Annual Report 2011
Oslo Governance Centre

MAKING
THE STATE
RESPONSIVE

Experience with Democratic
Governance Assessments

United Nations Development Programme

United Nations Development Programme
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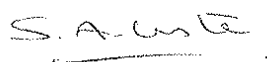www.undp.org/oslocentre

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1. INTRODUCTION

2011 was the year when issues of democratic governance hit the headlines in a dramatic fashion across the globe. For the Oslo Governance Centre, 2011 could have been labelled a year of transition, when we 'ticked over' waiting for the appointment of a new Director, for some of the startling changes going on in the world to settle down, or for corporate change processes in New York to reveal themselves more clearly. In fact, in my view, 2011 was one of the busiest, most productive and most successful years OGC has had. We built on our excellent foundations in terms of established areas of work reflecting our core competencies, but also branched out in new directions. We worked hard to consolidate existing partnerships, internal and external, but we also started new and fruitful relationships. We did more, with fewer core resources.

> *2011 was the year of creative thinking, hard work and team support*

In January, we bid Bjørn Førde a fond farewell as Director, recognising the great debt that OGC, and UNDP more broadly, owes him. But we had little time to look backwards as we were quickly into a demanding schedule of country office support, learning events, trainings, analysis, publications and much more.

2011 was the year of the Institutional and Context Analysis (ICA) trainings in Bangkok and Cairo, the Dakar Forum, and of course the Oslo Governance Forum. You can read more detail on these events, and many more activities, below. You can even see highlights from some of them online. But, if you look below the 'headline events', it was also the year of creative thinking, hard work, and team support, which is much harder to show in a report such as this. It was the year that we started to think about how to work more innovatively across teams, and to support a broader thematic and geographical spread of our UNDP colleagues. It was the year that we welcomed an almost full complement of regional specialists (outposted to regional service centres) as part of our team. It was also the year when we started to think anew how governance will fit into the international agreements and commitments that shape how we do our work, as we started to prepare for Rio+20 and the Post-2015 development framework.

We believe that in 2011 we supported others to enhance the governance elements of development results at the country level, and contributed to regional and global development discussions on how to do this. This is what we seek to show in this Annual Report. We expect that 2012 will see us continue strongly in this, and we look forward to the imminent arrival of Heba El-Kholy as Director to lead us further in that endeavour.

Sarah Lister
Democratic Governance Adviser and Officer-in-Charge (2011)

2. ENHANCING RESULTS

THE OSLO GOVERNANCE FORUM AND THE BOOK 'MAKING THE STATE RESPONSIVE'

The OGF helped to position UNDP as a global leader in building knowledge and co-convening a policy dialogue involving multiple stakeholder

The Oslo Governance Forum resulted in "the Oslo Principles on Democratic Governance Assessments" and initiated the development a global network for governance assessment practitioners.

The Oslo Governance Forum (OGF) held on 3-5 October 2011 at Voksenåsen was an initiative of the Oslo Governance Centre/Democratic Governance Group of UNDP and its co-organisers Action Aid, Act Alliance, Society for Participatory Research (PRIA), UN Democracy Fund, Norwegian Agency for Development Cooperation (Norad), and the World Bank Institute. The Forum succeeded in initiating the development of the first global multi-stakeholder platform for the exchange of knowledge and practice on Democratic Governance Assessments for Social Accountability. In the words of Atle Sommerfeldt, Head of Norwegian Church Aid, the OGF helped to position UNDP as a global leader in building knowledge and co-convening and co-organising a policy dialogue involving multiple stakeholders. 280 delegates from more than 75 countries, representing governments, civil society, international organizations, academia and media participated at the OGF. The Forum focused on governance assessments and social accountability in relation to five main themes: anti-corruption strategies, public service delivery, climate change and natural resources, and political transitions.

The UN Secretary-General Ban Ki-moon underscored the strategic importance of the OGF through his message:

> "*The events of this year lend deep significance to the Oslo Governance Forum. Since the beginning of 2011, millions of people have participated in movements for democracy and better governance. Millions more have followed with intense interest as dramatic and often inspiring changes have been set in motion. The issues you have come together to discuss are critical to supporting and underpinning the efforts of these movements as they strive to turn their aspirations and early achievements into a working, lasting reality.*"

The substantive content for the Forum emerged from the book 'Making the State Responsive-Experience with Democratic Governance Assessments' which brings together analytical papers and nine case studies from Africa, Asia and Latin America. The book was formally launched at the Forum and enriched the quality and process of the OGF, providing a framework within which to understand the more than 100 richly varied presentations, including 50 case studies from across the world. The Oslo Principles on Democratic Governance Assessments, a set of guiding prin-

ciples for practitioners of assessments and accountability were endorsed by the Forum participants.
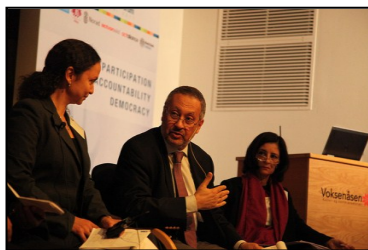
In his opening remarks, **Erik Solheim**, Norwegian Minister for Development and Environment, called for transformation of the current aid effectiveness discourse and North-South aid paradigm towards a broader, more inclusive, iterative and dynamic development effectiveness paradigm. He also called for developing tools and approaches that can create policy space for long-term decision-making, in order to address the global crisis of climate change and economic disparity. **Aruna Roy**, leader of a social movement in India (Masdoor Kisan Shakthi Sanghatan), reiterated the role of poor, marginalized and excluded people in strengthening democratic governance and transforming politics and policy spaces. She demonstrated how grassroot innovations by poor people, exemplified by the campaign for the right to information and social audit in India, could play a transformative role in ensuring inclusive participation and influencing policies. She made an impassioned plea for expanding the voice and space of the poorest in democratising governance.

Thomas Carothers, Vice President of studies at the Carnegie Endowment for International Peace, captured the global challenges of democracy promotion and the present aid paradigm by stating that 'democracy often becomes its own worst enemy'. He pointed out that here is therefore a need for renewed efforts to revitalise and democratise governance at the local, national and global levels. UNDP has a central role to play in this regard by bringing together practitioners and experts from the global south and north representing government, civil society, academia and international organisations.
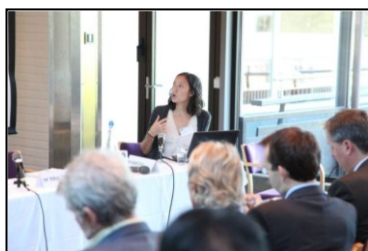
Olav Kjørven, UNDP Director of the Bureau for Development Policy and UN Assistant Secretary General - captured the political context of the OGF in his Opening Speech:

> "How can governments be made more accountable to citizens? How can governance assessments contribute to citizens' empowerment and more responsive, democratic governance? These are among the highly topical issues discussed at the Oslo Governance Forum Monday through Wednesday this week [….].

> UNDP clearly has a critical and broadly recognized role to play in the global efforts to strengthen people's participation in the affairs of state and governance, and build the capacities and institutions that can effectively protect their rights and propel inclusive development and growth forward."

Geraldine Fraser-Moleketi, Director of the Democratic Governance Group, summed up by stating that

> "the important lesson that we have learnt during the course of organizing the OGF is the real potential for UNDP to play a global leadership role, through evolving new synergy among the multi-stakeholder process and venue at the global level. The success of the Oslo Governance Forum (OGF) is a testimony to innovative and

cost-effective ways of organizing a global advocacy that could help to promote policy dialogues, exchange of innovative practices and approaches to strengthen democratic governance at all levels. The OGF also demonstrated the potential of UNDP to play a strategic leadership role, and also enabled us to listen and understand the innovative work of some of the most inspiring civil society activists in India, Egypt, Tunisia, Uganda, Brazil and other countries across the world."

[STORY 2]

AFRICA FORUM ON CIVIL SOCIETY AND GOVERNANCE ASSESSMENTS

Held in Dakar in November 2011, the Africa Forum laid the groundwork for a long-term engagement by UNDP on issues of governance and civil society assessments and social accountability. The Forum convened leading actors on the continent, from civil society, research institutions, national governments and other development partners who collectively identified a number of specific follow-up activities to be undertaken in 2012.

The Africa Forum on Civil Society and Governance Assessments (Dakar, Senegal, 10-12 November 2011), organized by UNDP in collaboration with TrustAfrica, CIVICUS, Africa Governance Institute and CONGAD, brought together 150 development practitioners, academics, foundation, donor institutions, private sector and civil society representatives and UNDP staff from over 35 countries to engage in policy dialogue and collaborative initiatives. The three-day workshop reflected on African experiences with governance assessments, with a specific focus on civil society's involvement in such initiatives. It also built on the Oslo Governance Forum and the Oslo Principles on Democratic Governance Assessments.

The event was an opportunity for partners from Africa to share knowledge and experiences to enhance future contributions by civil society to various governance assessment initiatives. The success of this unique multidisciplinary and multi-actor forum, which generated intense internal and external interest, suggests a continued role for UNDP in support of country-led, participatory governance assessments, in Africa and other regions. Participants are now reporting the formation of new strategic partnerships, the commissioning of new research and the launching of new activities at the country level.

The UNDP Dakar Regional Centre, Oslo Governance Centre and the Civil Society Division, Bureau of External Relations and Advocacy, collaborated to organize the event, which aimed to showcase innovation and leadership in Africa in using assessments to promote social accountability; to facilitate exchange of innovative experiences, knowledge and strategies among practitioners from civil society, research institutes and UNDP offices in Africa; and to create a network of like-minded practitioners involved in (or supporting) governance and civil society assessments in the continent.

A unique multidisciplinary and multi-actor forum, which generated intense internal and external interest

The forum dealt with a number of critical issues such as how to leverage the power of partnerships for governance assessments, identification of new forms of participatory assessment in an African context and reviewing the role of technology and innovation in governance assessments.

The Forum's third day was instrumental in strengthening UNDP's practical understanding about how technological tools can contribute to country-led governance assessment processes. A number of initial partnerships and initiatives have also resulted directly from the Forum's activities and connections, including:

• A pilot rapid civil society assessment, conducted in Partnership with CIVICUS in first half of 2012.

• Pilot projects under development to use mobile and web–based platforms to conduct assessments in Ghana (post-African Peer Review Mechanism monitoring) and in Mozambique

• Exploratory development of a web-based, regional Community of Practice on Governance and Civil Society Assessments.

• Partnership with Afrobarometer to train National Statistical Offices of West and Central Africa on the collection of governance data, to support the implementation of the START Action Plan (START: 'Statistics for Transparency, Accountability, Results and Transformation') and in line with the commitments made in the African Charter on Statistics.

[STORY 3]

LAUNCHING UNREDD+ PARTICIPATORY ASSESSMENTS

A unique Participatory Governance Assessments (PGA) approach for REDD+ undertook pilots in four countries.

The UN-REDD Programme (United Nations Collaborative initiative on Reducing Emissions from Deforestation and Forest Degradation (REDD) in developing countries) assists developing countries prepare and implement national REDD+ strategies by building on the convening power and expertise of the Food and Agriculture Organization of the United Nations (FAO), the United Nations Development Programme (UNDP) and the United Nations Environment Programme (UNEP). Governance is one of the areas where the UN-REDD Programme provides its experience and "know-how" in the context of REDD+. To support this, the approach to democratic governance assessments promoted by the OGC is being used to meet the Cancun Negotiation text's recommendation to provide relevant information on how safeguards are promoted, addressed and respected, and to build the capacity of governments to provide relevant, reliable and timely information to multiple stakeholders, including civil society actors. This approach has now been launched as "Participatory Governance Assessments for REDD+".

In 2011, Nigeria, Indonesia, Ecuador and Vietnam all expressed interest in and entered the initial phase of their Participatory Governance

Assessments (PGA) for REDD+, with funding and technical support from the UN-REDD Programme and UNDP regional and country offices. These PGA pilots will lay the foundation for a participatory process at the country level for information sharing on how REDD+ safeguards are promoted, addressed and respected in a systematic manner, and for transparent and sustainable governance policy reform. Ownership and commitment to the process is secured through country-led processes.

In **Indonesia**, the initial phase of the PGA for REDD+ was initiated in May with subsequent consultations involving an Expert Panel, Advisory Group and Provincial Working Groups in Central Kalimantan, Riau, Papua, and Central Sulawesi. Through these consultations and feedback processes four key governance areas were prioritized for PGA (anti-corruption; indigenous peoples and forest dependent communities' capacity to involve themselves in REDD+ issues and processes; quality of policies and legislation relevant for REDD+; and capacity at the local level to implement the REDD+ strategy). Through further national and provincial consultations, a draft indicator set was produced in late 2011.

In **Nigeria**, preparatory work was undertaken and a brainstorming workshop was held in Lagos in May, securing government support and commitment to the PGA process and outlining a roadmap to achieve agreed outcomes for the initial phase of the PGA.

In **Vietnam**, preparatory work started in late 2011. After securing the commitment of the Government of Vietnam to the PGA process, the work of identifying relevant stakeholders and possible participants was initiated, and a draft concept note outlining the main milestones for the process has been developed. The PGA approach was presented at the first Sub-Technical Working Group on Governance in December 2011.

In **Ecuador**, an exploratory workshop with government representatives, CSOs, Indigenous People's representatives and UN-REDD staff was held in November 2011 to identify the possible relevance of a PGA process in Ecuador. The PGA process was deemed relevant and an interim working group was identified to work further on a road map for the PGA process in Ecuador. The transparency and accessibility of the process was from the very onset highly appreciated and welcomed by civil society actors.

[STORY 4]

ICA: THE UNDP APPROACH TO POLITICAL ECONOMY ANALYSIS FOR DEVELOPMENT PROGRAMMING

OGC has developed and provided to country offices a framework for understanding and adapting programmes to the political context in which they take place.

During the Cold War, the term 'politics' and its adjective 'political' were scarcely present in the numerous documents produced annually by development agencies. Modernization theory and its focus on economic growth planted the seeds for decades of grand development plans that
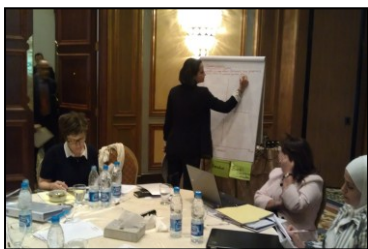
called for roads, factories, dams, and other large scale projects for which politics was considered at best irrelevant, and at worst, risky. It was hoped growth would 'trickle down', leading to poverty reduction through the 'invisible hand' of the market. Political decisions were considered "internal affairs" and there was little donor appetite for taking up issues such as human rights violations and the importance of the rule of law.

Over the last two decades this has changed significantly, not least because the importance of 'governance' for economic growth and stability has been increasingly recognized. And, as Thomas Carothers argues, "*Once you pass the gate of governance, you find yourself in the room of politics.*"

Although 'politics' is still considered of marginal relevance by some development practitioners, at UNDP a number of evaluations have demonstrated that in spite of well formulated tools and high quality technical assistance, some of our development programmes have failed to deliver their intended results, due lack of 'political will'. What exactly is political will, how is it formed, what incentives are behind it and how do these incentives change?

In order to answer these questions and help UNDP country offices achieve better results by understanding the institutional and political factors that give shape and direction to 'political will', the OGC has led the development of the UNDP Institutional and Context Analysis (ICA) Guidance Note. The Note has been developed in consultation with UNDP staff at Headquarters, Regional Service Centres and Country Offices over 18 months and will be published in 2012.

To validate the analytical approach, two regional workshops on institutional and context analysis were held last year in Asia and the Pacific (Bangkok, June) and the Arab States (Cairo, October) regions. The workshops were jointly organized by the OGC and the respective Regional Service Centres in partnership with other bureaux. Participants (over 70 in total) overwhelmingly agreed that understanding the nexus between politics and development is key to achieving desirable development objectives. In the words of one participant,

> "*the best ideas do not just work because you have the best ideas. They work through partnerships, through people… To be successful, we need to have political economy analysis, to identify the champions, the institutions for and against, the people for and against it… It is very important for us not only to have the ideas but also the tools.*"

A number of UNDP Country Offices have since used the ICA approach to formulate their country programmes as well as for strategic planning and review purposes.

[Story 5]

OGC Support in Response to the Arab Awakening

OGC has provided significant technical assistance to UNDP country offices, in a variety of ways, as part of the support provided by UNDP's

Democratic Governance Group to the political transitions taking place in the Arab region.

At the Oslo Governance Forum, a plenary session was held featuring four high-level speakers from Tunisia and Egypt, representing both civil society and government perspectives. The discussions focused on the potential role of governance assessments as part of the political transformations following the Arab Awakening. The session addressed why and how rigorous evidence through governance assessments is needed to inform national dialogues, policy debates on institutional reforms, and government commitments.

As a side event of the Forum, a Round Table Discussion with delegates from the region representing UNDP country offices, as well as national counterparts, was organized to discuss needs in terms of technical support and knowledge products for the Arabic speaking community of governance assessment practitioners. As a follow up to the meeting, a mapping of assessment initiatives in the region was initiated. Several knowledge products produced by the OGC have been translated into Arabic, including the Guidance Note on 'Fostering Social Accountability'.

Technical support was provided to the Egypt Country Office throughout 2011 for a joint project of the Social Contract Centre and the Local Development Observatory on Governance Assessments in Sectors. The assessments focus on local level service delivery in six service areas - water supply and sanitation, health, education, roads and public transport, electricity and waste management. Despite constant changes in the government, project implementation has endured, and primary data collection has now been completed.

An OGC staff member was seconded to UNDP Tunisia on a three month assignment to help the country office respond to the political transition including on elections, the constituent assembly, security sector reform and civil society engagement.

In partnership with the UNDP regional service centre, the UNDP Bureau for Crisis Prevention and Recovery and the UN Staff College, the OGC held a regional training workshop in Cairo based on the ICA methodology for Country Offices in the Arab States. Participants from countries in the region, including UN Resident Coordinators, participated in the trainings. As a result, senior UNDP managers have taken an ICA approach to strategic planning and programming in the Arab States.

3. Overview of OGC Outputs 2011: Delivery Against our Workplan

3.1. Office Management

As there were cuts in the GPIV funding globally, OGC received for 2011 US $800,000 instead of the customary US $1 million. OGC also received US $2 million from the Democratic Governance Thematic Trust Fund (DGTTF). These combined contributions were used to cover staff salaries, office costs, and activities. Close to half of the GPIV and DGTTF funding is used for staff salaries and office costs. In addition, OGC mobilizes dedicated resources for the Global Governance Assessment Programme, and it secures funding for specific activities from other parts of UNDP. The table indicates the major outputs in the area of office management:

Intended Outputs	Results 2011
1: Staffing Maintaining base staffing structure for smooth functioning and delivery of activities of OGC.	2011 started with the retirement of the OGC Director. The recruitment for a new Director was initiated, but no new Director took up post in 2011. One admin associate came back from maternity leave, and the staff member who had been covering the position in her absence took up the post as Programme/Operations Specialist in the Governance Assessment team. The Programme Manager in the Governance Assessment team went on two 3-month long detailed assignments in 2011, first to Congo Brazzaville then to Tunisia. The Programme Analyst in the Governance Assessment team also went on maternity leave.
2: Office MAnagement Effective office management and infrastructure and administrative support.	Office premises that were occupied in 2010 have been functioning adequately. Since the Director's office has been vacant most of the year meeting facilities have been available. Logistical support for the Oslo Governance Forum was a major task which was undertaken successfully with support from a consultant and an intern. IT support from Copenhagen was also received.
3: Outreach Outreach to DGG Headquarters, UNDP Regional Service Centres and Country Offices, as well as external partners.	Outreach included both web-based communication as well as targeted information to Regional Centres and selected country offices. The OGC website was re-launched as part of the new UNDP corporate website. The Governance Assessment Portal is initiated a new round of development and is in the process of acquiring multiple partners.

3.2. Governance Assessments

> 2011 was the year of results and review of the governance assessments work at the country level

2011 was a year of **results and review** of the governance assessment work. With the first round of projects started in 2009 coming towards their completion by the end of 2011, as well as a number of additional initiatives launched in 2010 and 2011, Global Governance Assessment Programme (GAP) has accumulated sufficient experience to allow for a meaningful look back on its achievements and challenges, to draw major lessons learned and thus identify new directions for the future.

This process of taking stock of results and reflecting on possible improvements included the assessment in partnership with the Analysis and Learning Unit of three previously completed DGTTF-funded governance assessment projects (in China, Montenegro and Paraguay); the evaluation of several individual country projects (including Mongolia, Senegal and Nicaragua); a global lessons learned meeting which convened all GAP-supported projects from all continents; and the completion of an external mid-term review of the Programme.

2011 was also the year of implementing the Global Programme's **regionalization strategy**. Four Regional Posts were created for West

> *The GAP decentralised its work with four Programme Officers based in Regional Service Centres*

and Central Africa (Dakar), Asia and the Pacific (Bangkok), Arab States (Cairo) and Europe and the CIS (Bratislava), and specific regional plans were developed. The successful Africa Forum on Civil Society and Governance Assessments and its follow-up (see Story 2 p.7) is an example of the positive effects of this strategy. Also mentioned above, the Programme **supported the transition process in the Arab States** in different ways: a mission was fielded to Egypt where the GAP had been supporting the Social Contract Centre to develop governance indicators for Egypt. In support of the democratic transition programme of UNDP Tunisia, expertise was provided on how to assess civil society participation and potential obstacles to civic engagement. This resulted in the first mapping of Tunisian civil society which played a central role during the revolution but has not necessarily been well represented after the election. This mapping was the initial step in implementing a rapid Civil Society Index, a methodology developed by CIVICUS in response to the numerous democratic transitions in the region.

Communication and advocacy efforts to mainstream nationally-owned governance assessments also took a significant step forward in 2011. This is exemplified by the Oslo Governance Forum held in October, the publication of the book *Making the State Responsive* (see Story 1 above), as well as the production of professional videos on governance assessments, in addition to the further development of the GAP Portal www.gaportal.org. Additionally, support to innovative communication strategies at the country level, including the use of new technologies, was increased.

OGC continued to gather information about **governance assessments in fragile and conflict-affected countries**. We also published an issues paper on opportunities and challenges and a discussion paper on statistical capacity which specifically addressed situations of fragility.

As in previous years, **country support** continued to be the main priority of the Global Programme, and reached 35+ countries in 2011 through effective desk support, country missions, and the facilitation of **South-South** support between countries.

Working partnerships with other UN agencies were further consolidated in 2011 and continued to expand in breadth and depth the governance assessments work. For example, the partnership with **UN Women** initiated in 2010 resulted in concrete improvements in the gender-sensitivity of country-led assessment processes in four countries, and a new agreement was made to pursue the experience in four more countries in 2012. **UN-REDD** also launched four pilot country projects (as discussed above).

The table below provides some of the 2011 highlights:

Intended Outputs	Results 2011
1. Consolidated and decentralised assessments team Maintain and develop the Governance Assessments Team Create Regional Governance Assessments Posts	While maintaining the new staff members from 2010, the Governance Assessments Unit implemented the regionalization strategy conceived in 2010. This involved the creation of four Programme Specialist posts based in the Regional Service Centres of Dakar, Cairo, Bangkok and Bratislava. In addition one Oslo-based team member was specifically in charge of working on assessments in Latin America. This decentralization process of the team allowed for significant expansion and regional specialization of the governance assessment work.

2. GOVERNANCE ASSESSMENT FORUM

Hold global forum with leading government, civil society, academia, and media working on governance assessments in Oslo

The Oslo Governance Forum was held in 3-5 October and was the major public event for DGG in 2011. More than 280 policy makers, academics and practitioners from various international organizations and civil society from both South and North met to discuss how governance assessments can play a critical role in strengthening democracy and governance in a number of areas including human rights, anti-corruption, post-conflict and fragile situations, service delivery or natural resources management. The Forum endorsed the Oslo Principles on Democratic Governance Assessments.

See www.oslogovernanceforum.org

3. KNOWLEDGE PRODUCTION AND DISSEMINATION

Publish book advocating for nationally-owned governance assessments, with leading academic and experts contributions

Continue to publish and strategically disseminate *Users' Guides* and other resources

As in previous years, 2011 has been productive in terms of developing knowledge, guidance and advocacy material on governance assessments [see full publications list below]. One key publication in 2011 is the book 'Making the State Responsive, Experience with Democratic Governance Assessments', which takes stock of two decades of governance assessment work and shows through concrete cases how country-led assessments have been able to make a difference on the ground. The book was launched at the Oslo Governance Forum.

4. GLOBAL GAP LESSONS LEARNED MEETING

For the first time, all the countries conducting governance assessments supported by the GAP across continents met to share lessons learned from their experiences. This exchange highlighted striking facts and useful lessons learned about country-led governance assessments, captured in a GAP Lessons Learned Report.

5. REGIONAL AND SOUTH-SOUTH SUPPORT

The implementation of the GAP regionalization strategy allowed for enhanced regional programmes in all regions. Regional and South-South support activities include:

• Africa Forum on Civil Society and Governance Assessments

• Piloting of anti-corruption toolbox for Parliamentarians in Africa

• Bilateral support between Latin American countries working on governance assessments (example: Nicaragua-Dominican Republic; Mexico-El Salvador etc.)

6. COUNTRY-LED GOVERNANCE ASSESSMENTS PROJECTS SUPPORTED

Substantive support was provided to 35+ countries to conduct nationally-owned governance assessments, through desk support and field missions.

7. PARTICIPATORY GOVERNANCE ASSESSMENTS FOR REDD +

In partnership with UN-REDD, four Participatory Governance Assessments (PGAs) for REDD+ pilots were launched by building on UNDP OGC's approach to democratic and country-led governance assessments and FAO's expertise in data collection. PGAs are seen as particularly relevant given specific recommendations in the Cancun Negotiations Text from COP 16, where countries are requested to provide relevant information on how safeguards are promoted, addressed and respected. The pilots are currently being implemented in Indonesia, Vietnam, Ecuador and Nigeria.

8. GENDER GOVERNANCE INDICATORS

As part of the UNDP and UN-Women partnership, GAP has been working with gender specialists to produce gender-sensitive governance indicators. Countries supported through this initiative include Vietnam, Nicaragua and Dominican Republic.

9. GLOBAL PROGRAMME MID-TERM REVIEW

An extensive external mid-term review of the Global Programme was successfully conducted and published. The MTR Report calls for continued support to and expansion of the Global Programme.

More information on all activities and results of the Global Programme on Democratic Governance Assessments, including details on country cases, are available in the Programme's *Mid-Term Review* and *Lessons Learned Report*. See also www.gaportal.org

3.3. Policy and Programming Analysis

The Analysis and Learning Unit has done extensive work in the areas of DGTTF Analysis, Democratic Governance Programme Analysis, Emerging Issues and Training/Learning Services. The Unit also significantly contributed to the development of UNDP policies and programmes in the area of strengthening civic engagement and social accountability, in collaboration with the Civil Society Division of Bureau of External Relations and Advocacy and UNDP Regional Centres.

In 2011, the unit continued to develop a Guidance Note on **institutional and context analysis** (ICA), which had emerged as a direct response to demand from Country Offices for a resource to help UNDP staff understand the political and institutional context in which they operate, in a manner that is suited to the needs and mandate of the organization. In order to help refine the ICA guide, the unit organized two major learning events in cooperation with regional centres: the *Political Economy Analysis for UNDP: Approaches and Methods seminar* was held in Bangkok from June 13 – 17 and the *Institutional and Context Analysis for UNDP: Approaches and Methods regional training workshop* was held in Cairo from October 24 – 27, with the aim of strengthening the ability of UNDP Country Directors, UN Country teams and UNRCs to navigate the increasingly complex environments in their respective regions.

As part of its continued analysis of **DGTTF interventions**, the OGC *reviewed the catalytic and innovative nature of governance assessment projects* in *China*, *Montenegro* and *Paraguay*. The lessons learned and recommendations stemming from these analyses were pivotal in designing second phases of governance assessments in these countries. Taken together, the project reviews provided valuable lessons on the political economy of governance assessments, as well as key insights on how to capitalize on country-led governance assessments. These lessons were shared and discussed with country offices, regional centres and regional bureaux and within the Global Programme on Governance Assessments, also during a lessons learned workshop on the margins of the Oslo Governance Forum.

In order to ensure a **response to emerging corporate priorities**, a *Strategic Visioning exercise* was undertaken to ensure that DGG is positioned to deal with emerging challenges in a timely fashion. The exercise was led by the DGG Director, with OGC acting as a focal point. A number of think-pieces on emerging trends in democratic governance were commissioned by leading authors in the field of democratic governance, with the aim of providing *critical "out of the box" thinking* about the role of democratic governance in the next 10 years. Following a workshop in New York, a discussion paper entitled 'Responding to trends in Democratic Governance' was developed and widely shared among development practitioners. During the Oslo Governance Forum, one session was devoted to emerging trends which generated high level of participation and discussion. The discussion paper will be used to influence the broader UNDP, UN and wider discourses over the next decade, including ensuring that democratic governance is appropriately integrated into the outcomes of Rio+20 and the Post-2015 development framework.

In 2011, the unit continued to develop an institutional and context analysis, a political analysis approach for UNDP

Intended Outputs	Results 2011
1. DGTTF Analysis	Eight new titles were published under the DGTTF Lessons Learned Series, covering DGTTF project assessments on local governance, citizen security and governance assessments in Europe and the CIS, Latin America and Asia. Project assessments were conducted in partnership with the OGC GAP team in Paraguay, China and Montenegro. Based on the project assessments in Europe and the CIS, a regional workshop on inter-municipal cooperation was organized in cooperation with the UNDP Bratislava Regional Centre, and there are plans for a regional workshop on citizen security in Latin America in 2012.
2. DG Programme Analysis Analytical work on informal institutions with BCPR conducted. Analytical work on methodology of measuring governance interventions carried out	An e-query on experiences and lessons learned from UNDP engagement with informal actors was published jointly with BCPR on dgp-net and cprp-net. Inputs from replies from Country Offices were integrated in a draft discussion paper on 'Informal Actors and Institutions in Governance'. A draft Manual on Democratic Governance program indicators was developed to assist UNDP country office staff with identifying and selecting democratic governance indicators to monitor the results of programs. This will be further developed in 2012.
3. Emerging Issues Support to visioning on democratic governance in the next strategic plan mapped and underway; support on inclusive, accountable and responsive state; analytical support to other areas as determined by DGG and OGC Directors	Support was provided to the DGG Director in relation to the strategic visioning exercise: a number of think-piece papers on emerging trends in democratic governance were commissioned with the aim of providing critical 'out of the box' thinking about the role of democratic governance in the next 10 years. From these and other sources, a discussion paper 'Responding to trends in Democratic Governance' was written in-house. In June, a workshop on emerging trends in democratic governance took place in New York where the discussion paper was presented with the aim of informing future policy and programming.
4. Training/Learning Services	The Learning and Analysis Unit of the OGC led the development of the UNDP Institutional and Context Analysis (ICA) Guidance Note, a resource for staff who are interested in conducting political economy analyses for programming purposes based on UNDP's unique mandate. In partnership with UNDP regional service centres, the UNDP Bureau for Crisis Prevention and Recovery and the UN Staff College, the OGC held two regional trainings based on the ICA methodology for Country Offices in the Asia Pacific and Arab States, as well as two inter-agency courses in Kigali, Rwanda and at the Staff College in Torino. In all, over 100 participants from over 40 countries, including UN Resident Coordinators participated in the trainings. As a result, senior UNDP managers have taken an ICA approach to strategic planning and programming in Asia and the Arab States.
5. civil society strengthening and social accountability In collaboration with CSD, publication on social accountability and the MDGs completed and disseminated; development and population of database of experiences in social accountability, in collaboration with CSD develop an effective mechanism for south-south exchange on social accountability and civil society strengthening.	A database of 27 cases of social accountability and citizen monitoring initiatives implemented by UNDP and other actors was developed, which systematizes and make easily accessible the experience and lessons available. In collaboration with the Civil Society Division, the work on developing the publication 'Social Accountability for improved governance and achievement of the MDGs' has started. The first drafts were developed in the last quarter. The work will be completed in the first quarter of 2012.
6. communication for empowerment and communication for Development Collaborate with other UN Agencies with 12th Inter-Agency UN Roundtable on C4D	Support was provided throughout the year in developing the agenda and the content of the UN Roundtable on Communication for Development (C4D) which took place in November in Delhi, hosted by UNICEF. In particular, OGC supported the development of UNDP's background paper and also financed the participation of one UNDP staff member and two key external speakers at the Roundtable.

4. OGC Publications 2011

4.1. Governance Assessment Publications

MAKING THE STATE RESPONSIVE: Experiences with Democratic Governance Assessments

"This book presents an outstanding analysis of dramatic shifts in the theory and practice of governance over the past two decades. Richly illustrated with case studies of reforms in developing countries, it makes a compelling case for citizen engagement and advocacy by national and international stakeholders to promote an inclusive and responsible state in a rapidly globalizing world" Shabbir Cheema, Director, Asia-Pacific Governance and Democracy Initiative, East-West Centre, Honolulu, USA.

'Making the State Responsive' is the first knowledge product of its kind that seeks to bring together the theory and practice of Democratic Governance Assessments. The book traces the evolution of the theory and practice of governance assessments over the last twenty years. It provides a detailed overview of shifts at the conceptual and practice levels of democratic governance, locating governance assessments in a broader discourse on democratization and governance.

The purpose of this book is to take stock of what has happened to governance and governance assessments in the past two decades. There have been significant changes in both theory and practice. At the theoretical level the most notable shift has been toward treating governance as regime management. This has meant a greater emphasis on the "rules of the game" and the political dynamics surrounding the implementation of these rules. At the level of practice, there has been a growing recognition of the role that citizens play in formulating policy and holding officials accountable for a fair and just execution of these policies. These changes, which have gradually occurred since the early 1990s, when governance became part of the international political discourse, amount to a renewed look at the state and its role in development.

The volume discusses and analyses a cross-section of democratic governance initiatives that UNDP has been involved in supporting, but it also includes other activities in the field that fall under the same label of democratic governance. Thus, it places UNDP experience in a comparative perspective, which allows for a broader theoretical and practical reflection on the evolution of the governance discourse and practice over the past two decades. In this respect, the volume is a stock-taking of governance and governance assessment that should be of interest to a broad range of governance researchers and practitioners.

In addition to a first chapter that focuses on the evolution of the governance concept and three background chapters dealing with governance assessment, both generally and in specific regard to the UNDP, nine separate case studies provide more detailed information about various approaches to democratic governance and the lessons learnt from them. Each case study describes the initiative's objectives, scope and methodology, and lessons learnt. The concluding chapter

draws the lessons from these cases for UNDP and other actors in the field and includes suggestions for what needs to be considered in future work.
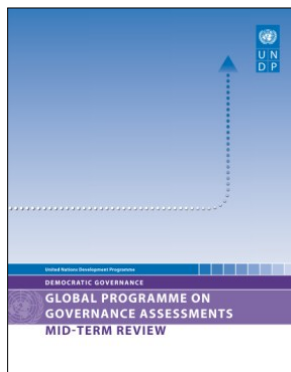
Global Programme on Governance Assessments − Mid-Term Review

A mid-term review of the Global Programme on Governance Assessments 2008-2012 was conducted in 2011. The review is primarily a strategic, forward looking assessment to document lessons and provide recommendations based on experience so far. The review will inform the continuing development of UNDP's conceptual as well as operational approach to governance assessments, taking account of the changing nature of competitive advantages and demand from UNDP country offices and national counterparts since the programme began. The review will contribute to improving the management of the global programme by assessing management capabilities, including the capability for strategic action, delivering on outcomes, and of demonstrating leadership in the area of governance assessments.

The Mid-term Review points out the relevance, effectiveness and strategic role of country-led and participatory governance assessments in terms of building local capacity, enhancing policy processes, strengthening accountability and adding value to democratic governance at the national level. The programme has provided direct support to Governance Assessments projects in 35+ countries..

Fast Facts on Democratic Governance Assessments

This August 2011 issue from UNDP's Fast Facts series gives in two pages an overview of UNDP's work on democratic governance assessments.

Development and Use of Governance Indicators in Africa

On commission from the United Nations Development Programme Oslo Governance Centre and the European Commission, the Institute for Democracy in South Africa (IDASA) has partnered with think tanks in three countries to produce a comparative study on the role and potential of national governance assessments in strengthening democratic governance in sub-Saharan Africa. The report offers clear policy recommendations to inform donor strategies, and emphasizes the importance of national processes.
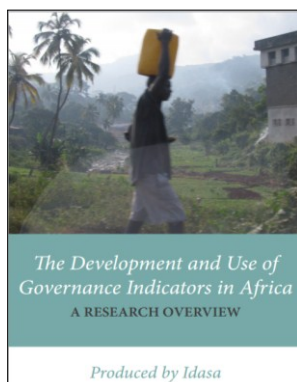
Four country reports were also prepared:
• Development and Use of Governance Indicators in Africa: Full Report
• Development and Use of Governance Indicators in Africa: Case of Ghana
• Development and Use of Governance Indicators in Africa: Case of Mozambique
• Development and Use of Governance Indicators in Africa: Case of Rwanda

Governance Assessments in Conflict and Fragile Environments: Challenges and Opportunities

This issue brief on governance assessments in conflict and fragile states gives a short overview of important aspects and challenges of conducting governance assessments in fragile settings.

The key messages are how locally-driven governance assessments can enhance the capacity and legitimacy of fragile and conflict-affected countries and how programmatic challenges can be mitigated with solid analysis and methodological techniques. Country examples and context specific challenges are discussed as well as programming solutions and opportunities.

Measuring National Statistical Capacity in Conflict and Fragile Countries

This discussion paper presents the issue of measurement of statistical capacity in conflict-ridden and fragile countries, showing its importance for public policy and measuring peace- and statebuilding strategies, and as an indicator in itself of state capacity. It critically reviews the existing tools for measuring national statistical capacity and their applicability to conflict-fragile countries, identifying shortcomings and putting forward some suggestions on how to adapt them to conflict and fragile countries.

'Measuring National Statistical Capacity in Conflict and Fragile Countries' addresses the particular difficulty of fragile states to collect and process data due to capacity constraints and conflict-specific issues and it stresses the need to tailor statistical capacity assessment methodologies to the particular characteristics of conflict-affected countries.

4.2. Analysis and Learning Publications

DGTTF Lessons Learned Series

China
The assessment report focuses on the DGTTF-project Support for the Development of a Governance Assessment Framework in China, which took place in 2008 and aimed to build a broad consensus on governance assessment, and establish a governance assessment framework in accordance with the political realities in China.

Montenegro
This report's findings are the result of a review of a DGTTF-funded project, Assessing and Monitoring the State of Governance in the Context of European Integration in Montenegro. The objective and scope of the project was to establish a system of governance indicators on political criteria for European integration.

Paraguay
This publication presents the findings of the review of the DGTTF-funded project System for Monitoring and Evaluation of Democratic Governance in Paraguay, which started in 2008. The project aimed to support a national process of monitoring and evaluating democratic governance in Paraguay.

Uruguay

This report presents the findings of the assessment of two citizen security projects funded by the DGTTF in Uruguay between 2006 and 2008, to support the participatory design of security sector policies. The report is only available in Spanish.
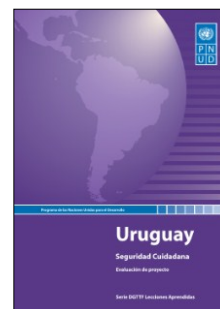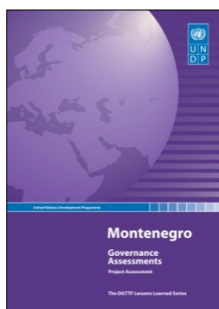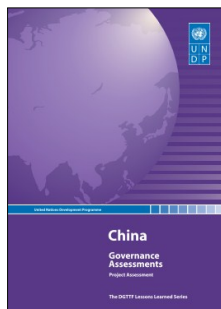
Nicaragua

This report presents the findings of the assessment of five citizen security projects, funded by the DGTTF in Nicaragua between 2002 and 2007. Together and in a sequential manner, these projects established social cohesion and citizen security as a State policy. The report is only available in Spanish.

Tajikistan

This report contains the findings of a review of three projects, funded by the DGTTF, in Tajikistan for the years 2006, 2007 and 2008. The projects were part of UNDP's broad efforts to support the development of local governance and provide assistance to regional development in Tajikistan

FYR Macedonia

The findings presented in this report are the result of an assessment on two DGTTF funded projects in FYR of Macedonia in 2005 and 2007. The projects were part of UNDP's broader efforts to support decentralized governance through assistance to inter-municipal cooperation and to regional development.

Ukraine

This study presents the findings of an assessment of the Promotion of Integrated Strategic Planning and Public Service Delivery Systems project in the Autonomous Republic of Crimea. The project was implemented in the Autonomous Republic of Crimea/Ukraine in 2006, with resources provided by the Democratic Governance Thematic Trust Fund.
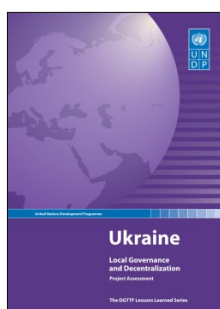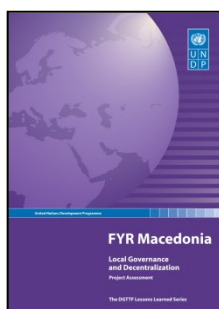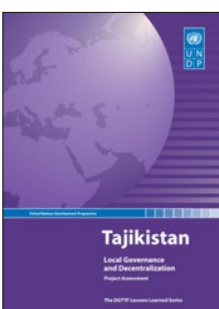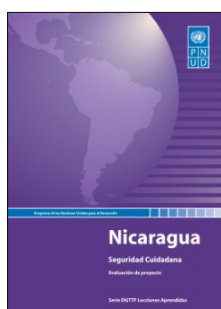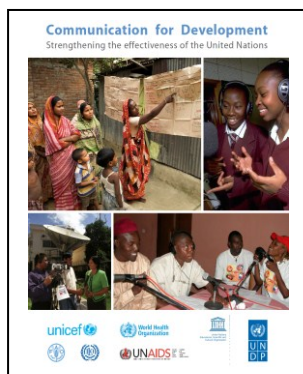
Communication for Development:
Strengthening the effectiveness of the United Nations
This is the first UN Inter-agency publication on Communication for Development that illustrates the diverse Communication for Development approaches adopted by various UN agencies to enhance citizens' participation and dialogue around policy processes. The publication is jointly produced by FAO, UNDP, UNESCO, UNICEF, UNAIDS, ILO and WHO. It is available in English, French and Spanish.
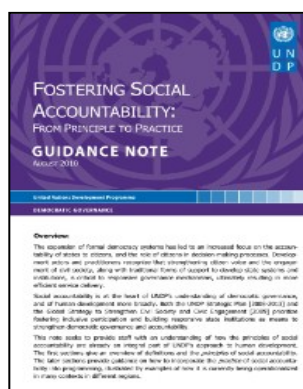
Fostering Social Accountability: From Principle to Practice. Guidance Note (Arabic, French, Spanish)
Using examples from different contexts and regions, this guidance note provides an overview of social accountability principles and offers guidance on how to incorporate its practice into programming. In 2011 the publication was made available in three other UN languages (Arabic, French and Spanish).

5. OGC Staff 2011

Sarah Lister	Adviser – Analysis and Learning and Officer-in-Charge	All year
Claudia Melim-Mcleod	Adviser – Analysis and Learning	All year
John Samuel	Adviser – Governance Assessments	All year
Bo Jensen	Special Adviser – Secondment Denmark	All year
Joachim Nahem	Manager – Governance Assessments	All year
Darko Pavlovic	Manager – Analysis and Learning	All year
June Fylkesnes	Administrative Associate	All year
Torni Iren Johansen	Administrative Associate	All year
Ingvild Oia	Research Officer	All year
Javier Fabra	Programme Analyst	All year
Paavani Reddy	Research Associate	Left July
Vidar Ellingsen	Programme Specialist	All year
Henri Schumacher	Governance Specialist	All year
Tina Hageberg	Programme Officer UN-REDD	All Year
Danae Issa	Programme Analyst	All year
Christopher Wilson	Communications Analyst	Started March