United Nations

COMMON COUNTRY ASSESSMENT and UNITED NATIONS DEVELOPMENT ASSISTANCE FRAMEWORK

Guidelines for UN Country Teams
preparing a CCA and UNDAF in 2004

July 2004

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Preface

Our agenda for the foreseeable future emanates from the Millennium Declaration, which represents an unprecedented consensus on the human condition and what to do about it… We must ensure that our broader, age-old mission – to promote justice and tolerance, to prevent conflict, to combat poverty, to protect the environment, to advocate equal rights for women – and new challenges such as the AIDS epidemic – receive the urgent, concerted attention they so merit. (Excerpts from the letter of the Secretary-General to United Nations staff, 25 March 2002

As part of his 1997 reform agenda to make the United Nations an effective institution for world peace and development in the 21st century, the Secretary-General stressed the inter-linkages between peace and security, poverty reduction and sustainable human development and the promotion and respect for human rights. In response to his call for the United Nations to articulate a coherent vision and strategy for a unified approach towards common development goals at the country level, the Common Country Assessment (CCA) and the United Nations Development Assistance Framework (UNDAF) were adopted as strategic planning tools for the UN system. Guidelines for their preparation were first issued in April 1999. These Guidelines were revised in May 2002 to reflect lessons from CCAs and UNDAFs prepared and to take into account the 2000 Millennium Declaration, the Secretary-General's 2001 Road Map towards the implementation of the Declaration, his 2001 report on the prevention of armed conflict and General Assembly resolution 56/201 on the triennial comprehensive policy review of the operational activities of the United Nations system.

This 2004 update of the CCA and UNDAF guidelines reflects:

a) Lessons gained from the preparation of CCAs and UNDAFs in 2003 and early 2004.
b) Decisions agreed by the UNDG to include reference to indigenous peoples and durable solutions for displaced persons.
c) Request by the CEB to include issues of organized crime and corruption in programme planning mechanisms including the CCA and UNDAF.

One important lesson from piloting UN Country Teams was that the Guidelines might be adapted to country-specific circumstances, as considered appropriate by the UNCT, subject to maintaining the minimum UN system quality standards indicated in the Guidelines.

In adopting these Guidelines on 24 October 2003, and considering the common experience of all 3 generations of CCAs and UNDAFs (more than 80 UNDAFs and more than 100 CCAs so far), the UNDG Programme Group emphasized the direct relationship between the quality of CCA and UNDAF and the quality of UN country teams' teamwork including the leadership of the Resident Coordinator in the CCA and UNDAF processes. Also the involvement of all national partners and non-resident agencies in the CCA and UNDAF processes is of highest importance.

These Guidelines cover the CCA in Part 2 and the UNDAF in Part 3. Part 4 relates to monitoring and evaluation while Part 5 describes the management of the whole CCA/UNDAF process. Part 6 relates to the subsequent preparation of the country programmes and projects by UN agencies. Supporting annexes contain the Indicator Framework for the CCA, a one-page checklist for use by UN country teams during the UN programming process, a glossary, hyperlinks to Conventions of the UN System and other useful references and a list of abbreviations used in the text. Throughout the text, clicking on the blue underlining (hyperlinks) should take you to the subject concerned, further web based information and/or good examples or practices.

This 2004 version of the CCA/UNDAF Guidelines, completed with the involvement of many agencies of the UN system, should be seen as a minimal incremental update rather than a full revision of the Guidelines as the latter is expected to follow the 2004 Triennial Comprehensive Policy Review. In preparation for the latter, suggestions and comments to improve these Guidelines are most welcome at any time and should be emailed to the Director of DGO (sally.fegan-wyles@undp.org), copied to arthur.erken@undp.org. In approving the Guidelines, the UNDG Programme Group indicated that they should be regularly updated to reflect newly emerging lessons from experience and new developments in the UN System in a timely manner. However, it was agreed that the Guidelines as contained in the present document constitute the key reference guide for CCAs and UNDAFs to be prepared in 2004.

Summary

These Guidelines are intended to help United Nations Country Teams (UNCTs) to prepare Common Country Assessments (CCAs) and United Nations Development Assistance Frameworks (UNDAFs) as the first steps in the preparation of country programmes and projects supported by UN agencies. Analysis contained in a CCA or a similar national document provides the rationale for UN operations in the country concerned while the UNDAF indicates their link to national priorities (including the MDGs), their strategic direction and expected results.

Part 1 of the Guidelines elaborates on these purposes and outlines the major steps involved in the UN's programming sequence, including the issue of the timing of the cycle and the need for flexibility in the process. The sequential linkage between the CCA, the UNDAF and the country programmes and/or projects of specific UN agencies is illustrated in the road map on the next page. The road map also summarizes who does what and when in the process of preparing the CCA and UNDAF. Part 1 also describes how the CCA/UNDAF processes relate to other national development processes (illustrated in the diagram on page CHECK 5).

Part 2 details the CCA process and indicates the results expected from a CCA. This analytical process identifies the root causes of the major development challenges faced by the country. In doing so, it indicates who are the most vulnerable, disaggregating appropriately to capture the extent and location of poverty and highlighting gaps in capacity at various levels. As such, the analytical work may be useful not just for the UNCT's preparation of the UNDAF, but also for other national development interventions, like the PRSP. Conversely**, if other comparable analyses already exist, the CCA should complement rather than duplicate these**.
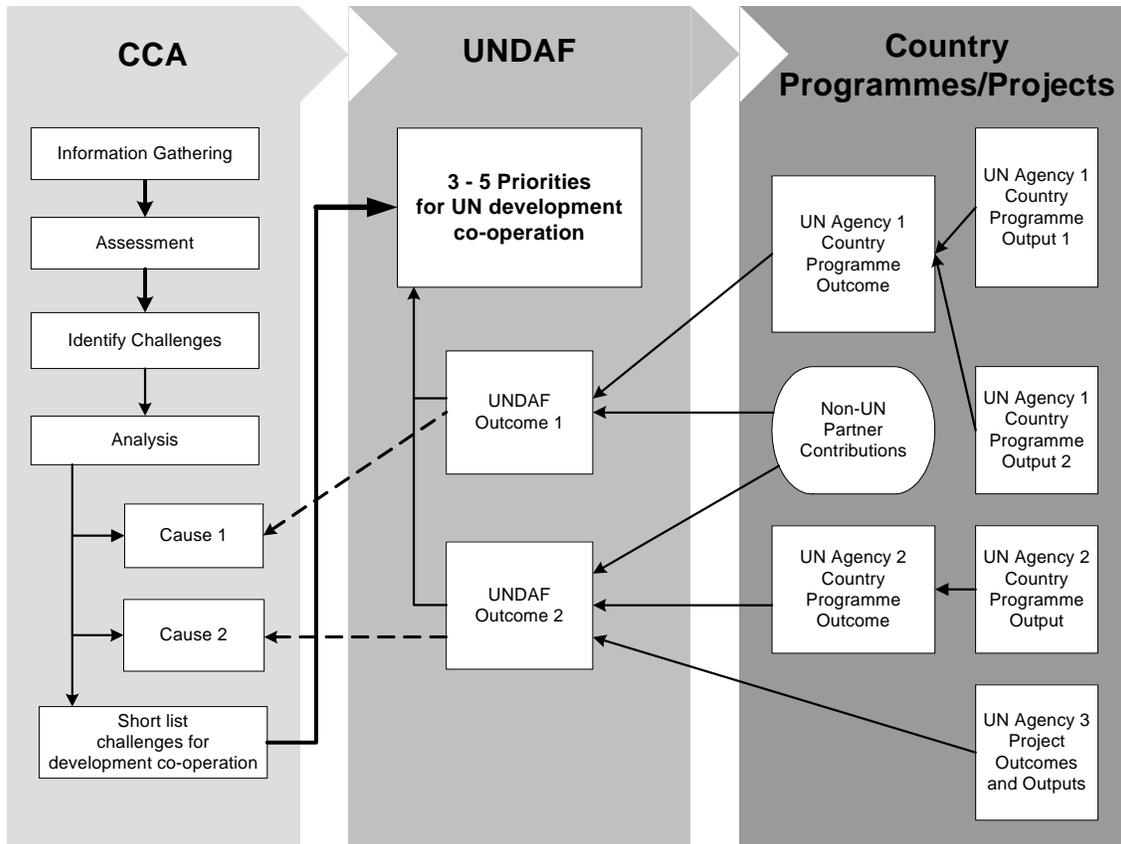
Part 3 covers the structure and content of the UNDAF. **Central is the agreement of the Government and the UNCT that the UN focus on three to five priorities selected from those challenges identified through the CCA process. The selection of these top priorities should be driven by the collective comparative advantage of the UN system in addressing selected challenges identified in the CCA, as seen by the Government, the UNCT and its other partners. In short, <u>where can the UN system, seeking development results together, make the biggest difference</u>?** These three to five priorities are reflected in a results matrix which in addition to being the core of the signed UNDAF is also used and updated, as required, to guide and monitor progress of UN operations to achieve the planned results in the agreed three to five priority areas. The matrix also serves to identify areas for joint programming by two or more UN agencies, as well as for other partners.

More precise details on the monitoring and evaluation of results, jointly by the UNCT, are provided in Part 4. The format of a required UNDAF evaluation plan is given along with hints for its preparation and for the UNDAF evaluation, which should be carried out in the penultimate year of the UNDAF.

The management of the CCA and UNDAF process and key steps therein are outlined by Part 5. Major steps include country stakeholder workshops aimed at achieving national consensus on content as well as external review of early drafts for quality assurance and to facilitate learning from experience.

Finally, Part 6 relates the CCA and UNDAF to the preparation of country programmes and projects of individual UN agencies. These should be designed to support the agreed priorities reflected in UNDAF.

ROAD MAP OF THE UN COUNTRY PROGRAMMING PROCESS

CCA → UNDAF → Country Programmes/Projects

CCA

- Information Gathering
- Assessment
- Identify Challenges
- Analysis
- Cause 1
- Cause 2
- Short list challenges for development co-operation

UNDAF

- 3 - 5 Priorities for UN development co-operation
- UNDAF Outcome 1
- UNDAF Outcome 2
- Non-UN Partner Contributions

Country Programmes/Projects

- UN Agency 1 Country Programme Outcome
- UN Agency 1 Country Programme Output 1
- UN Agency 1 Country Programme Output 2
- UN Agency 2 Country Programme Outcome
- UN Agency 2 Country Programme Output
- UN Agency 3 Project Outcomes and Outputs

WHO DOES WHAT and WHEN?

CCA Process
Who: UNCT (comprises resident Heads of all UN Agencies chaired by RC), Govt., civil society and other stakeholders.
As appropriate, sets up
- Steering Committee
- Theme Groups
- Drafting Group

Draft CCA

Regional Readers Group:
Reviews 1st draft
Who: Regional units of UN agencies, chaired by UNDG Agency elected by Regional Directors

UNCT prepares final draft of CCA
Local stakeholders meeting: concensus on major challenges and causes

Final CCA
Completed by 30 September of penultimate year of the cycle

UNDAF Process

Prioritization Retreat: Govt., UNCT, civil society, other stakeholders
Consensus on top 3-5 priorities
(reflect in UNDAF Results Matrix)

Draft UNDAF

Regional Readers Group:
Reviews 1st draft
Who: Regional units of UN agencies, chaired by UNDG Agency elected by Regional Directors

UNCT Prepares final draft of UNDAF
Local stakeholder meeting concensus on UN strategy and results

Final UNDAF
completed by 31 December and signed by Government and UNCT by 31 March

Country Programmes/Projects

Joint Strategy Meeting: At the JSM Govt. endorses substance of draft country programmes and projects following review of their consistency with UNDAF. (February)

Draft Country Programmes submitted to HQ (by 31 March)

Draft projects reviewed by agency approval mechanisms as appropriate

Country Programmes discussed by Executive Boards (June-September)

Projects approved

Country Programmes revised and posted on agency websites (October-November)

Country Programmes approvedby Executive Boards January of first year of new cycle

UNDP, UNFPA, UNICEF, WFP

Other UN Agencies

1.1 The UN programming sequence

Harmonized and integrated programming at the country level is undertaken by the United Nations system in partnership with the Government and the other key development partners. The UN's programme process has the following key steps, also summarised in the road map on page 4:

(a) **Assessment:** The assessment determines whether and where a development challenge exists, its intensity and who is affected.

The Millennium Declaration, the MDGs, and the commitments, goals and targets of international conferences, summits, conventions and human rights instruments of the UN system are the benchmarks against which it can be determined whether and where major challenges exist in a country and their severity. This assessment is part of the CCA.

(b) **Analysis:** The causes of selected major challenges are analyzed and national awareness and capacities to address the challenges assessed. The analyses identify the major determinants and options for addressing the challenges.

The analysis usually describes the interrelated causes of the problem, of which the most important need to be addressed. This is also part of the CCA.

(c) **Prioritizing development challenges:** Not all challenges identified in the CCA can be addressed at the same time. Three to five need to be prioritized to enhance the collective impact of UN development operations, gain synergies and reduce transaction costs from UN programme cooperation.

Prioritization is guided by criteria, such as the magnitude and growth of the challenge; whether a national commitment exists; whether the challenge falls within the range of UN agencies' mandate and comparative advantage; whether the possibility for synergies between the efforts of partners exists; and, most importantly, where the UN - acting together - can make the biggest difference. This step is part of UNDAF.

(d) **Clarifying expected results and the role of different actors:** To ensure that the prioritized issues are adequately addressed, the results necessary for each and the corresponding roles and commitments of agencies and development partners are described and logically inter-related in a results matrix.

The UNDAF results matrix indicates the results that Government, other national partners, and UN agencies commit themselves to achieve. The matrix makes it clear that UNDAF outcomes can only be achieved if all partners deliver on their respective commitments.

(e) **Designing country programmes and projects:** UN agencies, together with their national counterparts and other partners, including beneficiaries, agree and describe their proposed programmes and projects of cooperation and seek approval, as appropriate, from their governing bodies.

For UNDP, UNFPA, UNICEF and WFP, this is done through developing draft Country Programme Documents, consistent with the UNDAF. After review at a Joint Strategy Meeting with Government, these are submitted to the respective Executive Boards. The Country Programme Documents are finalized in the light of Board comments for formal approval.

(f) **Monitoring and evaluation:** In partnership with the government, UN agencies are expected to collectively assess progress towards the UNDAF's expected results complemented by reviews and evaluations of specific aspects of country programmes and projects.

1.2. Guiding principles

The principles which guide the UN's programming process and products include:

- Seek full government leadership and participation in all stages of the process to ensure that the UNDAF is conceived as an integral part of the national development process;
- Respond to national priorities, especially those which will help achieve the Millennium Development Goals (MDGs) and the other commitments, goals and targets of the Millennium Declaration and international conferences, summits and conventions and human rights instruments of the UN system;
- Focus primarily and coherently on getting results in those areas where the UN collectively can make the biggest difference;
- Ensure an inclusive, dynamic process with a broad range of national and international stakeholders, including non-traditional development partners and taking into account latest trends and up-to-date data;
- Aim to develop lasting in-country capacities at individual, institutional and societal levels;
- Adjust the timing of the UNDAF cycle so that it fits well with national priority-setting processes. The UNDAF cycle could be from 3-6 years, if synchronized with the national planning cycle.
- Minimize workload and transaction costs by building on existing analyses and other national development processes that have been completed or are underway, including PRSPs.
- Utilize lessons learned from past development cooperation;
- Address systematically prevention of, consequences and response to man-made crises, including situations of large-scale population displacements, and natural disasters.
- Aim to reduce vulnerabilities of the poorest, including indigenous peoples and migrants;
- Integrate systematically human rights principles and gender equality as well as sustainable development concerns;

The CCA and UNDAF should support government and civil society in pursuit of the universal, indivisible and interdependent human rights, as set out in the Universal Declaration of Human Rights and other international human rights instruments. This should take into account any supervision or monitoring by UN system bodies that may have identified development-related problems. As such, these standards and related human rights principles should guide the preparation of the CCA, UNDAF and subsequent UN programming processes and strengthen their substantive content. While not formally binding, further guidance on this is provided by the Stamford Statement of Common UN Understanding of Rights Bases Approaches to Development Cooperation.
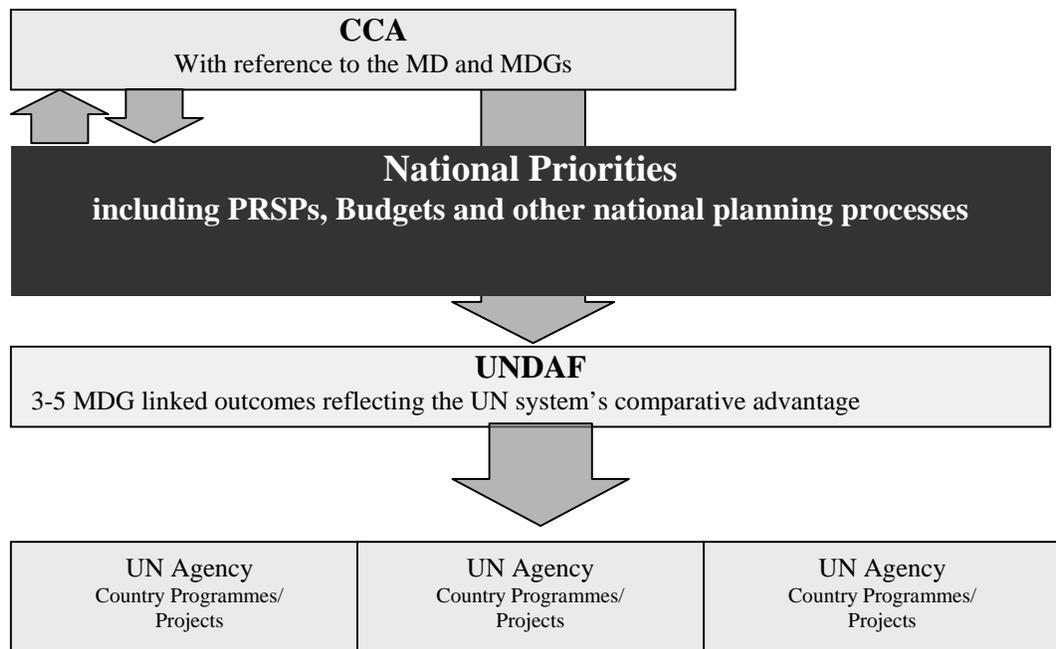
These principles, together with other key management indicators, are reflected in the one page checklist for use by UNCTs during their UN country programming**.**

1.3 How the CCA and UNDAF relate to national planning processes

The CCA draws on national monitoring and analytical processes, and on complementary assessments such as national human development reports, the economic and sectoral work of the World Bank and specialized agencies and on reports prepared in compliance with international treaties and country-specific observations and recommendations of the human rights mechanisms of the UN system.. The CCA *process* and the CCA *product* should be of such a quality that they obviate the need for country macro analyses by individual UN agencies as part of their preparations for country programmes and projects.

Recent high quality analyses of national development challenges may already exist in some countries or a comprehensive national analytical process may be underway. In either case, to best support national planning processes and reduce the burden on counterparts, the UNCT should decide whether additional analysis is required, even in cases where no product has yet emerged from ongoing processes, by judging the terms of reference and content of that process. The UNCT might decide to forego conducting a separate CCA, in case it feels good analytical documents already exist in country or are about to be produced from ongoing processes. If, on the other hand, it decides to undertake a CCA, the ultimate analytical product should identify the root causes of development challenges as considered critical by the UN and should fully cover the collective concerns of the UN system. Such a product or products should meet the criteria of the CCA Quality Checklist.

A key function of the CCA is to support and strengthen the national development process, which may take the form of a PRSP and/or sector programmes such as sector investment programmes and sector-wide approaches. The CCA can either contribute to or benefit from monitoring progress towards the PRSP and the MDGRs. The CCA may also assist in the preparation of CAPs and transition strategies, where applicable.

CCA
With reference to the MD and MDGs

National Priorities
including PRSPs, Budgets and other national planning processes

UNDAF
3-5 MDG linked outcomes reflecting the UN system's comparative advantage

UN Agency Country Programmes/ Projects	UN Agency Country Programmes/ Projects	UN Agency Country Programmes/ Projects

The UNDAF represents the agreement of the Government and UN system agencies to collectively work towards results, expressed as UNDAF outcomes (optimally three to five), derived from the CCA and aligned with national priorities and goals as set out in plans and strategies such as the PRSP and in human rights instruments which Government has ratified. It is noted in this regard that while 189 Member States unanimously adopted the Millennium Declaration, not all have yet adjusted

their national strategies and plans accordingly. The United Nations system collaborates with national and international development partners to assist Governments in using different instruments, including PRSPs where they exist, in this task.[1]

The logical and sequential relationship between the CCA, the UNDAF and individual agency country programmes and projects is illustrated in the road map on page 5.

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[1] The current momentum on harmonization reflected in the DAC Good Practice Papers and the Rome Declaration (http://www.oecd.org) is intended to facilitate national coordination of development cooperation. The UNCT is encouraged to support this. Practical support could include posting the CCA and UNDAF on the "Country Analytic Work Joint Website, where development partners, including the UN, can share country assessments with national and international partners. See http://www.countryanalyticwork.net/

1.4 Are the CCA and UNDAF mandatory?

The CCA and UNDAF are mandatory in countries where there is a UN [harmonized programme cycle](#). A UN harmonized cycle is required where two or more UN agencies are expected to present regular multi-year country programmes to their respective governing bodies for approval.

However, given the overarching goal of national ownership and reduction in transaction costs, the UNCT may decide that the need for a CCA is obviated provided that a comprehensive national analytical process has identified the root causes of development challenges and the collective concerns of the UN have been fully met.

The UNDAF provides the basis for the development of agency programmes. Where there is only one agency programme in a country, an UNDAF is not required.

In countries in crisis or emerging from a crisis, UNCTs that support the national process of a Needs Assessment should use this as their CCA, from which an UNDAF Results Matrix will be developed for the UN response. This process should remain light and appropriate to the situation.

1.5. Timeframe and scheduling

Normally the duration and timing of the UN programming process should be synchronised with the national planning cycle, for example that of a PRSP. This should not be affected by political changes in the country unless the UNCT considers it necessary. Where the UNCT is considering changing the start or duration of the programme cycle from the originally agreed UN harmonized programming cycle, prior agreement should be sought from the UNDG through DGO. The length of the harmonized cycle can range from 3-6 years, depending on national planning processes.

When the UN cycle in a country has been agreed, the scheduling of the CCA and UNDAF preparation within that cycle is determined largely by the harmonized programme approval process calendar. Drafts of proposed country programmes of UNDP, UNFPA, UNICEF and WFP are now normally submitted to the June session of their Executive Boards. These submission dates determine the following timelines for the CCA and UNDAF:

- CCA completed by September of the penultimate year of the UN harmonised programming cycle
- UNDAF completed, with a draft results matrix, by December of the penultimate year of the UN harmonised programming cycle so as to provide the basis for the agency country programmes
- UNDAF signed by 31 March in the final year of the harmonised cycle
- Draft Country Programme documents of UNDP, UNFPA, UNICEF and WFP normally required by the headquarters of the respective organisations by 31 March in the final year of the UN harmonised cycle.

However, UNCTs retain some flexibility on the timing of the CCA and UNDAF. For instance, they may prepare the CCA earlier than suggested if this would facilitate more timely input into the preparation of the PRSP.

2.1 Definition of the CCA

The CCA is the common instrument of the United Nations system to analyse the national development situation and identify key development issues with a focus on the MDGs and the other commitments, goals and targets of the Millennium Declaration and international conferences, summits, conventions and human rights instruments of the UN system.

2.2 Results of the CCA process

The CCA process should normally result in:

- A strategic analysis that identifies the root causes and gender-differentiated and group-specific (minorities, indigenous peoples, displaced persons etc) impact of poverty and other development challenges;
- A substantive contribution to the preparation of national strategies - including the PRSP - for achieving the commitments, goals and targets of the Millennium Declaration and human rights instruments of the UN system[2];
- The identification of capacity gaps of rights holders to make claims and duty bearers to meet their obligations;
- An analysis of opportunities for and obstacles to free, active and meaningful participation in national governance and development processes and outcomes;
- The identification of main development challenges and accountabilities for action to lay the foundation for the UNDAF and other partner responses to development challenges;
- A consensus on the data and analysis required to prepare the MDGR;
- A contribution to developing measures and building capacity for crisis prevention and disaster preparedness; and where applicable to mitigation plans, post-conflict/natural disaster recovery and rehabilitation, and planning the transition from relief to development;
- Strengthened national capacities for data analysis and utilization for priority setting, including risk and vulnerability assessments with geographic and beneficiary targeting, making every effort for the collection of accurate data with respect to indigenous peoples, ethnic and other minorities. Click here (Benin UNCT's 2003 database – Chapter 3) for a good example of using the CCA process to enhance national capacities for data analysis. For a detailed explanation of the DevInfo database system, click here.

2.3 Structure and content of the CCA document

All CCA documents should contain:

a) An **executive summary** with a synthesis of the major findings of the analysis;

b) **Section 1:** A brief *introduction*, explaining the preparation (including national ownership) process and scope of the CCA;

c) **Section 2:** A strategic analysis based on an assessment of the key national development issues, trends and capacity gaps in relation to progress made towards national priorities, with a clear focus on the commitments, goals and targets of the Millennium Declaration and human rights instruments of the UN system[1];

d) **Section 3:** An identification of key areas *of cooperation* among the Government, the UN and other development partners, in response to the identified challenges;

e) **Section 4:** An indicator framework based on the annexed CCA/MDG indicators plus other indicators agreed upon at the country level;

f) **Section 5:** Sources of data.

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[2] With emphasis on the MDGs and international conferences, summits, conventions.

The CCA document should focus on a detailed discussion of core issues, preferably within 30 to 35 pages, excluding annexes.

A description of sections 2 and 3 of the CCA is provided below. Annex 1 gives further guidance on Section 4.

Information-gathering

Section 2 of the CCA begins with a summary of the civil, cultural, economic, political and social context and major trends.

As a first step in building consensus, the UNCT, Government and partners review the indicators from the indicator framework (see annex A) and, if required, add additional indicators consistent with national development priorities. Once the indicator framework is completed to the extent possible, it is used to help to establish a baseline and identify trends, data gaps, and also constraints in the capacity of national statistical systems. Particular attention should be paid to disaggregation of data and to any research – such as poverty hearings – reflecting the situation and views of disadvantaged and marginalized population groups, including women and children, displaced persons, minorities and indigenous peoples. Generally, the CCA should refer to, rather than duplicate data and information contained in other reliable national information systems. Where a Post-Conflict Needs Assessment (PCNA) has been undertaken, the PCNA document can be used by the UNCT in place of a CCA.
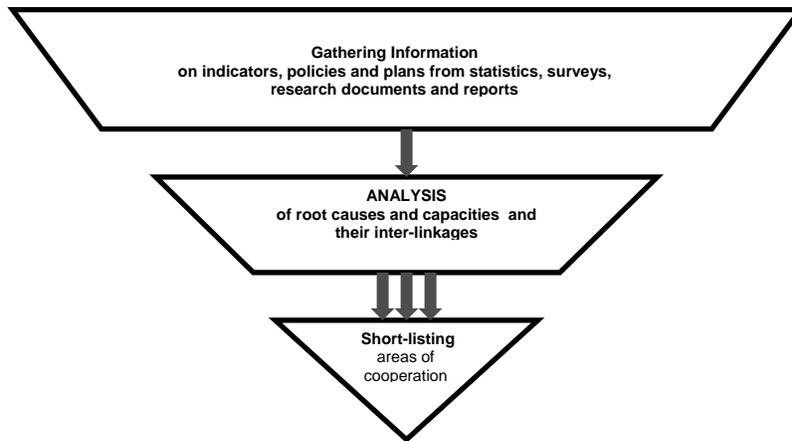
Assessment

Based on available quantitative and qualitative data and information, the assessment reviews the trends in relation to the progress or regression of development indicators. It identifies emergency and development challenges: where these occur, who are most affected and how widespread they are. The assessment should take into consideration the situation of disadvantaged and vulnerable people (for example, populations living in remote or peri-urban areas, in extreme poverty, in disrupted family situations, displaced persons or in disadvantaged minorities) and people facing discrimination (for example on the grounds of race, ethnicity, sex, language, origin and religion). Maps may be used to illustrate geographic or regional disparities and/or trends. Progress made and significant national or sub-national changes since the previous CCA and UNDAF should be noted where applicable. The assessment should also address risks for potential natural and man-made disasters, and discuss the country's disaster preparedness, including the availability of early warning and crisis monitoring indicators.

Selecting development challenges for analysis

From the development challenges identified using the indicator framework, the Government and the UNCT short list, in a participatory manner, issues for deeper analysis. The rationale for the selection should be explained in the CCA document, paying particular attention to how they relate to a deeper understanding of progress and constraints towards the achievement of the goals, commitments and targets of the Millennium Declaration[1] and human rights instruments of the UN system. Observing the guiding principles, criteria for selecting areas for more thorough analysis might include:

- Persistence, severity and scope of the issue;
- Negative trends or particular opportunities;
- Trends that might lead to man-made crises or natural disasters;
- Disparities suggesting unequal treatment, including discrimination against vulnerable and disadvantaged peoples and those persistently excluded, and opportunities for their participation;
- Opportunities for advocacy and programme cooperation by development partners: and
- Opportunities for multiple impacts.

Gathering Information
on indicators, policies and plans from statistics, surveys,
research documents and reports

ANALYSIS
of root causes and capacities and
their inter-linkages

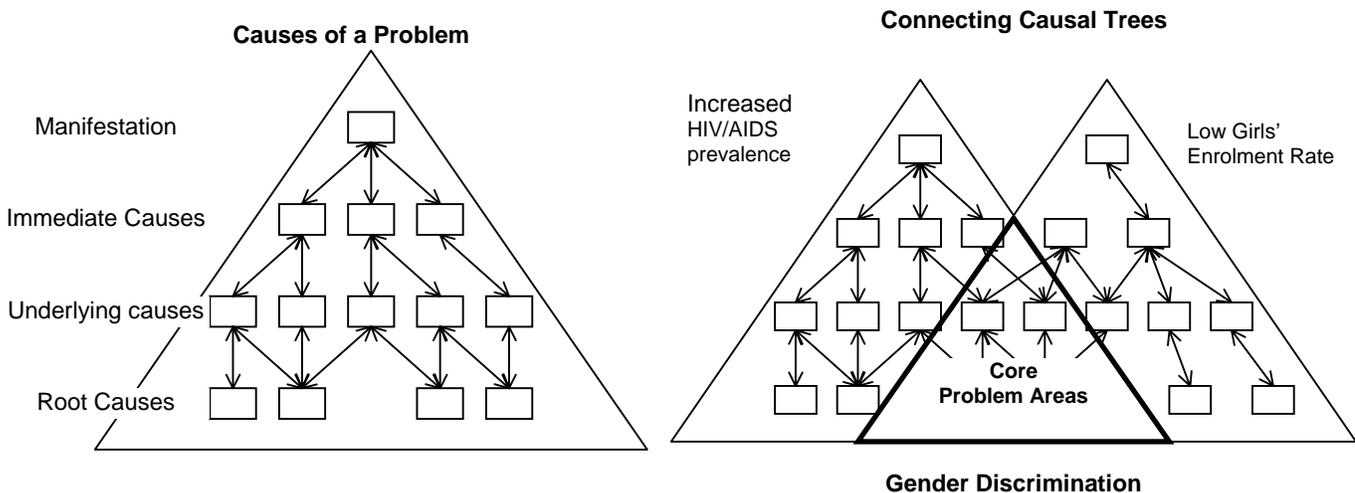**Short-listing**
areas of
cooperation

Analysis of the root causes of development challenges

The analysis organizes the main data, trends and findings into relationships of cause and effect. It identifies underlying and root causes and their inter-linkages as well as the impact of the selected development challenges, differentiated by gender, ethnicity and other demographic aspects. The analysis examines the roles, accountabilities and capacities of different local, national and international actors.

The quality of the CCA and, hence, the relevance of subsequent country programming depends on the depth and quality of the analysis. The greater the specificity in analysing cause and effect, the more accurate will be the resulting development assistance frameworks in identifying steps necessary for the achievement of national and international goals. For instance a statement about the "inadequacy of certain sector policies" is not sufficient to guide development interventions; at the minimum the missing or unsupportive elements should be indicated.

Generally, for each selected issue, a range of sometimes-interrelated causes can be identified. Analytical tools - such as a causality tree analysis, conceptual frameworks, or SWOT analyses - help to cluster contributing causes and examine their various determinants. ***The analysis must clearly identify underlying and root causes of the selected development challenges and national capacities to address them.***

Causes of a Problem

Manifestation

Immediate Causes

Underlying causes

Root Causes

Connecting Causal Trees

Increased
HIV/AIDS
prevalence

Low Girls'
Enrolment Rate

**Core
Problem Areas**

Gender Discrimination

Key aspects of the analysis

Key immediate, underlying and root causes of different development challenges are identified (e.g. see above causal tree). Some underlying or root

the analysis challenges are identified (e.g. see above causal tree). Some underlying or root causes for different development challenges may be the same (see the right triangles above). Deepening analysis of these core areas will increase the likelihood that proposed solutions address them, thus yielding sustainable and multiple impacts.

The analysis provides insights into the main areas of concern, and analyses key issues and their inter-linkages and opportunities. It should examine people's awareness of their rights and capacities of rights holders to make claims and realize their rights; and the roles and capacity of the State and other duty bearers to meet their obligations. It should also provide an understanding of societal, institutional and individual capacity challenges and opportunities, including indigenous peoples within the dominant society, which may have different political, economic and social structures. Key aspects of the analysis include:

- the positive or negative effects of policies, programmes, legislation and governance systems and the capacity for coordination and management of development assistance. The strengths, weaknesses, and opportunities in policy and legal frameworks and the social and institutional capacity for their formulation and implementation, in relation to the progress made towards national priorities. As part of this, the analysis should examine the implementation of international conventions, including any reservations attached thereto and the recommendations of relevant human rights monitoring mechanisms.
- concerns related to access and quality of services, organizational efficiency and capacities of national and sub-national institutions in both the public and private/civil society sectors, focusing on organisational performance, addressing corruption, and the ability to function effectively and to adapt to change.
- Forms of discrimination against minorities or indigenous peoples, resulting in increased vulnerability, marginalization, and lack of enjoyment of human rights.
- aspects of the family, community and societal situation and capacity development determinants such as socio-cultural attitudes and practices, and the influence of gender relations, including roles, status, inequalities and discrimination in access to and control of resources.
- obstacles to and opportunities for free, active and meaningful participation in national or sub-national development processes and outcomes.
- the identification of stakeholders responsible for addressing a problem and its associated causes. The analysis should focus on the skills, knowledge, attitudes, authority and available financial or material resources of those responsible for addressing key problems. The analysis can then identify major capacity gaps at the levels of individuals, families, communities and institutions to national levels, and ensure that future development cooperation will help close such gaps.
- vulnerabilities and, where appropriate, opportunities resulting from, for instance, regional integration processes, pandemics, population movements, environmental changes, trade regulations and markets, dispossession of people's lands and natural resources, opportunities for work, trafficking in people and illicit drugs, natural disasters, HIV/AIDS and regional conflict situations.
- risks to security, equality, equity, justice, and other key attributes of human development, not least to enable the CCA to relate, as appropriate, to the challenges to prevent and mitigate crises.
- an examination of national development strategies that guide the plans, programmes and activities of the United Nations system and development partners such as civil society organizations, the private sector, donors and, when appropriate, regional institutions, bodies, and commissions. This analysis is meant to highlight strengths and gaps in development assistance strategies rather than summarize development cooperation

activities.

- A focused assessment of the major lessons learned from past development cooperation.

Generally, the CCA should cross-reference and utilize rather than duplicate other reliable analyses and research, such as those prepared for PRSPs or other national planning exercises

Divergent views

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

Research agenda and strengthening national capacities

Problem areas that are not analyzed in detail (for instance, owing to a lack of immediately available information) should be earmarked for inclusion in the future research agenda of national institutions and authorities and development partners. Similarly, the strengthening of national efforts to establish an up-to-date database should be noted for future development cooperation.

Identifying potential issues for development cooperation

The findings of the analysis may be used by national and external partners to identify and prioritise areas of cooperation, including programming, research and advocacy; this is captured in section 3 of the CCA. The identification process should consider the comparative advantages of development partners to respond to challenges in a substantive and cost-effective manner. The CCA document must articulate why certain areas of cooperation were short listed from the larger group of identified challenges within the country. Consistent with the guiding principles, the following criteria may help to short list potential areas of cooperation:

- Causes at different levels, including those common to major development challenges;
- Priority needs, rights and capacities of the most vulnerable, excluded and disadvantaged;
- Crisis-prevention measures;
- Opportunities and/or negative trends;
- Opportunities for developing national capacities;
- Lessons learned and good practices;
- Potential for longer-term impact on national goals and priorities.

The short-listing of potential areas of co-operation in the CCA is intended to facilitate subsequent prioritisation by the UNCT as part of the UNDAF process. The analyses of the CCA may also be useful to the Government and other development partners in the identification and prioritisation of their areas of development cooperation.

3.1 Definition of the UNDAF

The UNDAF is the common strategic framework for the operational activities of the United Nations system at the country level. It provides a collective, coherent and integrated United Nations system response to national priorities and needs, including PRSPs and equivalent national strategies, within the framework of the MDGs and the commitments, goals and targets of the Millennium Declaration and international conferences, summits, conventions and human rights instruments of the UN system. The UNDAF emerges from the analyses of the CCA and is the next step in the preparation of United Nations system country programmes and projects[3] of cooperation.

3.2 Results of the UNDAF

The UNDAF should result in:

- Agreement on a rights-based strategic and results-driven support of the United Nations system to country-led efforts to achieve national priorities and goals within the context of the MDGs and the commitments, goals and targets of the Millennium Declaration and international conferences, summits, conventions and human rights instruments of the UN system;
- Greater synergy and sharper focus of the programmes and projects supported by United Nations agencies, and increased opportunities for joint initiatives and joint programmes that utilise their comparative advantages;
- Greater long-term impact of United Nations system development cooperation in terms of domestic capacity development and sustainability of results;
- Integration of governance issues into development cooperation;
- Integration of crisis/conflict prevention and peace-building into transition and development cooperation, including durable solutions for displaced persons;
- Better disaster mitigation planning and preparedness to address natural disasters and man-made crises;
- A strategic framework that integrates gender equality and is embedded in a human rights-based approach to programming, implementation, monitoring and evaluation that respects cultural diversity and gives priority to the most disadvantaged people, including minorities and indigenous peoples;
- More efficient use of available United Nations resources and mobilization of additional resources including through strategic partnerships with other development partners;
- A common plan and mechanism to monitor and evaluate the effectiveness of United Nations system cooperation.

3.3 Structure and content of the UNDAF document

All UNDAF documents contain the following elements:
  (a) An *executive summary*;
  (b) A *signature page* underscoring the commitment of United Nations agencies to the UNDAF;
  (c) *Section 1: Introduction*, explaining the preparation process of the UNDAF;
  (d) *Section 2: Results Section,* describing outcomes expected from the UNDAF and Country Programmes and projects, choices made and the role of UN agencies and development partners; these are elaborated in the UNDAF Results Matrix
  (e) *Section 3: Estimated Resource Requirements*; for each outcome
  (f) *Section 4: Implementation,* outlining coordination, management and partnership arrangements; and
  (g) *Section 5: Monitoring and Evaluation,* describing the mechanisms and indicators to monitor, assess and evaluate progress towards the attainment of UNDAF outcomes.

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[3] In using the term "country programmes and projects" here and subsequently in these guidelines, the reference to projects is intended to refer primarily to the projects of UN agencies which do not have country programmes harmonized to the UN programming cycle.

The UNDAF document should not exceed 15 pages, excluding annexes.

A description of sections 2-5 of the UNDAF document is provided below.

Section 2:
The Results
Section

This is the core section of the UNDAF. It describes *what* the United Nations system expects to focus on; *why* it focuses on these areas*; how* the expected outcomes will be achieved and *with whom*. Each selected area of cooperation in the results framework addresses these four questions.

The results section presents the agreement of UN agencies and national partners on the strategic focus and expected outcomes of UN system cooperation in support of country-led efforts to achieve specific national priorities and goals within the context of the MDGs and the commitments, goals and targets of the Millennium Declaration and international conferences, summits, conventions and human rights instruments and monitoring mechanisms of the UN system.

Areas of
cooperation,
national
development
goals and
expected
UNDAF
outcomes

Areas of cooperation: a clear description of the areas of cooperation selected as the focus of the United Nations system, from those proposed in the CCA. The UNCT may wish to organize a Prioritization Retreat for this: see part 5. The selection of the most appropriate areas of cooperation has to be guided by the need for sharper focus, clearer human rights analysis and better results from the efforts of the United Nations system to address national priorities within the framework of the MDGs and the other commitments, goals and targets of the Millennium Declaration and international conferences, summits, conventions and other human rights instruments and monitoring mechanisms of the UN system. This means selecting three to five areas of cooperation in which the United Nations system has a clear collective comparative advantage and where its assistance could achieve the necessary critical mass to achieve desired results.

Most resources for UN development operations in the country would be concentrated within the three to five selected areas. However, the text of the UNDAF should, if deemed necessary by the UNCT, briefly note that there are a few highly specific activities carried out by some UN specialized agencies in areas other than the three to five collective priorities agreed in the UNDAF. The main text of the UNDAF should not list these other activities but the UNCT may either annex a list of them or cross refer to the web sites of the agencies concerned, for fuller information on them.

National development priorities and goals/targets: a description of the national development priorities, goals or targets in each area of cooperation of the UNDAF. National goals may be contained in national strategies (including PRSPs), policies, programmes and plans of action and/or international agreements, treaties and conventions to which the country is a signatory.

Expected outcomes of assistance (UNDAF outcomes): the specific results which the United Nations system expects to realize within the time frame of the UNDAF as its contribution towards the achievement of the national development priorities and goals in each area of cooperation. The United Nations system is collectively accountable for these outcomes, working in collaboration with the Government and other development partners, and must be able to demonstrate progress towards their achievement. For this reason, among others, expected outcomes must be defined clearly, and explicitly articulated in terms of realizing human and gender equality rights.

Rationale for choices made	A brief explanation for the choices made – why a particular focus and set of expected outcomes and not another was selected - making reference to country-specific factors, such as:

- Links to the achievement of the MDGs and the other commitments, goals and targets of the Millennium Declaration and international conferences, summits, conventions and human rights instruments and monitoring mechanisms of the UN system;
- The collective comparative advantage of the United Nations system;
- Priorities identified in the CCA, including strengthening national capacities
- Opportunities arising from, for example, changing development situations, shifts in national policies, the adoption of new national programmes, or other similar conditions;
- Evolving prospects for effective partnerships;
- Major successes and lessons learned from past cooperation.

Country Programme outcomes and strategies	Country Programme outcomes and strategies: A description of how the United Nations system proposes to achieve the expected outcomes in the UNDAF. This is accomplished by identifying Country Programmes outcomes and main strategies, including those cutting across the expected outcomes in the UNDAF. The causal analysis contained in the CCA should assist in identifying both UNDAF and Country Programme outcomes.

Successful programming strategies observe the guiding principles (Section 1.2) and:

- Address the causes of problems as identified in the CCA, as well as the gender-differentiated and group-specific impact of problems in effective sectoral and cross-sectoral approaches;
- Build strong partnerships with the Government, civil society organizations, including workers and employers' organizations, donors and other partners in pursuit of outcomes;
- Reinforce commitment and strengthen capacities at individual, institutional and societal levels, particularly for marginalized peoples, to manage and participate in the development process;
- Promote innovations to tackle long-standing problems, learning from national and international experience and evidence;
- Address gaps in the realization of human rights of the most vulnerable, excluded and disadvantaged, including the extreme poor, indigenous peoples, ethnic and other minorities;
- Integrate fundamental cross-cutting concerns, especially gender equality and respect for human rights.

Role of partners	An initial identification of the United Nations agencies, national and other partners that expect to contribute to the attainment of each UNDAF outcome and corresponding Country Programme and project outcomes and strategies, and the coordination and programme/project modalities that they propose to employ, including mobilization of resources.

UNDAF Results Matrix

The linkages between national goals or targets (as related to specific MDGs and/or other international commitments, goals and targets), and UNDAF and Country Programme Outcomes are elaborated within the Results Matrix, together with resource requirements. For each outcome, the Matrix illustrates how the UNDAF guides the design of agency-supported Country Programmes and projects and parallel or joint programming (see the Guidance Note on Joint Programming – 19 December 2003). Conversely the Matrix also shows how the major outcomes of agency-supported Country Programmes and projects lead to the achievement of the shared UNDAF outcomes that exceed the sum of individually planned efforts.

The development of the Results Matrix is an iterative process. At the time of signing the UNDAF document, the UNDAF Results Matrix describes, for each national priority or goal selected for UN system support:

- The planned UNDAF outcome, which will contribute to the national goals
- The planned Country Programme outcomes and, where possible, Country Programme and project outputs for each agency, which will contribute to the UNDAF outcome
- The role of partners
- Resource mobilization targets for each Country Programme outcome
- Coordination mechanisms and programme modalities.

In addition to indicating the linkages between the UNDAF outcomes and the agency programmes and projects, the Results Matrix is an important tool for operationalising the UNDAF. The UNCT should consider (re-)constituting a thematic group around each UNDAF outcome, once the UNDAF has been completed. The Results Matrix should then be used as a dynamic and flexible planning tool to enable the UNCT and its partners (national and international) to continue developing, jointly as well as individually, their programmes and projects towards the agreed UNDAF outcomes. In this respect, the UNDAF Results Matrix, should be further elaborated and updated with the inclusion of the outputs, formulated during preparation of the Country Programme Documents, Country Programme Action Plans and projects. Thus the Results Matrix also provides the basis for making decisions on parallel and joint programming.

The UN Country Team should use the UNDAF Results Matrix as a monitoring tool to jointly track progress towards the attainment of each UNDAF outcome. UNCTs are encouraged to undertake this monitoring in partnership with the Government. When drafting the UNDAF Results Matrix, the requirements for monitoring and evaluation should be kept in mind. Therefore, UNDAF outcomes and CP and project outcomes should be formulated, together with the relevant national institutions, in such a way that progress towards their achievement can be objectively verified, by direct measurement or other means. The respective indicators and means of verification, together with comparable baselines and M&E mechanisms for each outcome are summarized in the joint M&E Plan.

Section 3: Estimated resource requirements

This section estimates the financial resources required by the United Nations system for its contribution to the achievement of each expected outcome in the UNDAF.

Each United Nations agency is to estimate, for each UNDAF outcome, the resources that it plans to raise and make available to support corresponding outcomes in its Country Programmes or projects. These contributions should include projected regular and other resources. The figures should be presented as accurate at the time of drafting, and for indicative purposes only.

It should be clearly stated that resource commitments can be made only in country programme or project documents, according to the procedures and approval mechanisms of each agency. The format required for the UNDAF Results Matrix is given in Table 3.1 below.

Table 3.1. UNDAF Results Matrix (Format for each UNDAF outcome)

National priority or goals:
- to whose attainment the UNDAF outcome is expected to contribute. The selected national goals or targets should relate to specific MDGs and/or other commitments, goals and targets of the Millennium Declaration and international conferences, summits, conventions and human rights instruments and monitoring mechanisms of the UN system.
- Ideally, the national priority or goal would be expressed as an expected but verifiable change in the life of people.

UNDAF outcome by the end of the programme cycle:
- The UNDAF outcome makes a clear contribution to the national effort to address the selected national priority or achieve the selected national goal
- In most cases, the achievement of an UNDAF outcome will require the collaborative effort of UN agencies, in partnership with other development partners
- Typically, the UNDAF outcome will be formulated as an expected change in institutional capacity for achieving the national priority or goals, or as behavioural change. It may represent a contribution at either the national or sub-national level.

Country Programme outcomes	Country Programme outputs	Role of partners	Resource mobilization targets
CP outcome (Agency 1) CP outcomes describe the intended results to which a specific agency-supported Country Programme contributes. The sum of CP outcomes in this column, together with the contributions of other partners, should have a reasonable chance to lead to the attainment of the UNDAF outcome. The CPD will clearly relate its outcomes to the UNDAF outcome.	CP outputs (Agency 1) These refer to specific products or services resulting from development interventions. They can normally be drafted when elaborating the Country Programme document. They can be refined in the course of programme implementation.	Identifies the role and contributions of national and international partners, to attain the relevant UNDAF outcomes or CP outcomes.	These are best available indicative estimates of the resources that agencies plan to raise and make available in support of the specific CP Outcomes, broken down by regular and other resources.
CP outcome (Agency 2) ….. etc	CP outputs (Agency 2) ….. etc		

Coordination Mechanisms and Programme Modalities:
- Describing the coordination mechanisms among UN agencies and with other partners, which will be contributing to the UNDAF outcome (e.g. thematic groups, sector mechanisms)
- Where CP outcomes of two or more agencies are closely related, or where two or more agencies cooperate with the same Government institution on the same programme area, specific programming modalities can be identified (e.g. joint work planning, agreement on resource allocation and disbursements)

Since United Nations specialized agencies do not allocate resources on the basis of the UN harmonised programming cycle, they may include their contributions to the achievement of UNDAF outcomes in the UNDAF results matrix as and when they become available. Technical cooperation provided by specialized agencies or contributions in-kind should be indicated in terms of their equivalent monetary value, taking care, however, not to double-count funding obtained through other United Nations organizations.

Resource mobilization

Resources will need to be mobilised to cover the anticipated gap between the estimated cost of reaching the UNDAF and Country Programme outcomes and the total resources likely to be available for that purpose from within the United Nations system.

Such estimates of resource gaps should encourage realism in the selection of expected outcomes as well as enable the United Nations system to assess prospects for resource mobilization, including through partnerships with donors, for follow-up during the formulation of Country Programmes and projects.

The emphasis should increasingly be on developing and implementing strategies to mobilize funding for parallel and joint advocacy, advisory and programming initiatives. The purpose would be to tap additional resources that would normally be made available only if the United Nations system works together to help achieve substantive outcomes.

Section 4: Implementation

This section describes, for each UNDAF outcome, specific co-ordination, management and partnership arrangements such as joint work planning, use of theme groups and/or agreements on resource allocations and disbursements. Progress made by the UNCT and value added resulting from selected implementation mechanisms and arrangements should be reflected in the resident coordinator annual report and work plan.

Section 5: Monitoring and evaluation

This section of the UNDAF document should summarise the UNDAF M&E Plan and describe how it is intended to carry out the evaluation of UNDAF. The content of both these elements should be guided by the provisions for M and E, as described in Part 4 of these guidelines.

Part 4	Monitoring and Evaluation

4.1 Monitoring for results

There are two components of UNDAF monitoring and evaluation, as follows:

1) UNDAF MONITORING AND EVALUATION PLAN

The UNDAF M&E Plan provides an overview of M&E activities as they relate to the pursuit of results at the national level by government, UN agencies, individually or jointly and, to the extent possible, other development partners. The M&E Plan focuses on monitoring and evaluating UNDAF outcomes and related Country Programme/Project outcomes and major outputs. The M&E Plan improves strategic focus and prioritisation of M&E activities as well as their alignment and integration with national M&E processes. The M&E plan should be designed to ensure the full involvement of the government and, to the extent possible, other national development partners, in order to strengthen and build national M&E capacity, including national statistical capacity. This will increase country level influence of M&E results in national decision-making processes. It should aim at promoting results-based management processes among all development partners, reduce duplication and transaction costs and promote greater country level collaboration and coordination, including joint M&E activities.

The UNDAF M&E plan, as included in the UNDAF document, is drafted after the UNDAF Results Section is finalized in (or before) December of the penultimate year of the UNDAF cycle. Like the Results Matrix, the M&E Plan is a live instrument, to be updated as required and managed flexibly to allow its alignment with national M&E instruments and processes.

2) The UNDAF Evaluation

The UNDAF evaluation is a joint UN review, conducted with national partners, of the overall results of the UNDAF programming cycle. The evaluation also assesses whether the UNDAF was effective as a tool to support achievement of national priorities and to enhance coordination and harmonisation among all UN agencies. The UNDAF evaluation takes place at the beginning of the penultimate year of the UNDAF cycle.

The UNCT may decide to establish an M & E working group, possibly including national and other partners, to oversee the monitoring and evaluation of the UNDAF.

4.2 UNDAF M&E Plan

The UNDAF M&E Plan consists of three elements:

1. An **M&E narrative**, in the UNDAF document, describing how the UNCT will undertake and coordinate *monitoring of the UNDAF:*
   - a description of *coordination mechanisms* (e.g. theme groups, joint field visits, and other review activities with partners), stating lines of responsibility and accountability for oversight and completion of M&E tasks
   - a description of *efforts to strengthen national M&E capacities* including timing and partners involved. Areas identified in the CCA and MDGRs for strengthening national monitoring systems, including disaster-preparedness measures, should be included.
   - a description of major *risks and assumptions* which may affect the achievement of UNDAF outcomes

2. An M&E framework. This is a management tool that brings together key M & E information in one table for easy and consistent reference for the UNCT and partners. The framework lists, for each UNDAF outcome and related CP outcomes, one or more quantitative and/or qualitative indicator(s) for monitoring progress, including baseline data and sources of verification as well as risks and assumptions. CP outputs are also listed and indicators and baselines added when available. Indicators, including baselines, should be disaggregated by gender and any additional characteristics that may be relevant to disparities between population groups in the country. A suggested format, to be used for each UNDAF outcome, for the M&E framework follows in table 4.1.

Table 4.1.   UNDAF Monitoring and Evaluation Framework (Format for each outcome)

UNDAF Outcomes*	Indicator(s) and Baselines	Sources of verification	Risks and Assumptions
UNDAF Outcome1 **1.1 Contributing CP outcome - CP outputs**	Indicators Baselines: Indicators (output indicators only if available) Baselines:	Sources *Institution/agencies/partners responsible* Sources *Institution/agencies/partners responsible*	State risks and assumptions for each UNDAF and country programme/ project outcome
1.2 Contributing CP outcome - CP outputs *….*	Indicators Baselines: …	Sources *Institution/agencies/partners responsible* …	…

* This format is to be used for each UNDAF outcome

3. An M&E programme cycle calendar. This is an implementation tool to improve coordination of UN M&E activities, enhance interagency collaboration in M&E, identify gaps in data collection and highlight how and when products of UN M&E activities will be used. The M&E programme cycle calendar schedules all major M&E activities (surveys/studies, assessments, reviews, M&E capacity building) and articulates how and by whom outcome achievements will be measured, UNDAF evaluation milestones, uses and users of information, and complementary partner activities. A suggested format for the M&E programme cycle calendar is given in table 4.2.

Other considerations that guide M&E activities include:
a) a balance of costs, national capacity building efforts and the likely benefits.
b) co-ordination of field visits, especially for shared or related outcomes, and/or where geographic focus is shared.
c) where broad cross-cutting strategies are pursued by more than one agency or the UN as a whole – such as support to decentralization, related monitoring and evaluation activities should be collaborative wherever possible.
d) individual agency monitoring systems should contribute to efforts to trace agency and UN contributions to expected CP outcomes, and
e) the CCA and support to MDGRs should figure as key common activities in the M&E plan. Click here to access UNDG Guidance Note on MDGRs

4.

Table 4.2. Format for Monitoring & Evaluation Programme Cycle Calendar[4]

		Year 1	Year 2	Year 3	Year 4	Year 5
UNCT M&E activities[5]	**Surveys/studies**	Refer to investigations of a problem or phenomenon intended to identify underlying causes and that are used to develop or refine programme strategy and/or help to define useful baseline indicators. Assessments or measurements of conditions of a specified population group or of public goods (e.g. health services, schools, water systems).				
	Monitoring systems	Refer to information systems with regular and fairly frequent reporting of data related to major CP outputs and CP outcomes contributing to the UNDAF. Typically this will include UNCT support to national information systems, such as Health Information Systems, Early Warning Systems.				
	Evaluations	Should include evaluations of strategic importance to the assessment of individual agency CP outcomes and major CP outputs contributing to the UNDAF or of the performance of the UNDAF as a coordination framework. An evaluation is an assessment that attempts to systematically and objectively determine the worth or significance of a development activity, policy or program.				
	Reviews	Refer to individual agency CP reviews as well as those undertaken jointly. These review processes will generally draw on agency/partners performance monitoring systems as well as outputs of studies/surveys and evaluations				
Planning references[6]	**UNDAF evaluation milestones**	*Milestone -- agencies/partners responsible; timing* Outline the timing and sequencing of the key milestones in preparing and implementing the UNDAF Evaluation drawing on all of the above M&E activities, annual reviews and other instruments and processes				
	M&E capacity building	*Short name of activity -- agencies/partners responsible; timing* Where gaps in national capacities in relation to planned M&E activities are identified, list the capacity building activities planned				
	Use of information	*Name of event/process – timing* Refers to any decision-making processes or events that will draw on the findings, recommendations and lessons learned from M&E activities. This would include, for example, national or international conferences, MDG reporting, preparation of the PRSP, as well as preparation of the CCA, the UNDAF and individual UNCT agency CPs				
	Partner Activities	*Name of activity – organisation/institution responsible; timing* Situate major partner data collection and analysis exercises that may input to the UN M&E activities or to which they may provide input. This will be filled out according to the information available at the time of developing the UNDAF and will likely be filled in with more details through UNDAF review mechanisms				

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[4] Click here for a country example of M&E Programme Cycle Calendar**.**
[5] For each activity list, it is suggested that the following data be input into the calendar: **Short name of M&E activity** – focus vis-à-vis UNDAF/CP outcomes; agencies/partners responsible; timing
[6] This section of the calendar includes activities, events and/or milestones that the UNCT considers significant for its M&E activities.

4.3 The UNDAF Evaluation

The UNDAF evaluation will be jointly conducted in the penultimate year of the programme cycle. The M&E programme cycle calendar should include final evaluation milestones, which describe the overall flow of key stages of preparation and implementation, timing and allocation of responsibilities, including development of the terms of reference. While the UNDAF evaluation should normally cover all UNDAF outcomes, the UNCT may, optionally, decide that it focus on selected outcomes or strategies.

The UNDAF final evaluation should respond to the following concerns:

a) *Impact* –To what extent has progress in attaining the UNDAF Outcomes impacted national development? How has the progress in attaining the UNDAF outcomes benefited the poorest and most vulnerable people?

b) *Relevance* - Did UNDAF outcomes strategically position the UN within the development community, especially in pursuit of national MDGs? Are the outcomes still valid for the next UNDAF?

c) *Sustainability* – Are positive changes in the development situation sustainable? To what degree have strategies and programmes under the UNDAF been institutionalized? Have complementarities, collaboration and/or synergies fostered by the UNDAF contributed to sustainability? How have national capacities at the levels of government, local community, NGOs and civil society been enhanced?

d) *Effectiveness vis-à-vis UNDAF and CP outcomes* – What progress has been made towards the CP and UNDAF outcomes and CP outputs?

e) *Efficiency* – Were results achieved at reasonably low or lowest cost? How did strategies result in a more efficient, simplified and harmonised UN?

f) *Effectiveness of the UNDAF as a coordination framework* - Has the UNDAF contributed to more complementary and collaborative programming by agencies? Did the UNDAF make programming by agencies more strategic and synergistic? Has value been added by these synergies? Has effectiveness been enhanced?

| **Part 5** | **Management of the CCA and UNDAF Process** |

**5.1
Coordination
and work
planning**

The CCA and UNDAF process should blend to the highest degree possible with established analyses, planning and coordination efforts in the country concerned. Government leadership and participation of different line ministries throughout the process is important. National bodies such as parliaments, statistical departments, public research institutions and universities can also provide valuable inputs.

The UNCT, led by the Resident Coordinator, should seek the participation of:

- All United Nations resident agencies, non-resident agencies, and regional experts located in the various (sub) regional offices;
- All relevant ministries,
- Civil society organizations, including representatives of the poor and other excluded people or segments of society such as ethnic and indigenous peoples, traditional and non-traditional peoples that represent diverse social interests, workers and employers organizations and the private sector;
- International development partners, including international NGOs and bilateral and multilateral donors, including the World Bank and IMF;
- Regional and subregional institutions (development banks, regional commissions and other entities).

Click here to see a one-page road map of the whole process. At the outset, the UNCT prepares a workplan in consultation with key government and other partners. While initially detailing the steps in the preparation of the CCA, UNDAF and Country Programmes, the work plan should subsequently be developed, and periodically updated, to cover the whole UN harmonised programming cycle, and relating to relevant national processes, such as a PRSP, as well as to the UNDAF M & E Plan. The work plan should identify support needed from regional and HQ level units. The RC should send, on behalf of the UNCT, the initial work plan to all national partners, the regional offices and headquarters of all UN agencies and the DGO. Implementation of the work plan could be overseen by a steering committee, established by the UNCT for this purpose. Terms of reference and membership of the Steering Committee and of any theme groups should be agreed by the UNCT.

A work plan could address but not be limited to:
- Key tasks and associated implementation responsibilities;
- A time line indicating deadlines for submission of outlines, drafts and final texts as well as key stakeholder review meetings;
- A clear indication of the partners to be involved at various stages; and
- Scheduled involvement of technical staff from non-resident agencies and/or (sub) regional entities.
- Resources required to carry out the activities and who will pay what and when.

Bearing in mind the need to minimise transaction costs, the UNCT should agree on sharing the costs of the exercise through local United Nations agency contributions and the resident coordinator's annual work plan budget. Major costs will be the investment of time by the UNCT itself.

The UNCT may wish to use the self-assessment checklist to monitor the process of preparing the CCA and UNDAF.

Use of consultants
Experience in 2002 suggested that UNCTs found most value added by UNSSC-trained resource persons and facilitators, in exercises such as UNDAF Prioritisation Retreats but relatively little value added from hiring consultants to draft the main texts of CCA and UNDAF documents. Click here to see additional lessons learned from 2003/2004. See in particular "Lessons on CCA and UNDAF processes"

5.2 Steps in the CCA process
Step 1:
Preparing the
first draft CCA

The UNCT, in consultation with key government and development partners, decides which existing theme groups are useful to help with the CCA, or creates new ad hoc theme groups to divide work among staff, experts, development partners and stakeholders. Theme groups ensure that appropriate multi-disciplinary and multi-agency mechanisms will discuss and investigate relevant issues and help draft thematic or sector-specific sections of the CCA document. The indicator framework or databases composed of country-relevant up-to-date information is used to assess and analyse the country's development challenges and successes. Where relevant data are not available or reliable, the theme group ensures that appropriate actions for data collection and capacity building are proposed in the CCA document. Efforts should be made to develop a human rights framework for the analysis

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

When the different theme groups have completed their work, the UNCT has agreed to data in the indicator framework and capacity assessment, and analysis of progress towards the MDGs and other key national goals is completed, a drafting committee prepares a first draft of the CCA. The first draft CCA is then distributed by the UNCT to all partners, including to non-resident United Nations agencies and to the Readers Group (see step 2).

How to engage hard-to-reach partners
Civil society's meaningful engagement is essential to ensure broad-based national consensus on the analysis and findings of the CCA and for strengthening national mechanisms for learning, transparency and accountability. A range of participatory methodologies can be employed to encourage the views and ideas of hard-to-reach partners, including ethnic minorities and indigenous peoples, youth and the extreme poor. NGOs, research institutes, workers and/or employers organizations or the private sector often have expertise and experience in facilitating participatory processes. *(See http://www.ids.ac.uk/ids/particip/index.html, http://www.iied.org/).*

CCA Step 2: Quality check by independent readers group

As a mandatory quality check, the first complete draft of the CCA is submitted by the RC, on behalf of the UNCT, to an external Readers Group, comprising persons nominated by the relevant regional and/or HQ offices of UN agencies. **UN agencies that do not have an in-country presence are particularly encouraged to participate in the regional Readers Group.** The group is co-coordinated by one of the regional offices of the UNDG covering the country concerned, as decided by Regional Directors of the Ex Com agencies in their first meeting each year.

The co-coordinating regional office is responsible for asking other regional offices for the names and contact details of their readers, synthesizing comments and emailing the synthesis, to which all individual comments may be annexed, back to the RC within 15 calendar days of receipt of the draft from the RC. The approximate date of this review should be indicated in the UNCT's work plan. Any subsequent change should be communicated to the co-ordinating regional office as early as possible. The 15-day return time ensures that the UNCT receives synthesis comments in time to reflect them, if they agree with them, in a revised draft, prior to the final stakeholder review meeting for the CCA.

CCA Step 3: Finalization of the CCA

Country teams, together with the Government, may want to organize a final consultation with all partners to reach consensus on:
- The CCA's major findings;
- Tentative indications of priorities for UN development cooperation;
- The possible roles of development partners.

After clearance by the UNCT as a whole, the finalised CCA should be shared with national authorities, UN regional and HQ offices, non-resident agencies, all other partners and to the Chair of the United Nations Development Group for submission to the Secretary-General. Click here to access completed CCAs

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

CCA Step 4: extracting lessons from the CCA

The quality of the finalised CCA is assessed by the UNDG through the co-ordinating regional office, in close consultation with the other UN regional or HQ offices, completing the CCA quality review template. This ex-post quality check is also intended to identify specific good practices in either CCA processes or CCA documents. These should be brought to the attention of HQ level focal points in the UNDG, with a view to posting on the UNDG web site to facilitate continuous UNCT learning and performance improvement.

5.3 Steps in the UNDAF process
Step 1: Agreement on priorities

Following completion of the CCA, early internal consensus is needed among the United Nations agencies (resident and non-resident) on
- The collective comparative advantage and experience of the United Nations system in addressing different problems identified in the CCA: where can the UN, collectively, make the biggest difference?
- Implications of the rights based CCA for the UNDAF and lessons learnt from the application of rights based approaches in the past
- Top priority areas of cooperation within the United Nations system and with other partners,
- Broad roles and responsibilities for preparation of the UNDAF.

To achieve consensus, the RC may organize an UNDAF Prioritization Retreat, probably around October or November of the penultimate year of the present cycle. The resultant consensus would be reflected in a first draft and tentative UNDAF Results Matrix. From this, the full UNDAF would be built, opportunities for joint and collaborative programmes can be identified and thematic groups may be re-constituted.

The UNCT defines the support it requires, and its likely timing, from the headquarters and/or from regional offices of UN agencies and includes this in an updated work plan which the RC submits to all parties, as listed in step 1 above for CCAs.

UNDAF step 2: Preparing the first draft of the UNDAF	Relevant theme groups may play a key role in formulating the UNDAF. Theme groups can formulate proposed outcomes and cooperation strategies; identify areas for parallel and joint programming and indicators, data sources and methods for monitoring and evaluation. Theme groups should always consider gender equality and human rights with a view to reflecting findings of the CCA in these areas in the UNDAF as well as ways to strengthen national capacities, including those of marginalized or excluded populations. Following the completion of the first draft and in consultation with Government, the UNCT seeks the views and inputs of other development partners and – as a mandatory quality check - simultaneously submits the draft to the external Readers Group.
UNDAF step 3: Quality check by independent readers group	The co-ordinating regional office is again responsible for emailing synthesis comments on the draft UNDAF, to which individual comments may be annexed, back to the RC within 15 calendar days of receipt of the draft from the RC. This time deadline should ensure that the UNCT receives the synthesis in time to reflect the comments, along with comments received from other sources, if the UNCT agrees with them, in a revised draft, prior to the final stakeholder review meeting.
UNDAF step 4: Finalizing the UNDAF	In order to validate the draft UNDAF, the UNCT may wish to organize a final meeting of stakeholders. This will most likely take place in or before December of the penultimate year of the present programming cycle. Completion of the UNDAF in December gives agencies adequate time to work on their draft CPDs between November and February of the last year of the current programming cycle. Also, work on country programming in this period would result in further refinement of the UNDAF Results Matrix. Thus by the time that the UNDAF is signed, no later than 31 March in the final year of the current cycle, the UNDAF Results Matrix will include, for each UNDAF outcome, the relevant CP outcomes and, whenever possible, CP outputs. Thereafter, the results matrix should be updated through its use as a programming and monitoring tool as described in part 3.

> As a country-level instrument, the UNDAF is final once the Government and the UNCT have agreed upon the text. The members of UNCT sign the UNDAF at the latest by 31 March in the final year of the current programming cycle. This is normally the deadline for submission of completed CPs to the respective Executive Boards of ExCom agencies. It is recommended, albeit not mandatory, that the Government signs the UNDAF document. By agreement with the Resident Coordinator, non-resident agencies may also sign the document or may be represented under the signature of the Resident Coordinator. While not required, government signature is welcome.

	The Resident Coordinator sends the UNDAF to all partners and to the Chair of the UNDG for submission to the Secretary-General. All UNDAF documents are posted on the UNDG web site.
UNDAF Step 5: Extracting lessons from the UNDAF	The quality of the finalised UNDAF is assessed by the UNDG through the co-ordinating regional office, in close consultation with the offices of other UN HQs/regional offices, completing the UNDAF quality review template. The purpose of this quality check is also to identify specific good practices in either UNDAF processes or UNDAF documents. These are brought to the attention of the HQ level focal points in the UNDG, with a view to posting on the UNDG web site to facilitate continuous UNCT learning and performance improvement in UNDAFs.

5.4
Formulation of country programmes

Following the completion of the UNDAF, country programmes and projects can be prepared, consistent with the UNDAF. To facilitate this, all members of the UNCT should participate in a Joint Strategy Meeting (JSM), no later than 28 February of the last year of the current programming cycle. The purpose of the JSM is to review and discuss consistency between the UNDAF's expected outcomes and the substantive content of the respective country programmes. Proposals within the UNDAF for parallel and joint programming or other joint initiatives, as identified in the UNDAF Results Matrix –will then be incorporated into the agency's programme design. This process should also result in Government approval of the proposed programmes before their submission to agencies' Boards. After the JSM and before the end of March in the ultimate year of the current cycle, agencies submit their draft CPDs to their respective Boards' Secretariats, with a signed UNDAF, in accordance with each agency's internal processes.

Part 6.   Formulation of Country Programmes and Projects

**6.1
Introduction**

Within the harmonized, integrated programming process for the United Nations system at the country level, the completion of the UNDAF, with its Results Matrix, should lead seamlessly to the development of country programmes and project documents. The specific procedures governing this particular stage of the programming process are described in the relevant programming manuals/guidelines of each United Nations agency. UNDP, UNFPA, UNICEF and WFP follow a harmonized country programme approval process, and submit draft Country Programme Documents (CPDs) for review to the annual sessions of their respective Executive Boards in June of the last year of the current programme cycles. Taking into account the comments by their Executive Board members, these Country Programme Documents are then approved in the first sessions of the respective Executive Boards at the beginning of the new programme cycle on a no-objection basis. Many other United Nations agencies do not have formal country programmes. Notwithstanding these differences, all UN agencies, resident and non-resident, should be invited to participate in the preparation of the CCA and the UNDAF and, through their participation, they are expected to relate, to the greatest extent possible, their in-country activities and resources to the agreed UNDAF outcomes.

**6.2 The CCA
and UNDAF
are key first
steps for the
formulation of
country
programmes
and projects**

While the CCA is the foundation of the country programming process and provides its rationale, the UNDAF provides overall strategic direction to agency specific country programmes and projects. Integration of the CCA and UNDAF in the formulation process of country programmes and projects should result in: (a) a much clearer expression and narrower focus of the UN development assistance to programme countries, especially in relation to the MDGs and the commitments, goals and targets of the Millennium Declaration and international conferences, summits, conventions and other human rights instruments of the UN system; (b) substantially increased coherence in the assistance provided by the United Nations system; (c) more conducive conditions for collaboration among United Nations agencies and with development partners; and (d) increased effectiveness and reduced transaction costs of cooperation with the United Nations system, achieved by a critical mass in three to five prioritized areas, expanded potential for synergy and a major reduction in duplication; and (e) the advancement of rights-based and gender sensitive development. Thus, in essence, agency specific country programming defines, in more detail, what each agency will do, and how, during the period covered by the UN harmonized programming cycle.

**6.3 Linkages
with the
UNDAF**

The UNDAF Results Matrix provides a clear and substantive link between the UNDAF and individual agency's country programmes and projects. There are three major linkages which *have* to be addressed through the programming process:

- *UNDAF outcomes:* The strategic focus of country programmes and projects will be determined from among the expected outcomes in the UNDAF. These UNDAF outcomes are directly linked to a national priority or goal. The selected national goal or target should relate to specific MDGs and/or the other commitments, goals and targets of the Millennium Declaration, and international conferences, summits, conventions and human rights instruments of the UN system. The UNDAF outcomes will be reflected in the main areas of focus and priorities of the agency's country programmes and projects. There might be some areas in the agency's programmes and projects related to their specific mandates, including those related to their normative roles, which go beyond the scope of UNDAF outcomes.

- *Country programme/project outcomes:* The outcomes of individual agency's country programmes/projects describe the intended results, which contribute to the UNDAF outcomes. This will ensure that the results of country programmes and projects are linked with the expected outcomes in the UNDAF.

- *Country programme/project outputs:* The outputs of country programmes/projects are the specific products and/or services for which UN agencies are accountable, and which contribute to the expected outcomes of the country programme/project, as well as to UNDAF outcomes. The outputs from different country programmes will be more complementary and together lead to the achievement of the UNDAF outcomes. It is also desirable that the ground level programmes and projects of each UN agency be meaningfully related to those of other UN agencies actively working in the same area. These inter-relationships should normally be reflected in the programme and project documents concerned.

Annex 1 Guidelines for the CCA indicator framework

The Millennium Declaration, the series of United Nations global conferences and summits held in the 1990s and the United Nations conventions and treaties[7] established a number of interconnected and mutually reinforcing goals, targets and obligations for progressively eradicating poverty and hunger and for improving the quality of life, mostly to be achieved by 2015, and enjoyment of rights of all individuals. A focus on national priorities, within the context of national commitments to international instruments, is the basis of the CCA rights-based approach to the analysis of development issues.

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

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

The indicator framework comprises five components[8]:

(a) Indicators relating to development goals and objectives set in United Nations conferences, conventions, declarations and summits. This group of indicators builds on existing established global lists, especially that used for the global monitoring of MDGs;

(b) Conference and convention indicators relating to governance, democracy, justice administration and Security and protection of person;

(c) Basic contextual indicators relating to the demographic and economic conditions of the country, which provide the necessary background for understanding development and socio-cultural concerns. Disaggregated data, including by sex, language, religion and ethnicity is an important instrument of analysis;

(d) Indicators used for monitoring Millennium Declaration goal 8 "Develop a global partnership for development", which relates to international governance but also includes indicators that can be monitored at the country level;

(e) Thematic indicators to provide further insights into issues of major concern for development, including specific country settings, national priorities and needs, and cross-cutting issues.

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

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[7] See Annex 4 for a hyperlinked list of UN conventions and conferences
[8] Meta-data sheets for each of the indicators in parts A, B and C will be included in the CCA/UNDAF CD-ROM

<u>**Using the CCA to track MDGs**</u>

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

Selection criteria

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

(a) Indicators should provide relevant and robust measures of progress towards the targets contained in the MDGs, as well as the goals and objectives, conventions of the UN system, and declarations and programmes of action adopted at United Nations conferences;

(b) Indicators should be clear and straightforward to interpret and should provide a basis for international comparison;

(c) Indicators should be broadly consistent with other global lists while not imposing an unnecessary burden on country teams, the government and other partners;

(d) Indicators should be constructed from well-established data sources, be quantifiable, and consistent to enable measurement over time.

The CCA indicator framework, like any indicator list, is dynamic and will necessarily evolve in response to changing national situations. For further information, refer to the CCA/UNDAF CD-ROM.

Indicators for rights-based development

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

All relevant indicators should be disaggregated, to the extent possible and where appropriate, by race, colour, sex, language, religion, nation, ethnic, or social origin, property and disability and other status such as woman or child head of household, or displaced, etc.

Gender

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

Geographic level

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

Use of national sources

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

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

Minimum information to be reported with quantitative indicators

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

Wider information base

The data provided in the CCA should serve to flag particular development issues. The assessment will necessarily require a much wider information base.

Qualitative monitoring

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

Partnerships and developing statistical capacity

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

Common Country Assessment Indicators

A. MILLENNIUM DECLARATION AND CONFERENCE INDICATORS

* For statistics not specifically linked, click here to access the UN's Statistics Division database

Conference goal	Target	Indicators [a/]
Income-Poverty		
Eradicate extreme poverty	Halve, between 1990 and 2015, the proportion of people whose income is less than $1 dollar a day (Millennium Declaration)	• Poverty headcount ratio (percentage of population below national poverty line) • Proportion of population below $1 (PPP) per day • Poverty gap ratio • Share of poorest quintile in national consumption
Food security and nutrition		
Eradicate hunger	Halve between 1990 and 2015, the proportion of people who suffer from hunger (Millennium Declaration)	• Prevalence of underweight children under five years of age • Proportion of population below minimum level of dietary energy consumption • Proportion of household income spent on food for the poorest quintile
Education		
Achieve universal primary education	Ensure that, by 2015, children everywhere, boys and girls alike, will be able to complete a full course of primary schooling (Millennium Declaration)	• Net enrolment *ratio* in primary education • Proportion of pupils starting grade 1 who reach grade 5 • Literacy rate of 15-24 year olds • Adult literacy rate
Gender equality and women's empowerment		
Promote gender equality and empower women	Eliminate gender disparity in primary and secondary education, preferably by 2005, and to all levels of education no later than 2015	• Ratio of girls to boys in primary, secondary and tertiary education • Ratio of literate females to males 15-24 year olds
	Eliminate discriminatory practices in employment	• Share of women in wage employment in the non-agricultural sector
	Equitable access to political institutions (Fourth World Conference on Women)	• Proportion of seats held by women in national parliament
Child mortality and welfare		
Reduce child mortality	Reduce by two thirds, between 1990 and 2015, the under-five mortality rate (Millennium Declaration)	• Under five mortality rate • Infant mortality rate • Proportion of one year old children immunized against measles
Reduce child labour	Elimination of child labour (WSSD)	• Proportion of children < age 15 who are working

Conference goal	Target	Indicators [a/]
Reproductive and maternal health		
Improved reproductive health	Universal access to reproductive health services and information by 2015 (ICPD)	• Contraceptive prevalence rate
Improved maternal health and reduced maternal mortality	Reduce by three quarters, between 1990 and 2015, the maternal mortality ratio (Millennium Declaration)	• Maternal mortality ratio • Proportion of births attended by skilled health personnel

HIV/AIDS, malaria and other diseases		
Combat HIV/AIDS	Have halted by 2015 and begun to reverse the spread of HIV/AIDS (Millennium Declaration)	• HIV prevalence among 15-24 year old pregnant women • *Condom use rate of the contraceptive prevalence rate* *a. Condom use at last high-risk sex* *b. Percentage of population aged 15-24 with comprehensive correct knowledge of HIV/AIDS* • *Ratio of school attendance of orphans to school attendance of non-orphans aged 10-14*
Combat malaria and other diseases	Have halted by 2015 and begun to reverse the incidence of malaria and other major disease (Millennium Declaration)	• Prevalence and death rates associated with malaria • Proportion of population in malaria risk areas using effective malaria prevention and treatment measures [d/] • Prevalence and death rates associated with tuberculosis • Proportion of tuberculosis cases detected and cured under directly observed treatment short course (DOTS)

Employment		
Creation of full employment	Universal access to paid employment (WSSD)	• Employment to population of working age ratio • Unemployment rate • Informal sector employment as percentage of total employment

Environment		

Ensure environmental sustainability	Integrate the principles of sustainable development into country policies and programmes and reverse the loss of environmental resources (Millennium Declaration)	• Proportion of land covered by forest • Ratio of area protected to maintain biological diversity to surface area • Energy *use (kg* oil equivalent) per $1 GDP (PPP) • Carbon dioxide emissions (per capita) and consumption of ozone-depleting CFCs (ODP tons) • *Proportion of population using solid fuels.*
	Halve by 2015 the proportion of people without sustainable access to safe drinking water (Millennium Declaration)	• Proportion of population with sustainable access to an improved water source, urban and rural
	By 2020 to have achieved a significant improvement in the lives of at least 100 million slum dwellers (Millennium Declaration)	• Proportion of urban population with access to improved sanitation • Proportion of households with access to secure tenure

Conference goal	Target	Indicators [a/]
Housing and sanitation		
Adequate shelter for all	Provision of sufficient living space and avoidance of overcrowding (HABITAT II)	• No. of persons per room, or average floor area per person
Improved access to safe sanitation	Universal sanitary waste disposal (WCW/WCS/WSSD/UNCED)	• Proportion of population with access to improved sanitation

Drug control and crime prevention		
Improved drug control	Measurable results in reducing cultivation, manufacture, trafficking and abuse of illicit drugs by 2008 (UNGASS 20)	• Area under illicit cultivation of coca, opium poppy and cannabis • Seizures of illicit drugs • Prevalence of drug abuse
Improved crime prevention	Eliminate/significantly reduce violence and crime (UN Congress of Crime Prevention and Criminal Justice)	• Number of intentional homicides per 100.000 inhabitants
International legal commitments for human rights		
Universal ratification of international human rights instruments	Acceding to all international human rights instruments and avoiding resort to reservations, as far as possible	• Status of ratification of, reservations to, and reporting obligations under, international human rights instruments • Status of follow-up to concluding observations of United Nations human rights treaty bodies
Cooperation with the UN system's human rights monitoring mechanisms		• Status of follow-up to recommendations made by the UN system's human rights monitoring mechanisms.

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

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

Conference goal	Target	Indicators
Democracy and popular participation		
Strengthened democratic institutions and popular participation	Free and fair elections and democratic government (WCHR)	• Periodicity of free and fair elections • Number of independent NGOs/CSOs and employers' and workers' organizations operating in the country • Existence of independent broadcasting and print media
Administration of justice		
Fair administration of justice	Effective legislative framework, law enforcement, prosecutions, legal profession, and fair trials in conformity with international standards (WCHR)	• Legal guarantees for independent judiciary • Procedural guarantees for fair trial • Availability of free legal assistance for the criminal defense of poor people throughout the country
Improved framework of remedies	Existence of legal remedies in conformity with international standards	• Recognition in law of the right to seek judicial remedies against state agencies/officials
Liberty security and protection of person		
Liberty and security of person	Elimination of gross violations of human rights affecting security of person, including torture and cruel, inhuman or degrading treatment or punishment; summary and arbitrary execution; disappearances, and slavery (WCHR)	• Number of complaints of extra-judicial executions
Provide protection for displaced persons	Upholding the right to seek asylum and refugee status, and the return and reintegration of refugees.	• Number of persons granted asylum/refugee status • Number of refugees that have returned and been reintegrated; • strengthened support to displaced persons for their return and reintegration • Number of displaced persons that have returned and been integrated

C. CONTEXTUAL INDICATORS

Demographics	• Population size [a] • Population structure, including ethnic composition of the population • Sex ratio • Total fertility rate • Life expectancy at birth
Economy	• GNP per capita (US$ and PPP) • External debt (US$) as percentage of GNP • Decadal growth rate of GNP per capita (US$) • Gross domestic savings as percentage of GDP • Ratio of total trade (exports plus imports) over GDP • Share of foreign direct investment inflows in GDP • Budget deficit as percentage of GDP • Percentage of public expenditure on basic social services • Share of manufacturing value added in GDP

Note:[a] An age classification will also generally be required to identify target groups, for example, the percentage of those below the age of 15 and the elderly, and this should be defined contextually.

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

Conference Goal: Develop a global partnership for development

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

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

	countries (WTO, UNCTAD, World Bank, IMF) Agricultural support estimate for OECD countries as percentage of their GDP (OECD) Proportion of ODA provided to help build trade capacity [a/]
	Debt sustainability Debt relief committed under HIPC initiative, US$ (IMF) Debt service as a percentage of exports of goods and services (World Bank) Proportion of ODA provided as debt relief [b/] Total number of countries that have reached their HIPC decision points and number that have reached their HIPC completion points (cumulative) (IMF)
In cooperation with developing countries, develop and implement strategies for decent and productive work for youth	Unemployment rate of 15-to-24-year-olds, each sex and total (ILO)[c/]
In cooperation with pharmaceutical companies, provide access to affordable essential drugs in developing countries	Proportion of population with access to affordable essential drugs on a sustainable basis (WHO)
In cooperation with the private sector, make available the benefits of new technologies, especially information and communications	Personal computers in use per 100 population (ITU estimates) Internet users per 100 population (ITU estimates)

a/   OECD and WTO collected data from 2001 onwards.

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

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

d/   For statistics not specifically linked, click here to access the UN's Statistics Division database

E. THEMATIC INDICATORS

Thematic indicators should be added at country level for any specific themes addressed by the CCA in that country reflecting national priorities and needs. A limited selection of illustrative thematic indicators is provided on the CCA/UNDAF CD ROM.

Annex 2   Checklist for use by the UNCT

Plan the process	✓ Have the central planning authority and line ministries participated in planning the processes? ✓ Does the work-plan ensure that deadlines for completing CCA, UNDAF and agency CPs can be met? ✓ Have all concerned agencies agreed to commit adequate resources and time? ✓ Have UN regional offices and technical teams, non-resident UN agencies, civil society (including human rights, employers' and workers' organizations) and bilateral development organizations been invited to participate in the planning process? ✓ Does the CCA and UNDAF process meaningfully relate to other planned or on-going national policies, programmes, processes and their products (e.g. PRSP)? ✓ Are members of the UNCT sufficiently familiar with human rights based approaches? ✓ Do thematic groups have detailed TORs and deadlines? Do members reflect a cross-section of qualifications, experience, impartiality, gender and stakeholders? Do TORs adequately cover cross-cutting issues, especially gender equality and human rights?
Collect and check available Information	✓ Does discussion of available data adequately describe issues, trends and gaps related to MDGs[1]? ✓ Are data reliable and up-to-date? Are data gaps adequately reflected in capacity building needs? ✓ Are data appropriately disaggregated (e.g. by gender, ethnicity, region, religion and/or language) to clearly identify vulnerable people with the lowest social indicators? ✓ Have important comments by Treaties Bodies and supervisory bodies within the UN system (e.g. responding to national reports) been considered? ✓ Have risks of crises, natural disasters and/or widespread human rights abuse been considered, with appropriate focus on groups most likely to be affected?
Analysis	✓ Does the CCA relate to human rights issues considered important for vulnerable people? ✓ Does the analysis identify the differing impact and root causes of selected development challenges on women and men and for other vulnerable people? ✓ Does the CCA identify responsibilities and capacity gaps of key actors (at national, sub-national, community and family level) in addressing the development challenges? ✓ Does the CCA clearly explain the rationale for short-listing development challenges for cooperation?
Setting priorities and UNDAF results	✓ Does the UNDAF clearly explain the rationale for the selected priority areas for the UN system? ✓ Have the national development priorities and/or targets, that the UN system intends to support, been confirmed with Government and other national stakeholders? ✓ Do the selected UNDAF and CP outcomes clearly relate to the achievement of relevant MDGs? ✓ Do expected UNDAF and CP outcomes address the root causes of the selected challenges? ✓ Are risks and consequences of crises or natural disasters and cross-cutting issues, especially gender equality and human rights, adequately reflected, particularly in reaching most vulnerable people? ✓ Do the expected UNDAF and CP outcomes and strategies complement and/or mutually reinforce the programmes of other partners, including at sub-national or regional levels?
Review	✓ Where the CCA differs significantly from other national analyses, was consensus obtained between the UNCT and national partners on major findings and the way forward in the UNDAF? ✓ Have key stakeholders, including representatives of disadvantaged and vulnerable people, participated meaningfully in the validation of the causality analysis, prioritization and strategizing? ✓ Was participation gender balanced? ✓ Did all relevant national counterparts, development agencies, donors, and stakeholders have the opportunity to provide timely inputs into the CCA and UNDAF? ✓ Were first drafts of the CCA and UNDAF sent to regional readers group early enough for their comments and suggestions, if agreed locally, to be reflected in the finalized documents? ✓ Did major stakeholders together review the final drafts of the CCA and UNDAF? ✓ Did the JSM agree to agency CP outcomes that contribute to achievement of UNDAF outcomes? ✓ Have agency CPs been checked for consistency with the UNDAF? ✓ Have lessons and good practices from previous experience been visibly used? ✓ Have arrangements for monitoring and evaluation of the UNDAF been agreed?

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[1] Commensurate with the main text, when the term MDGs is used in this checklist, it refers more generally to the commitments, goals and targets of the Millennium Declaration and of international conferences and international human rights instruments of the UN system.

Annex 3   Glossary

Capacity: the ability of individuals, institutions and societies to perform functions, solve problems and set and achieve their goals.

Capacity development: the process by which individuals, institutions and societies develop abilities, individually and collectively, to perform functions, solve problems and set and achieve their goals.

Consolidated Appeal Process (CAP): An appeal formulated by United Nations agencies involved in the same relief or recovery operation. Not only a fundraising tool, the CAP is an opportunity to coordinate the planning and implementation of relief operations.

Evaluation: A time-bound exercise that attempts to assess systematically and objectively the relevance, performance and success of ongoing and completed programmes and projects. Evaluation can also address outcomes or thematic development issues. Evaluation is undertaken selectively to answer specific questions to guide decision-makers and/or programme managers, and to provide information on whether underlying theories and assumptions used in development were valid, what worked and what did not work and why.

Millennium Development Goals Report (MDGR): A concise assessment of national targets, trends, and progress towards MDGs. The MDGR is a campaign tool for the achievement of the Millennium Development Goals. It is prepared by Governments with the support of the UNCT for public information, awareness raising and advocacy.

Monitoring: A continuing function that aims primarily to provide managers and main stakeholders with regular feedback and early indications of progress or lack thereof in the achievement of intended results. Monitoring tracks the actual performance or situation against what was planned or expected according to pre-determined standards. Monitoring generally involves collecting and analyzing data on implementation processes, strategies and results, and recommending corrective measures.

Outcome Evaluation: An in-depth examination of a related set of programmes, projects and strategies intended to achieve a specific outcome, to gauge the extent of success in achieving the outcome; assess the underlying reasons for achievement or non-achievement; validate the contributions of a specific organization to the outcome; and identify key lessons learned and recommendations to improve performance.

Performance indicator: A quantitative or qualitative variable that allows the verification of changes produced by a development intervention relative to what was planned.

Poverty reduction strategy papers (PRSPs): Introduced by the World Bank, the PRSP is a nationally owned framework document that addresses poverty issues with a comprehensive vision to serve Governments and their development partners to plan and coordinate assistance strategies and budgets. PRSPs describe a country's macroeconomic, structural and social policies and programmes to promote growth and reduce poverty, as well as associated external financing needs. PRSPs are prepared by Governments through a participatory process involving civil society, including employers' and workers' organizations, and development partners, including the World Bank and the International Monetary Fund.

Results: Results are changes in a state or condition, which derive from a cause-and- effect relationship. There are three types of such changes (intended or unintended, positive and/or negative), which can be set in motion by a development intervention – its output, outcome and impact:

> *Outputs: The products and services, which result from the completion of activities within a development intervention.*

> *Outcome: The intended or achieved short-term and medium-term effects of an intervention's outputs, usually requiring the collective effort of partners. Outcomes represent changes in development conditions, which occur between the completion of outputs and the achievement of impact.*

Impact: Positive and negative long-term effects on identifiable population groups produced by a development intervention, directly or indirectly, intended or unintended. These effects can be economic, socio-cultural, institutional, environmental, technological or of other types.

Results based management: A management strategy by which an organization ensures that its processes, products and services contribute to the achievement of desired results (outputs, outcomes and impacts). RBM rests on clearly defined accountability for results, and requires monitoring and self-assessment of progress towards results, and reporting on performance.

Results Framework: The logic that explains how results are to be achieved, including causal relationships and underlying assumptions. The results framework is the application of the logframe approach at a more strategic level, across an entire organisation, for a country programme, a programme component within a country programme, or even a project.

Rights-based approach: A rights based approach to development cooperation and programming recognizes that the United Nations System is guided by the United Nations Charter, and has the responsibility to help countries meet their obligations towards the realization of their citizen's human rights. For the United Nations System, this means that cooperation programmes focus on the realization of the rights of all citizens, and that human rights principles are applied in cooperation programmes.

*Claim-holders and duty-bearers: When something is defined as a right, it means that someone ("claim-holder") has a claim, or a legal entitlement, and someone else ('duty-bearer') holds a corresponding duty or legal obligation to fulfil that entitlement. With a human rights perspective, development cooperation aims to help build the capacities of claim-holders to assert their rights and of duty-bearers to meet their obligations. In the context of CCA, **claim-holders** are individuals or groups whose rights should be taken into account when assessing and analysing specific development challenges. For instance, girls have a right to education and go to school. Girls are the claim holders.*

***Duty-bearers** are primarily State actors and institutions at various levels of the governance structure and non-state actors who are in a position to influence the rights of other actors. Duty-bearers should be identified against specific claims holders. For instance, parents, teachers, the Ministry of Education, and Parliament are duty bearers to ensure that girls can attend school. Their duties are in some instances positive (to do or provide something, or prevent something from happening - e.g. discrimination) and, in others, negative (refrain from doing something). Some of those duty-bearers may lack capacity themselves. Teachers may be unaware that their stereotyping teaching is resulting in discrimination against girls. Parliamentarians/legislators may not think the issue is important.*

Annex 4 Hyperlinks to Conventions of the UN System and other useful references

(click on underlined titles to go to the web site concerned)

Conventions and Declarations

- Universal Declaration of Human Rights (1948)
- International Convention on the Elimination of All Forms of Racial Discrimination (1965)
- International Covenant on Economic, Social & Cultural Rights (1966)
- International Covenant on Civil and Political Rights   (1966)
- Convention on the Elimination of All Forms of Discrimination against Women (1979)
- Declaration on the Elimination of Violence against Women (General Assembly resolution 48/104 of 20 December 1993)
- Convention against Torture and Other Cruel, Inhuman or Degrading Treatment or Punishment (1984)
- Convention on the Rights of the Child (1989)
- Declaration on the Right to Development (1986)
- Convention on Biological Diversity (1992)
- UN Convention to Combat Desertification (1994)
- UN Framework Convention on Climate Change (1992)
- Indigenous and Tribal Peoples Convention (1989) (or in cases when this has not been ratified, the Indigenous and Tribal Populations Convention of 1957).
- Convention (1951) and Protocol (1967) relating to the Status of Refugees
- Single Convention on Narcotic Drugs (1961)
- Convention on Psychotropic Substances (1971)
- United Nations Convention against the Illicit Traffic in Narcotic Drugs and Psychotropic Substances (1988)
- United Nations Convention against Transnational Organized Crime and its Protocols (2000)
- United Nations Convention against Corruption (2003)

Additionally, for following relate to international labour instruments:

- Forced Labour Convention (No. 29) (1930)
- Freedom of Association and Protection of the Right to Organise Convention (No. 87) (1948)
- Right to Organise and Collective Bargaining Convention (No. 98) (1949)
- Equal Remuneration Convention (No. 100) (1951)
- Abolition of Forced Labour Convention (No. 105) (1957)
- Discrimination (Employment and Occupation) Convention (No. 111) (1958)
- Minimum Age Convention (No. 138) (1973)
- Declaration on Fundamental Principles and Rights at Work and its Follow-up (1998)
- Worst Forms of Child Labour Convention (No. 182) (1999)

International Conferences
- World Summit for Children – New York 1990
- World Conference on Environment and Development - RIO 1992
- International Conference on Nutrition – Rome 1992
- World Conference on Human Rights – Vienna 1993
- International Conference on Population and Development - Cairo 1994
- World Summit for Social Development – Copenhagen 1995
- Fourth World Conference on Women (FWCW) - Beijing 1995
- Ninth Congress on the Prevention of Crime and Treatment of Offenders (UNCPCTO) – Cairo 1995

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

Other useful reference sources

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

The glossary in Annex 3 also has hyperlinks to the Millennium Development Goals, PRSPs and the rights based approaches to development. The UN Staff college and OHCHR have also, in the last three years, been working with other UN organizations in piloting training for UNCTs on human rights based approaches to development.

Annex 5 Abbreviations

The following abbreviations relate to those used in the main text and in the annexes. This list does not include the acronyms of UN agencies, which are listed at: www.un.org

CAP	Consolidated Appeal Process
CCA	Common Country Assessment
CP	Country Programmes
CPD	Country Programme Documents
CSO	Civil Society Organization
DAC	Development Assistance Committee
DOTS	Directly Observed Treatment Short-course
ExCom	Executive Committee
FWCW	Fourth World Conference on Women
GAD	Gender And Development
GDP	Gross Domestic Product
GNP	Gross National Product
HIPC	Highly Indebted Poor Countries
HIV/AIDS	Human Immune-Deficiency Virus/Acquired Immunodeficiency Syndrome
HQs	Headquarters
ICPD	International Conference on Population and Development
JSM	Joint Strategy Meeting
LDC	Least Developed Countries
MD	Millennium Declaration
MDGR	Millennium Development Goals Report
MDGs	Millennium Development Goals
M & E	Monitoring & Evaluation
NGOs	Non-Governmental Organisations
ODA	Official Development Assistance
PPP	Purchasing Power Parity
PRSP	Poverty Reduction Strategy Paper
RC	Resident Coordinator
SWOT	Strengths, Weaknesses, Opportunities, Threats
TOR	Terms of Reference
WSSD	World Summit on Sustainable Development