picture that emerges is the serious effort to break new ground either by acquiring new knowledge, assembling existing knowledge and know-how for dissemination or by piloting something new, as was done in the Poverty Group's Commodities Workshop project.

All projects are in line with both the GCF-III and the MYFF priorities.

Fourteen of the projects are focused on building capacity. Most of these projects are building internal UNDP capacity with the intent that this new capacity will assist developing countries. Whether and how much this new internal UNDP capacity is applied directly to developing countries is not clear from the documentation. Much of the global project effort appears to be supply-driven as opposed to demand-driven and project budgets are mainly focused on staff salaries or international consultants and their daily subsistence allowances.

The project documents are almost all focused on outputs and activity with little indication of outcome. Hardly any prodocs have outcome indicators that could be used to measure the success of the project. This raises the question of where these efforts are leading. Eight of the projects reviewed do not have an APR so it is not clear what the project accomplished.

With the exception of Capacity Development, many of the development themes are not covered in the project documents and are therefore rated low, i.e. in Human Development, 9 projects rated low; Gender, 12; South-South Cooperation, 15; and National Ownership, 11.

The following sections treat each of the criteria under the analysis of this assessment separately.

Table 5. Projects Selected for Substantive Assessment

Practice	TOTAL Portfolio	TOTAL Substantive Analysis	Percentage of TOTAL Portfolio
DGG	32	5	16%
CDG	10	2	200%
HIV/AIDS	5	2	40%
EEG	19	3	10%
Gender	7	2	29%
PG	34	4	12%
Cross Practice	14	3	21%
TOTAL	121	21	17%

Table 6. Template and Criteria for Substantive Assessment of 21 Selected Projects

Features Assessed	Ranking Criteria
(i) Quality of the project logic (High/Medium/Low, plus brief assessment) and (ii) Evidence of flexibility during execution, for example in the adaptation of the project logic (Yes/No, plus brief assessment)	<ul style="list-style-type: none"> ■ 'High': The project logic should be convincingly described, using some form of log-frame, logic model or theory of change diagram. ■ Assessment: Bullet points (or checklist) very concisely indicating main reasons for the assessment.
Project clearly aligned with GCF objectives and principles (Yes/No, plus brief assessment)	<ul style="list-style-type: none"> ■ Assessment: Bullet points (or checklist) very concisely indicating main reasons for the assessment.
Prodoc Language	<ul style="list-style-type: none"> ■ 'High': Clear, concise, complete. ■ 'Medium': Missing one of: clear, concise or complete. ■ 'Low': Unclear, rambling and missing information or explanation.
Project clearly aligned with MYFF / practice area framework (Yes/No, plus brief assessment)	<ul style="list-style-type: none"> ■ Assessment: Bullet points (or checklist) very concisely indicating main reasons for the assessment.
Evidence of a focus on outcomes / RBM in project reports (Yes/No)	<ul style="list-style-type: none"> ■ Assessment: Bullet points (or checklist) very concisely indicating main reasons for the assessment.
Progress self-assessment noted in Annual Project Report (Yes/No)	(i) Indicate whether the Annual Project Report shows the use of any form of self-assessment. (ii) If yes, note whether it is 'Positive' or 'Negative'.
Evidence that the following principles have been (i) thoughtfully integrated into the design; (ii) addressed in the progress and/or project closure reports (High/Medium/Low/Not applicable, plus brief assessment in each case) <ul style="list-style-type: none"> ■ Human development ■ Gender ■ Capacity development ■ South-South sharing and cooperation ■ National ownership (assess its relevance given the project context) 	Need to determine first whether UNDP/BDP has an official conceptualization of integration / guidance for each of these areas. If so, these should be used to guide the assessment. <ul style="list-style-type: none"> ■ Assessment: Bullet points (or checklist) very concisely indicating main criteria / reasons for the assessment.
Level of innovation (High/Medium/Low, plus brief assessment)	Innovative projects are characterized as: <ul style="list-style-type: none"> ■ Addressing an issue the resolution of which may lead to substantial advance toward an MDG(s). ■ Recognized as a critical issue by the government and other donors or partners. ■ An initiative never before attempted in UNDP, either in the problems addressed or the approach taken. ■ Potentially risky and unlikely to be undertaken elsewhere in UNDP. ■ Carrying out the innovation help to position UNDP as the key MDG player. Assessment: Bullet points (or checklist) indicating main reasons for the assessment.

4.2.1 Project logic

Rating	Total	DGG	CDG	HIV/AIDS	EEG	Gender	Poverty	Cross-practice
High	8	1	1	2	1		2	1
Medium	7	3				2	1	1
Low	5	1	1		2			1
Not Rated	1						1	

Eight projects had a strong or high logic. The project logic is not always apparent either because it cannot be related to the larger global programme effort or because it is an umbrella project that attempts to bring together disparate efforts under the practice umbrella, as in the EEG umbrella project. Thus this ranking may over-estimate the number of 'medium' and 'low' projects. The most common flaw in project logic is the disconnect between the Situation Analysis and the actual project outputs. This is because of the difference in scale between the global picture in the situation analysis and the micro-level effort of project outputs. Of note are the two HIV/AIDS projects, which rank high.

There is a tendency for project documents to attempt to be 'all things', i.e. to mainstream gender, support the MDGs, build capacity and link with other practices. When such small and experimental projects attempt such a reach, they sometimes lose their internal logic.

The project not rated is 58407 SPPR Cluster Support for which no documentation was furnished. This project will be shown as 'not rated' throughout the report.

Project Appraisal Committee discussions were sometimes substantive but the final prodocs do not appear to have taken such Project Appraisal Committee comments into account.

4.2.2 Flexibility demonstrated in project implementation

Rating	Total	DGG	CDG	HIV/AIDS	EEG	Gender	Poverty	Cross-practice
No APR	8	2	1	2	1		1	1
Yes	7	1	1		2		1	2
No	5	2				2	1	
Not Rated	1						1	

For the eight projects without APRs it was not possible to determine flexibility in implementation. One would expect to see flexibility in implementation of these projects because of their innovative and pilot nature. The seven projects demonstrating flexibility in implementation took the form of project extensions and injections of additional funding or redeploying undisbursed funds, as in DGG Project 43381 Strengthening Political Parties & Citizen Audit and EEG Project 50590 Energy & Environment Global Programme. There was no evidence of redesign of the project during implementation probably because most are one-year efforts, which offers little time to make changes. The focus is on completing the project and disbursing funds.

4.2.3 Project document language

Rating	Total	DGG	CDG	HIV/AIDS	EEG	Gender	Poverty	Cross-practice
High	9	3	1	2	1		2	
Medium	4					2		2
Low	7	2	1		2		1	1
Not Rated	1						1	

Nine project documents demonstrated clear and concise language. This is probably a good result given that the projects are innovative and the little time available to over-stretched Headquarters staff for writing up the document. Where language is not clear, it is a function of an overdose of acronyms, overly wordy sentences that obscure rather than shed light, and lack of logic in sentence flow. Projects 11420 Policy Advice for Economic Alternatives and 40489 Decentralized Governance for Development are examples of poor language. Almost all prodocs would benefit from an editor.

4.2.4 GCF and MYFF alignment

All projects reviewed were aligned both with the GCF-III and the MYFF.

4.2.5 Linkage with other service lines

Rating	Total	DGG	CDG	HIV/AIDS	EEG	Gender	Poverty	Cross-practice
Yes	13	2	1	2	3	2		3
No	7	3	1				3	
Not Rated	1						1	

Thirteen projects showed linkages with other service lines. The most common linkages were with the CDG and the PG at five each. Two projects (34871 Mainstreaming Capacity & 57463 & 65 Implementation of Corporate Gender Plan) linked up with all service lines. Other linkages with other parts of UNDP were with Democratic Governance Community of Practice, Bureau for Crisis Prevention and Recovery, Bureau for Resources and Strategic Partnerships and the Evaluation Office. The overall picture is a genuine effort to make linkages among service lines wherever logical/possible.

4.2.6 Focus on outcomes

Rating	Total	DGG	CDG	HIV/AIDS	EEG	Gender	Poverty	Cross-practice
Yes	2						1	1
No	18	5	2	2	3	2	2	2
Not Rated	1						1	

Lack of a focus on outcomes is the weakest dimension in almost all projects reviewed. It may be unrealistic to expect outcomes from such small one-year initiatives. However, UNDP expects these projects to contribute to its transformation to a knowledge institution, so one would expect some kind of result from the effort. The lack of focus on outcomes is evident from a number of perspectives, starting with the project document. Outcome statements in the results and resources framework are sometimes missing and when there, are either at the output level or are dauntingly vast, e.g. 55651 Public Administration Reform and Anti-Corruption outcome statement “Government develops greater capacity to deliver public goods and services, to regulate markets and to achieve the MDGs, effective economic governance and crisis prevention and recovery.” There are rarely outcome indicators in the prodocs that can be used to assess project impact.

The second window where one would look for outcome is in the APRs or the annual reports for the practice area. APRs and Annual Reports tend to describe activities or outputs rather than outcomes.

4.2.7 Progress self assessment

Rating	Total	DGG	CDG	HIV/AIDS	EEG	Gender	Poverty	Cross-practice
No APR	8	1	1	2	1		2	1
Yes	7	2	1		1		1	2
No	6	2			1	2	1	

The APR and/or the Annual Practice Report contains information on project progress. The general APR picture is not encouraging. APRs were not available for 8 of 21 projects reviewed and, where available, they are poorly done for the most part. Often the last section of the report where outcome, output, challenges and lessons learned are addressed is not completed. Even if the APR is completed, it is a subjective statement and therefore tends to be generous in its accomplishments.

The APRs appear to be more of a publicity instrument at a general level. In conclusion, global project progress is patchy, subjective and not particularly informative.

4.2.8 Ranking of development themes

The chart on the following page ranks the themes of capacity development, human development, gender, South-South cooperation and national ownership in the 21 projects reviewed.

Human Development, Gender, Capacity Development, South-South Imprint and National Ownership were reviewed in each project for their imprint. Most themes ranked low with the exception of Capacity Development, which ranked high in 14 of the projects. This is logical since most projects, no matter which service line they belong to, are focused on developing capacity either inside UNDP or with developing countries.

The other development themes are almost all the same in terms of ranking, with only a few projects ranking high (between 4 to 6 projects), fewer projects ranking medium (2 to 5 projects) and most ranking low (between 9 to 15 projects).

Two interpretations can be made for the low rankings of Human Development, Gender, South-South and National Ownership. One interpretation is that the project in question is not dealing with these

Rating	Total	DGG	CDG	HIV/AIDS	EEG	Gender	Poverty	Cross-practice
CAPACITY DEVELOPMENT								
High	14	2	2	2	3	2	1	2
Medium	2	1					1	
Low	4	2					1	1
Not Rated	1						1	
HUMAN DEVELOPMENT								
High	6		1	1			2	2
Medium	5				2	2	1	
Low	9	5	1	1	1			1
Not Rated	1						1	
GENDER								
High	4		1			2	1	
Medium	4			2	1			1
Low	12	5	1		2		2	2
Not Rated	1						1	
SOUTH-SOUTH COOPERATION								
High	5			2			1	2
Medium								
Low	15	5	2		3	2	2	
Not Rated	1						1	1
NATIONAL OWNERSHIP								
High	5		1		1		2	1
Medium	4			2	1			1
Low	11	5	1		1	2	1	1
Not Rated	1						1	

development themes and there is no need to pretend that it is, particularly given the relatively small budgets and the one-year limit on implementation. The other interpretation is that projects tend to be designed in a silo and do not incorporate these important development themes. The answer may be a blend of the two.

4.2.9 Level of innovation

Rating	Total	DGG	CDG	HIV/AIDS	EEG	Gender	Poverty	Cross-practice
High	8		1	2	1		2	2
Medium	7	4			2		1	
Low	5	1	1			2		1
Not Rated	1						1	

Innovation is an important quality for global projects that are attempting to transform UNDP into a knowledge institution. The ratings are positive in that 75 percent of projects reviewed were either ‘high’ or ‘medium’ in terms of their level of innovation. The ‘high’ ranking for innovation is not evenly spread among the service lines, i.e. DGG 0; CDG 1; HIV/AIDS 2; EEG 1; PG 2; and Cross Practice 2. This would seem to indicate different capacities/level of commitment to innovation across the service lines.

5. CONCLUSION

This assessment of a selection of global projects shows both strengths and weaknesses that are described below.

5.1 STRENGTHS

- Almost all projects are global or regional in reach, as is the intention of the programme.
- The projects are relatively small and generally completed in a single year, which is consistent with the intention of an innovative and pilot programme.
- All projects are aligned both with the GCF and the MYFF and therefore in line with corporate strategy.
- There is a serious effort to break new ground either by acquiring new knowledge, assembling existing knowledge and know-how for dissemination or by piloting something entirely new such as was done in the Commodities Workshop.
- Partnerships are integral to 63 percent of projects examined had a clear partnership strategy consistent with corporate policy.
- 81 percent of the project documents described the position or person responsible for the project.

5.2 WEAKNESSES

- The most serious weakness of these projects is that they appear to be supply driven. There is little indication in project documents of substantiated demand for these projects from developing countries or at least from UNDP country offices.
- There is a lack of attention to outcomes and outcome indicators in most projects. Without outcome indicators, it becomes difficult if not impossible to judge whether a project achieved anything of note.
- There is no evidence of follow-up to determine what impact or effect the projects have had. It is timely to conduct such an assessment.
- Only 54 percent of projects examined met all UNDP prodoc requirements and four projects (12 percent) had no prodoc at all. Whether this is different from TRAC project statistics could not be determined.
- 88 percent of projects examined did not have the required risk assessment section in the prodoc.
- While 79 percent of prodocs had a monitoring and evaluation plan only 27 percent complied with this plan in actual implementation. Only 57 percent (n=19) projects had an APR, and many APRs are only partially completed.

5.3 OBSERVATIONS

- The assessment shows more similarity in assessments than difference across the service lines with the exception of the two HIV/AIDS projects, which rank high in most categories, i.e. project documentation, capacity development, South-South cooperation, innovative, national ownership and prodoc logic and language.
- Most projects are oriented towards the production of knowledge products.
- The most common service line linkage is with Capacity Development, where 14 of 21 projects ranked high in this regard.
- Many projects deal with internal UNDP capacity development more than direct capacity development of developing partner countries. Whether this is justified or positive could not be determined.

Annex G.1

SUMMARY RESULTS FOR QUALITY SCAN OF 33 PROJECTS

Structure	High	Medium	Low	Total
DGG	5	2	1	8
HIV	0	2	0	2
CDG	1	1	1	3
PG	5	0	2	7
Gender	0	3	0	3
Cross	3	2	0	5
EEG	5	0	0	5
Total	19	10	4	33

Direct Execution	Yes	No	Unclear	Total
DGG	6	2		8
HIV	2	0		2
CDG	0	3		3
PG	5	2		7
Gender	2	1		3
Cross	2	3		5
EEG	3	1	1	5
Total	20	12	1	33

Signed Prodoc	Yes	No	Total
DGG	6	2	8
HIV	2	0	2
CDG	2	1	3
PG	5	2	7
Gender	2	1	3
Cross	2	3	5
EEG	5	0	5
Total	24	9	33

Results Framework	High	Medium	Low	Total
DGG	8	0	0	8
HIV	1	1	0	2
CDG	1	0	2	3
PG	5	0	2	7
Gender	1	0	2	3
Cross	5	0	0	5
EEG	4	0	1	5
Total	25	1	7	33

Project Appraisal Committee	Yes	No	Total
DGG	6	2	8
HIV	2	0	2
CDG	2	1	3
PG	5	2	7
Gender	2	1	3
Cross	4	1	5
EEG	5	0	5
Total	26	7	33

Expected Outcome	High	Medium	Low	Total
DGG	5	0	3	8
HIV	2	0	0	2
CDG	2	0	1	3
PG	5	0	2	7
Gender	0	0	3	3
Cross	4	0	1	5
EEG	3	0	2	5
Total	21	0	12	33

Note: CDG indicates Capacity Development Group; Cross, cross practice; DGG, Democratic Governance Group; EEG, Energy and Environment Group; and PG, Poverty Group.

Outcome Indicator	High	Medium	Low	Total
DGG	0	1	7	8
HIV	2	0	0	2
CDG	2	0	1	3
PG	5	0	2	7
Gender	0	0	3	3
Cross	3	0	2	5
EEG	3	1	1	5
Total	15	2	16	33

Output	High	Medium	Low	Total
DGG	8	0	0	8
HIV	1	0	1	2
CDG	2	0	1	3
PG	5	0	2	7
Gender	3	0	0	3
Cross	5	0	0	5
EEG	5	0	0	5
Total	29	0	4	33

Risk Assessment	Yes	No	Total
DGG	0	8	8
HIV	0	2	2
CDG	1	2	3
PG	2	5	7
Gender	0	3	3
Cross	1	4	5
EEG	0	5	5
Total	4	29	33

Partnerships Clear	High	Medium	Low	Total
DGG	6	1	1	8
HIV	2	0	0	2
CDG	1	1	1	3
PG	3	0	4	7
Gender	3	0	0	3
Cross	3	1	1	5
EEG	3	1	1	5
Total	21	4	8	33

Partnership Rationale Clear	High	Medium	Low	Total
DGG	6	1	1	8
HIV	2	0	0	2
CDG	1	1	1	3
PG	3	1	3	7
Gender	1	0	2	3
Cross	4	0	1	5
EEG	4	1	0	5
Total	21	4	8	33

Accountability	High	Medium	Low	Total
DGG	7	0	1	8
HIV	2	0	0	2
CDG	2	0	1	3
PG	4	0	3	7
Gender	3	0	0	3
Cross	4	0	1	5
EEG	5	0	0	5
Total	27	0	6	33

Project Appraisal Committee Members Identified	Yes/High	Somewhat/Medium	No/Low	Total
DGG	7	0	1	8
HIV	1	0	1	2
CDG	2	0	1	3
PG	3	1	3	7
Gender	2	0	1	3
Cross	4	0	1	5
EEG	4	1	0	5
Total	23	2	8	33

Note: CDG indicates Capacity Development Group; Cross, cross practice; DGG, Democratic Governance Group; EEG, Energy and Environment Group; and PG, Poverty Group.

Steering Committee Members Identified	Yes/High	Somewhat/Medium	No/Low	Total
DGG	4	0	4	8
HIV	0	0	2	2
CDG	2	0	1	3
PG	1	0	6	7
Gender	1	0	2	3
Cross	1	1	3	5
EEG	1	0	4	5
Total	10	1	22	33

Reports Available as Required	Yes/High	Somewhat/Medium	No/Low	Total
DGG	4	4	0	8
HIV	0	1	1	2
CDG	0	2	1	3
PG	1	1	5	7
Gender	2	0	1	3
Cross	1	2	2	5
EEG	1	2	2	5
Total	9	12	12	33

Manager Identified	Yes/High	Somewhat/Medium	No/Low	Total
DGG	7	0	1	8
HIV	2	0	0	2
CDG	2	0	1	3
PG	4	1	2	7
Gender	1	0	2	3
Cross	4	1	0	5
EEG	4	0	1	5
Total	24	2	7	33

Evaluation Planned	Yes/High	Somewhat/Medium	No/Low	Total
DGG	7	0	1	8
HIV	1	0	1	2
CDG	2	0	1	3
PG	0	2	5	7
Gender	0	0	3	3
Cross	1	1	3	5
EEG	1	1	3	5
Total	12	4	17	33

Staff Identified	Yes/High	Somewhat/Medium	No/Low	Total
DGG	4	1	3	8
HIV	0	1	1	2
CDG	0	1	2	3
PG	3	1	3	7
Gender	0	0	3	3
Cross	2	0	3	5
EEG	2	3	0	5
Total	11	7	15	33

Evaluation Completed	Yes/High	Somewhat/Medium	No/Low	Total
DGG	0	3	5	8
HIV	0	0	2	2
CDG	0	0	3	3
PG	0	0	7	7
Gender	0	0	3	3
Cross	0	0	5	5
EEG	0	0	5	5
Total	0	3	30	33

Monitoring & Evaluation Clear	Yes/High	Somewhat/Medium	No/Low	Total
DGG	7	0	1	8
HIV	1	0	1	2
CDG	2	0	1	3
PG	5	0	2	7
Gender	2	0	1	3
Cross	4	1	0	5
EEG	5	0	0	5
Total	26	1	6	33

Note: CDG indicates Capacity Development Group; Cross, cross practice; DGG, Democratic Governance Group; EEG, Energy and Environment Group; and PG, Poverty Group.

Annex G.2

SUMMARY RESULTS FOR SUBSTANTIVE ASSESSMENT OF 21 PROJECTS

Project #	Group	Title	Project Logic	Flexibility Implementation	Prodoc Language	GCF Alignment
36214	DGG	Policy Support for Democratic Governance	Medium	No	Low	Yes
43381	DGG	DGG Strengthening for PA & AC	Medium	No APR but DGG report	High	Yes
55651	DGG	Strengthen Political Parties & Citizen Audit	High	Yes	High	Yes
55657	DGG	Election Support & Conflict Prevention	Medium	APR Incomplete	High	Yes
40489	DGG	Decentralized Governance for Development	Low	No APR	Low	Yes
50899	CDG	Capacity 2015	High	Yes	High	Yes
34871	CDG	Mainstreaming Capacity	Low	No APR	Low	Yes
46453	HIV/AIDS	Building Capacity for HIV/AIDS	High	No APR	High	Yes
11442	HIV/AIDS	HIV/AIDS Leadership Capacity Building	High	No APR	High	Yes
56240	EEG	Environment & Energy Global Programme	Low	Yes	Low	Yes
11416	EEG	Poverty & Environment Initiative	High	No APR	High	Yes
50590	EEG	Energy & Environment Global Programme	Low	Yes	Low	Yes
57463&65	Gender	Implementation of corporate Gender Plan	Medium	No	Medium	Yes
54273	Poverty	MDG Support	High	No APR	High	Yes
58407	Poverty	SPPR Cluster Support	No documentation was available for this project			
52597	Poverty	Commodities Workshop Project	High	Yes	High	Yes
11440	Poverty	Policy Advice for Economic Alternatives	Medium	No	Low	Yes
44006	Cross Practice	Trade, Trips & Access to HIV/AIDS Medicine	Medium	Yes	Medium	Yes
50520	Cross Practice	Aid Effectiveness for Reducing Poverty	High	Yes	Medium	Yes
52687	Cross Practice	Macro Economic Policy against HIV/AIDS	Low	No APR	Low	Yes
TALLY FOR 21 PROJECTS			8 High	9 No APR	9 High	20 Yes
5 DGG	3 EEG	2 Gender	7 Medium	4 No	4 Medium	
2 CDG	4 Poverty	3 Cross Practice	5 Low	7 Yes	7 Low	
2 HIV/AIDS						

	MYFF Alignment	Other Service Lines Linkage	Focus on Outcomes	Progress Self Assessment	Human Development	Gender	Capacity Development	South-South Imprint	National Ownership	Level of Innovation
	Yes	No	No	No APR	Low	Low	High	Low	Low	Medium
	Yes	Yes DGCOP	No	Yes	Low	Low	High	Low	Low	Medium
	Yes	No	No	Yes	Low	Low	Low	Low	Low	Medium
	Yes	Yes BCPR	No	No	Low	Low	Low	Low	Low	Medium
	Yes	No	No	No APR	Low	Low	Medium	Low	Low	Low
	Yes	No	No	Yes	High	High	High	Low	High	High
	Yes	Yes indirectly with all	No	No APR	Low	Low	High	Low	Low	Low
	Yes	Yes CD	No	No APR	Low	Medium	High	High	Medium	High
	Yes	Yes CD	No	No APR	High	Medium	High	High	Medium	High
	Yes	Yes CD & MDGs	No	Yes	Low	Low	High	Low	Low	Medium
	Yes	Yes CD & MDGs	No	No APR	Medium	Medium	High	Low	Medium	Medium
	Yes	Yes CD & MDGs	No	No	Medium	Low	High	Low	High	High
	Yes	Yes all service lines	No	No	Medium	High	High	Low	Low	Low
	Yes	No	No	No APR	High	High	High	Low	High	High
	Yes	No	Yes	Yes	High	Low	Low	High	High	High
	Yes	No	No	No	Medium	Low	Medium	Low	Low	Medium
	Yes	Yes Poverty	Yes	Yes	High	Medium	High	High	High	High
	Yes	Yes BCPR, BRSP, EO, RBs	No	Yes	High	Low	High	Low	Medium	High
	Yes	Yes Poverty	No	No APR	Low	Low	Low	High	Low	Low
	20 Yes	13 Yes	2 Yes	9 No APR	6 High	4 High	14 High	5 High	5 High	8 High
		7 No	18 No	7 Yes	5 Medium	4 Medium	2 Medium	15 Low	4 Medium	7 Medium
				5 No	9 Low	12 Low	4 Low		11 Low	5 Low