

**ANNEX I: NOTE ON THE AD-HOC ARRANGEMENTS FOR THE
INDEPENDENT EVALUATION OF THE DELIVERING AS ONE PILOT
INITIATIVE**

Note on the ad-hoc arrangements for the independent evaluation of the “delivering-as-one” (DaO) pilot initiative, prepared in response to a request made by the co-chairs of the consultations of the General Assembly (GA) on system-wide coherence during a plenary session on 29 March 2010 and endorsed by General Assembly resolution 64/289 of 2 July 2010 on system-wide coherence

Modality

Consultations with the various evaluation units within the United Nations (UN) system, including the Joint Inspection Unit (JIU) have been held in the past few weeks, and a revised modality has been designed for the independent evaluation of the DaO pilot initiative, which the Secretary-General believes will be able to produce a highly professional, independent, yet, inclusive evaluation, within the given time frame.

Drawing on the two management options presented in the Secretary-General’s report “*Follow-up to General Assembly resolution 63/311 on system-wide coherence related to operational activities for development*” (A/64/589, 22 December 2009), this “hybrid” modality combines the senior national evaluation expertise of an expert panel with the knowledge of the UN system and the independence of the JIU. In accordance with this modality, Member States will be invited to submit names of national experts who have held senior positions in national and/or multilateral evaluation institutions, and designed and managed complex evaluations, as candidates for membership in an Evaluation Management Group (EMG), charged with overseeing the independent evaluation of the DaO pilot initiative.

The EMG will be composed of nine members: (a) one expert from each of the five regions, (b) one expert each from two pilot countries, and (c) the Chairs of the JIU and the United Nations Evaluations Group (UNEG). The Secretary-General will write to the Chairs of the regional groups, copied to all Member States, inviting nominations of outstanding evaluation professionals as members of the EMG. Upon receipt of nominations by Member States, the Secretary-General will circulate a list containing a brief profile of each candidate, and in partnership with the regional groups and pilot countries, select the members of the EMG.

Members of the EMG will act in their expert capacity and be expected to possess the following competencies: extensive experience in providing overall direction for complex and strategic evaluations, preferably in the context of cooperation between programme countries and the UN system; excellent technical evaluation expertise and skills, including providing substantive guidance on evaluation design methodology and report writing; and thorough understanding of the standards of professional conduct for evaluators.

The EMG will prepare the final Terms of Reference for the independent evaluation; determine the criteria for the selection of a highly professional evaluation team (consultants); oversee the selection of the evaluation team and the issuance of relevant contracts; review interim reports from the evaluation team; and based on a submission from the evaluation team, prepare the final report for the consideration of the GA.

Members of the evaluation team should have outstanding evaluation expertise and experience, including on evaluation design, data collection and analysis and report writing. The composition of the evaluation team should include nationals of both developing and developed

countries. None of the members of the EMG or evaluation team should have been directly involved in the day to day conduct of the country-led evaluations of the DaO pilot initiative.

Accountability

The EMG will be led by a Chairperson selected by the members of the group. The EMG, through the Chairperson, will report directly to the GA, through the President of the Assembly. Once the final report of the EMG has been submitted to the GA, the group will dissolve.

Administrative, logistical and technical support

UNDESA will provide administrative, logistical and technical support to the EMG, ensuring a fully independent process. The support of UNDESA will include the following: provision of necessary background information, among others the reports from the country-led evaluations and relevant resolutions; handling administrative arrangements for the meetings of the EMG; planning and organization of field visits to the DaO pilot countries by EMG members and the evaluation team; organizing consultations of EMG members with relevant stakeholders; conducting periodic briefings for Member States on the progress in the evaluation process; and issuing contracts for consultants, as well as handling other related administrative tasks. UNDESA will report to the EMG, through the Chairperson of the group.

In light of the ad-hoc nature of the arrangements for the independent evaluation of the DaO pilot initiative, additional extra-budgetary resources will need to be mobilized under the leadership of the Deputy Secretary-General, from Member States, on a voluntary basis, to cover the cost of the EMG and the evaluation team as well as the secretariat support provided by UNDESA. UNDESA will put in place a trust fund arrangement for the evaluation process and all Member States will be invited to make a contribution to support the independent evaluation of the DaO pilot initiative.

**ANNEX II: EVALUATION MANAGEMENT GROUP, EVALUATION
TEAM AND EVALUATION SECRETARIAT**

Evaluation Management Group

Ms. Liliam **Flores** (Mexico), Chair, Researcher at the Centre of Studies of Public Finance of the Chamber of Deputies of Mexico

Mr. Ole Winckler **Andersen** (Denmark), Vice-Chair, Head of the Evaluation Department of the Ministry of Foreign Affairs of Denmark

Mr. Gonzalo **Pérez del Castillo** (Uruguay), Vice-Chair, Senior Consultant

Ms. Zhaoying **Chen** (China), Professor, Deputy Director General of the National Center for Science and Technology Evaluation of China

Mr. Dieudonné Bléossi **Dahoun** (Benin), Director General of Development Policies in the Ministry of Development of Benin and Senior Member of the Evaluation Committee concerning Public Policies of Benin

Mr. Aare **Järvan** (Estonia), Economic Adviser to the Prime Minister of Estonia

Mr. Manuel dos Santos **Pinheiro** (Cape Verde), Coordinator of the Policy and Strategic Center in Cape Verde

Mr. István **Posta**, Inspector of the Joint Inspection Unit of the United Nations system

Ms. Belen **Sanz Luque**, Chief of the UN-Women Evaluation Office, Chair of the United Nations Evaluation Group

International Evaluation Team

Mr. David Michael **Todd** (Barbados and United Kingdom), team coordinator

Ms. Riselia Duarte **Bezerra** (Brazil), deputy team coordinator

Mr. Mathew **Varghese** (India), senior programme evaluation specialist

Mr. Urs Michael **Zollinger** (Switzerland), senior programme evaluation specialist

Mr. Jan Sand **Sørensen** (Denmark), United Nations development assistance specialist

Mr. Rodney **Phillips** (Mauritius), United Nations development assistance specialist

Mr. Hans **Page** (Germany), senior funding and business practices specialist

National Consultants

Mr. Leopoldo **Font Echarte** (Uruguay)

Mr. Ngila **Mwase** (Tanzania)

Ms. Ines **Raimundo** (Mozambique)

Ms. Tran **Thi Hanh** (Viet Nam)

Mr. Rezart **Xhelo** (Albania)

Mr. Syed Akbar **Zaidi** (Pakistan)

Quality Assurance Panel

Mr. Elliot David **Stern** (United Kingdom), expert in the design and implementation of complex and strategic evaluations

Ms. Silke **Weinlich** (Germany), expert on the role and contributions of the United Nations system

Evaluation Secretariat

Mr. Lucien **Back**, Chief of the Secretariat, United Nations Department of Economic and Social Affairs

Ms. Tristi **Nichols**, Programme Officer of the Secretariat, United Nations Department of Economic and Social Affairs

Ms. Marcela **Guimaraes**, Programme Assistant of the Secretariat, United Nations Department of Economic and Social Affairs

Ms. Sandar **Soe**, Programme Assistant of the Secretariat, United Nations Department of Economic and Social Affairs

**ANNEX III: FRAMEWORK TERMS OF REFERENCE FOR THE
INDEPENDENT EVALUATION OF LESSONS LEARNED FROM
DELIVERING AS ONE**

**INDEPENDENT EVALUATION OF
LESSONS LEARNED FROM
DELIVERING AS ONE (DaO)**

**Framework Terms of Reference
Implementation Phase**

**Evaluation Management Group
7 October 2011**

1. INTRODUCTION

1. In accordance with General Assembly resolution 64/289 of 2 July 2010 on system-wide coherence, an independent evaluation of lessons learned from Delivering as One (DaO) is being undertaken.

2. The original mandate of the independent evaluation was contained in General Assembly resolution 62/208 adopted on 19 December 2007 containing the Triennial Comprehensive Policy Review (TCPR) of operational activities for development of the United Nations system. The General Assembly noted *the voluntary efforts to improve coherence, coordination and harmonization in the United Nations development system, including at the request of some “programme country pilot”, encouraged the Secretary-General to support “programme country pilot” countries to evaluate and exchange their experiences, with the support of the United Nations Evaluation Group; and emphasized, in addition, the need for an independent evaluation of lessons learned from such efforts, for consideration by Member States, without prejudice to a future intergovernmental decision (OP 139).*

3. The evaluation is being conducted in accordance with the Note of the Office of the Deputy-Secretary-General of 21 May 2010 on the ad-hoc arrangements for the Independent Evaluation of the Delivering as One (DaO) pilot initiative, to which reference is made in General Assembly resolution 64/289 (OP 21).

4. Under the auspices of the Evaluation Management Group (EMG) appointed by the Secretary-General (Note A/65/737 of 15 February 2011 and Note A/65/737/Add.1 of 10 May 2011), the United Nations Department of Economic and Social Affairs (UN-DESA), has been mandated to provide administrative, logistical and technical support to the EMG.

5. The evaluation is conducted in three phases: (a) an Inception Phase (from July to September 2011); (b) an Implementation Phase (from October 2011 to March 2012); and (c) a finalization phase for the EMG (April – September 2012).

6. The Implementation Phase will be undertaken by a Core Evaluation Team composed of (a) a team leader (coordinator), (b) a deputy team leader (deputy coordinator), and (c) two programme evaluation specialists. During the implementation phase, the core team will be assisted by additional international specialists and national consultants recruited in each of the pilot countries.

7. The evaluation as a whole benefits from advice provided by a two-person Quality Assurance Panel composed of (a) an expert on the role and contribution of the UN system to development policies and development effectiveness in developing countries; and (b) an expert in the design and implementation of complex and strategic evaluations.

8. The present FTOR describes the overall tasks and requirements for the consultants, who will be appointed as members of the Core Evaluation Team, additional international specialists and the national consultants. Separate individual TOR describes tasks and deliverables of each team member as per administrative requirements of DESA.

9. These FTOR only cover the work that will be undertaken during the Implementation Phase of the evaluation (in principle October 2011 – March 2012). The outcome of the implementation phase

will feed into the drafting of a summary report under the responsibility of the EMG that will eventually be presented to the President of the General Assembly before the end of the 66th Session.

2. HISTORY OF DELIVERING OF ONE AND THE INTERGOVERNMENTAL PROCESS

10. Delivering as One is institutionally located within a complex process of intergovernmental decision-making concerning operational activities for development of the UN system, as expressed through the 2001, 2004 and 2007 TCPR resolutions¹. Operational activities for development are implemented by 36 UN organizations², which comprise funds, programmes, specialized agencies and entities of the UN Secretariat. Not all of these organizations consider development as their primary mandate or purpose, which may in fact be political, humanitarian or related to the environment. To be considered as part of the UN development system, they should, however, at least have a role in development, i.e. the ability to respond to the development needs of programme countries, more specifically by contributing to the enhancement of programme countries' capacity to pursue poverty eradication, sustained economic growth and sustainable development as well as meeting Millennium Development Goals (MDGs) and other internationally agreed development goals (IADGs).

11. The United Nations Department of Economic and Social Affairs (UN-DESA) supports the TCPR / QCPR process in the General Assembly and ECOSOC by providing analytical reports related to the implementation of globally agreed policies and priorities at the country-level and promotes coherence of operational activities. It has produced a number of key substantive reports with analyses and evaluations of the implementation of globally agreed policies and priorities mostly at the country level; and also reports on an annual basis on the funding of the development role of the UN system.

Documentation related to the intergovernmental debate on system-wide coherence as a follow-up to the 2005 World Summit Outcome

12. The agenda to make the United Nations development system more coherent, effective and relevant was announced in the 2005 World Summit Outcome Document³. Member States recognized the importance of the unique experience and resources that the UN system brings to global issues and recommended implementation of current reforms of operational activities for development aimed at a more effective, efficient, coherent, coordinated and better performing UN country presence with a strengthened role of the senior resident official and a common management, programming and monitoring framework. The General Assembly invited the Secretary General to launch work to further strengthen the management and coordination of the United Nations operational activities and to make proposals for consideration of Member States for more tightly managed entities in the field of development, humanitarian assistance and the environment.

¹ General Assembly resolutions on the triennial comprehensive policy review of operational activities for development of the United Nations system (TCPR): A/Res/56/201 adopted on 21 December 2001; A/Res/59/250 adopted on 22 December 2004; A/Res/62/2008 adopted on 19 December 2007. The TCPR is a review of operational activities by the General Assembly, which takes place every three years (as from 2012: every four years becoming the quadrennial comprehensive policy review or QCPR).

² ECA, ECE, ECLAC, ESCAP, ESCWA, FAO, IAEA, ICAO, IFAD, ILO, IMO, ITC, ITU, UNAIDS, UNCDF, UNCTAD, UNODC, Department of Economic and Social Affairs, UNDP, UNEP, UNESCO, UNFPA, UN-Habitat, UNHCR, UNICEF, UNIDO, UN Women, Office for the Coordination of Humanitarian Affairs, UNRWA, UNV, UPU, WFP, WHO, WIPO, WMO, World Tourism Organization. Based on the Report of the Secretary-General A/65/79-E/2010/76 of 14 May 2010 on the Analysis of the funding of operational activities for development of the United Nations system for 2008. International Financial Institutions are not included in this list.

³ General Assembly resolution A/60/1 2005 World Summit Outcome Document

13. In response to the request of Member States expressed in the 2005 World Summit Outcome Document, the Secretary General appointed the High-Level Panel on UN System-Wide Coherence in the Areas of Development, Humanitarian Assistance and the Environment⁴, which finalized its report in November 2006. The out-going Secretary General presented the recommendations of the Panel to the General Assembly in a Note in November 2006⁵ and the in-coming Secretary General analyzed the main recommendations in a formal report in April 2007⁶.

14. One of the key recommendations of the Panel was that the UN system should “Deliver as One” at country level, with one leader, one programme, one budget and, where appropriate, one office. The proposal was conceptualized within the framework of progress towards the MDGs and other internationally agreed development goals. The report also recommended that UN country teams should have an integrated capacity to provide a coherent approach to cross-cutting issues, including sustainable development, gender equality and human rights. At headquarters level, One UN development was to be achieved through the creation of a Sustainable Development Board to oversee the One UN Country Programmes and the establishment of a MDG funding mechanism to provide multi-year funding for the One UN Country Programmes.

15. The report was a visionary statement reflecting the views of eminent political leaders from both developed and developing countries. It triggered an intense debate among Member States on system-wide coherence between 2007 and 2010. The process resulted in the adoption of resolutions on system-wide coherence in 2008, 2009 and 2010⁷ that in fact enriched inter-governmental guidance to operational activities for development already covered by the 2007 TCPR resolution. A key element of the 2009 resolution was that it renewed the request to the Secretary-General, originally made in the 2007 TCPR resolution, to urgently undertake arrangements for the independent evaluation of lessons learned from the DaO efforts. The 2010 resolution encouraged the Secretary-General to proceed with the modality for the independent evaluation, as outlined in the Note of the Secretary-General of 21 May 2010 (OP 21).

16. The 2009 resolution on system-wide coherence (SWC) contained various requests to the Secretary General, which were responded to in two reports presented to the General Assembly in December 2009 and January 2010, one on the establishment of the gender entity⁸ and one other dimensions of the follow-up to the 2009 SWC resolution⁹. The latter report contained various proposals and options for the consideration of Member States concerning the governance of operational activities for development, modalities for submission and approval of common country programmes, principles for establishing an independent system-wide evaluation mechanism, strengthening financial reporting on operational activities and options for the conduct of the independent evaluation of lessons learned from DaO programme country pilots.

⁴ The Panel was composed of high level representatives from many countries (including the serving Prime Ministers of Pakistan, Mozambique and Norway, former Presidents of Chile and Tanzania and other eminent figures from the United Kingdom, Egypt, Canada, Sweden, Belgium, France, the United States and Japan as well as from the UN system).

⁵ Note of Secretary General Kofi Annan to the General Assembly A/61/583 of 20 November 2006

⁶ Report of Secretary General Ban Ki Moon to the General Assembly A/61/836 of 03 April 2007.

⁷ Resolutions A/RES/62/277 adopted on 15 September 2008; A/RES/63/311 adopted on 14 September 2009; A/RES/64/289 adopted on 30 June 2010.

⁸ Report of the Secretary General of 06 January 2010: Comprehensive proposal for the composite entity for gender equality and the empowerment of women. A/64/588

⁹ Report of the Secretary General of 22 December 2009: Follow-up to General Assembly resolution 63/311 on system-wide coherence related to operational activities for development. A/64/589.

Documents on the origins and progress of the DaO approach, including stocktaking reports on DaO and other documents on lessons learned from DaO

17. At the end of 2006, eight countries informed the Secretary-General of their intention to pilot the Delivering as One approach: Albania, Cape Verde, Mozambique, Pakistan, Rwanda, Tanzania, Uruguay and Viet Nam. On 22 November 2006, the Secretary General requested the Chair of the United Nations Development Group (UNDG) to lead an effort with the Executive Heads of the UNDG to move forward with the “One United Nations” initiative based on the interest expressed by programme countries and with the support by MDG strategy support funds¹⁰. On 22 and 23 January 2007, the chairman of the UNDG informed the Joint Boards of UNDP / UNFPA, UNICEF and WFP¹¹ and ECOSOC¹² that the eight countries had formally requested to become One UN pilot countries.

18. The purpose of these pilots as expressed in these documents was to allow the UN system, in cooperation with pilot country governments, to develop approaches that would enhance the coherence, efficiency and effectiveness of the UN at country level and reduce transaction costs for host countries. The exercise was to provide an opportunity to test different approaches to see what works best in various country situations. It was also emphasized that the basic concept of the One UN pilots broadly reflected guidance from Member States provided through the 2001 and 2004 TCPR resolutions as well as the 2005 World Summit.

19. Experiences and lessons learned in DaO pilot countries have been extensively monitored and documented both in the individual countries and by the UN Development Operations Coordination Office (DOCO) of the UNDG¹³. Major stocktaking exercises took place in 2007¹⁴ and 2008¹⁵. These reports reflect the evolution of the DaO initiatives between 2007 and 2008.

20. Representatives of the governments of the eight pilot countries as well as representatives of other countries having also voluntarily adopted the DaO approach met in Maputo (Mozambique) in 2008, in Kigali (Rwanda) in 2009 and in Ha Noi (Viet Nam) in 2010 for exchanges of experiences and lessons learned and discussion of the way forward. The intention was to communicate progress and critical issues of the Delivering as One initiative to concerned parties, so as to mobilize support of programme and donor countries as well as the UN system in view to strengthen reforms.

UNEG evaluability assessments of DaO

21. In 2007, the United Nations Evaluation Group (UNEG) conducted **evaluability assessments** of the DaO pilots, which described and analysed the parameters that would make it possible to fully evaluate at a later stage both the results of the DaO pilot initiatives and the processes that led to the results. UNEG’s evaluability assessments thus contain useful methodological information for any

¹⁰ Letter from the Secretary General to the Chair of the UNDG of 22 November 2006

¹¹ Statement by Kermal Dervis at the Joint Meeting of the Executive Boards of UNDP/UNFPA, UNICEF and WFP on 22 January 2007.

¹² Letter from the chairman of the UNDP to Members of the Economic and Social Council for 2007 of 23 January 2007.

¹³ References can be found on the website www.undg.org, notably under the heading UN Reform and Coherence.

¹⁴ Delivering as One Stocktaking Exercise, Key Points from the Delivering as One Pilot Initiative Emerging from Reports by Governments, UN country teams and UN Agencies, 27 March 2008.

¹⁵ Delivering as One 2008 Stocktaking Synthesis Report, Joint Reports by Governments and UN country teams, 16 July 2009.

future evaluation of the pilot experiences, including the independent evaluation of lessons learned requested by the General Assembly¹⁶.

22. The evaluability assessment studies also contained some evaluative feedback especially on key process indicators reflecting the situation in mid-2008, that is, in most cases one and a half years after the DaO approaches had been initiated. They therefore represent useful additional information on the evolution of the DaO initiatives in the pilot countries.

Review and critical assessment of country-led evaluations conducted in 2010 and of documentation available on Delivering as One in Pakistan

23. In 2010, seven of the eight pilot countries (Albania, Cape Verde, Mozambique, Rwanda, Tanzania, Uruguay and Viet Nam) conducted extensive **country-led evaluations** in 2010. These evaluations were carried out in accordance with the provision in the 2007 TCPR resolution for “programme country pilot” countries to evaluate and exchange their experiences, with the support of the United Nations Evaluation Group” (OP 139). The reports have now been finalized¹⁷. TOR and various interim and draft final products of these evaluations were reviewed by UNEG. Their overall credibility and their usefulness for the independent evaluation were assessed by the Core Evaluation Team during the inception phase.

Documentation available on DaO in Pakistan

24. In the case of **Pakistan**, instead of a country-led evaluation report, a comprehensive **stocktaking report of DaO** was prepared in 2010, in consultation between the Government of Pakistan and UN organizations involved. Moreover, there will be an **external review of the One Programme** (OP I 2008-2012) as part of the roll-out of the preparation of the next One Programme (OP II 2013-2017). This review will primarily serve the purpose of analysing lessons learned in order to feed into the prioritization and programming phases of the OP-II.

Review and critical assessment of systemic issues related to Delivering as One Management and Accountability System of UNDG, and UNDG strategic priorities (2010-2011)

25. In **addition** to the documents that emanated from the UNDG at the start of the DaO process, there are several key documents on the **Management and Accountability System (M&A System)** for the UN Development and Resident Coordinator system including the “functional firewall” of the Resident Coordinator System, which was adopted by the UNDG in August 2008¹⁸. A detailed **Implementation Plan** was agreed in January 2009 to operationalise the M&A System, including an outline of the responsibilities of the key stakeholders, of expected outcomes and outputs related to these responsibilities, with timelines. **A review of the M&A has been undertaken under UNDG management, but is not yet available.**¹⁹

¹⁶ For further details see: UNEG, Evaluability Assessments of the Programme Country Pilots, Delivering as One UN, Synthesis Report, December 2008.

¹⁷ <<http://www.undg.org/index.cfm?P=1292>>

¹⁸ The management and accountability system of the United Nations development and resident coordinator system. United Nations Development Group document, 27 August 2008. The Chief Executives Board subsequently endorsed the document on 24 October 2008.

¹⁹ In addition, UN-DESA has published four reports on the functioning of the resident coordinator system, including costs and benefits for ECOSOC (E/2008/60 on 13 May 2008; E/2009/76 on 15 May 2009; E/2010/53 on 30 April 2010).

26. In October 2009, the **UNDG** adopted its **strategic priorities for 2010-2011**. **Effective** implementation of the UNDG strategic priorities will be driven at all levels, i.e. country, regional and headquarters levels with regional and headquarters levels of the UNDG primarily responding to requests from the countries for support. The new UNDG strategic priorities 2010-2011 introduce a paradigm shift from “top-down” direction and guidance primarily developed at headquarters level and implemented in the field to a more demand-driven approach that seeks to respond to needs and priorities of programme countries.

DaO Expanded Funding Window (EFW)

27. DaO also triggered innovations to the funding architecture of the UN development system. A funding modality that is complementary to un-earmarked core contributions and mostly earmarked non-core contributions is the establishment of thematic trust funds, multi-donor trust funds and other voluntary non-earmarked funding mechanisms linked to organization-specific funding frameworks and strategies established by the respective governing bodies as funding modalities complementary to regular budgets.

28. One of these modalities is the **Expanded Delivering as One Funding Window for Achievement of the Millennium Development Goals (EFW)**²⁰. The EFW was launched in September 2008 (with initial support notably from Spain, the UK and Norway) as a multi-donor funding mechanism that provides resources to support nationally-led and owned programming processes to help UN country teams to Deliver as One. Specifically, the EFW is designed to: a) respond to the need for additional, un-earmarked, more predictable funding; b) provide a channel for additional resources to fill funding gaps for UN country programmes; c) allow donors to support integrated UN Programmes in countries where they may not have a bilateral presence or country-level funding mechanisms; and d) reduce the transaction costs associated with the separate and multiple financing agreements required to manage earmarked resources.

Process of simplification and harmonization of business practices

29. The Delivering as One initiatives have also given new impetus to efforts to simplify and harmonize business practices of the UN development system. Experiences related to simplification and harmonization of business practices in two of the eight pilot countries (Mozambique and Viet Nam) as well as in Malawi were assessed by a **joint UNDG – HLCM high-level mission**, which took place in March and April 2010. The mission noted that, in all countries visited, the UN country teams had taken a number of steps for improvement and harmonization of business practices to increase efficiency and effectiveness in their operations, including actions that could be taken by the country team on its own, and others with headquarters support. It was, however, also concluded that significant challenges remain.

30. The Chief Executives Board for Coordination (CEB) and its other pillars, the High Level Committee on Programmes (HLCP) and the High Level Committee on Management (HLCM) addressed issues related to Delivering as One between 2007 and 2010. The Core Evaluation Team should review the **technical documents** prepared for the various meetings as well as the **reports** in view to assess, whether they contain innovative proposals for programming and / or simplification and harmonization of business practices.

Relationship of the DaO approach with the process of humanitarian assistance

²⁰ The information on the EFW is derived from the UNDG website on joint funding mechanisms www.undg.org and the website on the Multi-Donor Trust Funds <http://mdtf.undp.org/>

31. The mandate of the independent evaluation of DaO originated in the 2007 TCPR resolution on operational activities for development of the UN system (General Assembly resolution 62/208 OP 139). The UN role in development is generally understood to be related to, yet distinct from the role the system plays in the context of humanitarian assistance.

32. The quest for coherence and coordination of humanitarian assistance involves key UN and non-UN humanitarian partners, the latter being, for example, the Red Cross Movement and Non-Governmental Organizations, who work together in the Inter-Agency Standing Committee (IASC), a unique inter-agency forum for coordination, policy development and decision-making. The IASC was established in June 1992 in response to United Nations General Assembly resolution 46/182 on the strengthening of humanitarian assistance. General Assembly resolution 48/57 affirmed its role as the primary mechanism for inter-agency coordination of humanitarian assistance.

33. During the inception phase, the Core Evaluation Team assessed the extent to which and in what ways the DaO initiatives at country, regional and headquarters levels are reported to have affected the role of the UN system in the IASC context and / or in relation to other coordination mechanisms. e.g. the accumulation of roles of resident coordinator and humanitarian coordinator. On the basis of work conducted by the Country Led Evaluations, it has been concluded that the relationship of DaO with the humanitarian role of the UN was not a fundamental issue in the pilot countries. However, the CET should remain open to the need to conduct assessment and evaluation of this dimension in specific countries, should this prove to be an “emerging issue” on the basis of the country field missions.

3. PURPOSE AND OBJECTIVE OF THE INDEPENDENT EVALUATION

34. The ultimate purpose of the independent evaluation is to inform the Quadrennial Comprehensive Policy Review on Operational Activities for Development of the United Nations system (QCPR) in late 2012, as well as other inter-governmental processes concerning system-wide coherence.

35. Its overall objective is to assess the contribution and value added of the Delivering as One approach and to draw lessons learned in this context that are significant for the UN system as a whole, including in terms of :

- relevance of the initiatives and of the approach as a whole (in terms of responsiveness to the needs and priorities of the individual pilot countries and enhanced relevance and coherence of the UN development system);
- effectiveness (in terms of strengthened national ownership and leadership and enhanced national capacities / capacity development in pilot countries; contribution of the UN system to development results; implementation of appropriate processes and production of results, including on crosscutting issues, notably gender equality and women’s empowerment);
- efficiency (the reduction of transaction cost for the countries, the UN system and other partners; new ways of doing business; simplification and harmonization of rules, regulations and procedures; additional, more predictable and more flexible funding mechanisms); and
- sustainability of the Delivering as One approach (probability of continuing the approach over time and likelihood of long term benefits from the approach both at the level of the pilot countries and for the UN development system as a whole).

4. SCOPE OF THE EVALUATION

36. Specifically, as part of the process of evaluating lessons learned from the DaO pilots, the evaluation covers the *period* from 2006 (the year before DaO started) to 2011 and has the scope to assess:

- *The voluntary DaO initiatives* in the eight pilot countries (Albania, Cape Verde, Mozambique, Pakistan, Rwanda, Tanzania, Uruguay and Viet Nam);
- *Progress, processes and context*, as well as *lessons learned* from pilot experiences; and remaining challenges to use the DaO approach;
- *Systemic issues* of UN reform related to or triggered by the DaO approach at headquarters, regional and country levels;
- The evaluation does not cover the so called “self-starters”; other countries that have adopted the DaO approach or elements thereof on a voluntary basis; and
- The evaluation does not assess overall performance of the UN development system in the pilot countries.

5. KEY EVALUATION QUESTIONS (and Sub-Questions)

37. On the basis of work conducted in response to the FTOR for the Inception Phase, notably the CET Draft Inception Report, the following set of Key Evaluation Questions and Sub-Questions will guide the future work of the Independent Evaluation.

Q1: What were DaO’s original intentions? (Design question. Relevance criterion.)

1a: What problems or challenges did DaO intend to address at country and systemic levels?

1b: How were these identified and were they formally agreed?

1c: At what level(s) were these problems and challenges occurring?

1d: What were the original objectives of DaO?

Q2: Why did countries volunteer and how can the intentions of DaO be related to their country circumstances? (Design question. Relevance criterion.)

2a: What were the key aspects of the country context, to which DaO was expected to make a contribution?

2b: What were countries’ objectives in volunteering and were these objectives formally defined?

2c: How did countries’ objectives related to DaO evolve over time?

2d: How responsive was DaO to evolving countries’ objectives and circumstances?

Q3: What processes and resources have been put in place to operationalise the DaO at country, regional and global level? (Design question. Relevance and Effectiveness criteria).

Country Level

3a: Which of the “Ones” were implemented and which were not and why?

3b: To what extent were “the Ones” innovative approaches to joint Government/UN programming in the country?

3c: What UN and national institutions, systems and processes were used to help “Deliver as One”? What institutions, systems and processes were not conducive to “Deliver as One”?

3d: Which stakeholders (including government institutions, civil society and private sector bodies, UN agencies, donors, foundations, global funds) participated in DaO, in what way, and were any of these new to the UN programme in the country?

3e: What has been the relationship between the DaO and the UNDAF over time, in terms of stakeholders, activities and resources at country level? What has been the relationship between joint programmes and the DaO initiative?

3f: Did the DaO initiative lead to any change in national ownership of activities promoted by the UN? Did it enable the UN to respond to and support Government policies and initiatives more effectively? Did national institutions gain enhanced capacity to deliver against their mandates as a result of DaO and if so, how and to what extent?

Regional Level

3g: What institutions, systems and processes were used to help “Deliver as One”? What institutions, systems and processes were not conducive to “Deliver as One”?

3h: Which stakeholders participated in DaO, in what way: and were any of these new to the UN programme in the region?

Global Level

3i: What institutions, systems and processes were used to help “Deliver as One”? What institutions, systems and processes were not conducive to “Deliver as One”?

3j: Which stakeholders participated in DaO, in what way: and were any new collaborations formed to assist the initiative?

Q4: What happened at country level and how did the context influence how DaO was implemented? (Implementation and results questions. Effectiveness and efficiency criteria.)

4a: What were the main programme activities of DaO? How were they funded, who were their stakeholders, what were their objectives and how were they implemented?

4b: What results, intended or unintended, have been achieved in terms of countries’ capacity to meet national development goals and objectives as well as MDGs and other internationally agreed development goals?

4c: What systems were put in place by DaO and what results have been achieved in terms of cross-cutting issues, e.g. human rights, gender equality and women’s empowerment?

4d: How well did DaO deliver on the country’s objectives in piloting the initiative? What evidence exists on DaO’s contribution to development results overall? What evidence exists on DaO’s contribution to gender equality and women’s empowerment specifically? How did the country’s objectives evolve as a result of DaO?

4e: How well did the UN and national institutions, systems and processes actually and / or potentially reduce the transaction cost related to UN development activities? Which institutions, systems and processes were not conducive to the reduction of transaction cost?

4f: What were the key contextual factors which influenced how DaO was implemented and what it has been able to achieve?

4g: To what extent were innovative approaches introduced as part of the DaO pilot?

Q5: What were the most significant changes (at country, regional and global levels) to which DaO contributed, recognising intended objectives and were there any unintended consequences of DaO? How and why did these changes and consequences come about? (Relationship of results to perceptions of significant change question. Effectiveness, efficiency & sustainability criteria.)

Country Level

5a: In view of the results to which DaO contributed, what changes (and/or unintended consequences) have been recorded or perceived by national stakeholders?

5b: What were the specific aspects of DaO contributing to these changes (or consequences)?

5c: Why did these changes (or consequences) occur?

5d: What is perceived by different country level stakeholders as the main “added value” of the DaO initiative?

Regional Level

5e: To what changes (and/or unintended consequences) did DaO contribute from a regional perspective? Why did these changes (or consequences) occur?

Global Level

5f: To what changes (and/or unintended consequences) did DaO contribute from a global perspective? Why did these changes (or consequences) occur?

Q6: In what ways has the UN system (particularly headquarters of UN organizations) supported and/or constrained DaO implementation and results – or led to unintended consequences? (Implementation and results question. Effectiveness, efficiency & sustainability criteria.)

6a: Which aspects of UN System support were effective and which were ineffective?

6b: What were the consequences of those aspects of support, which were effective or ineffective?

6c: How do stakeholders at different levels (inside and outside the UN) perceive the consequences of UN system support, particularly from headquarters of UN organizations, on the implementation and performance of the DaO initiative?

Q7: What are the key lessons, based on positive contribution or challenges faced by the DaO initiatives that can be carried forward into the future work of the UN? (Results/Lessons learned question. Effectiveness, efficiency & sustainability criteria.)

7a: What are the key lessons to be drawn from the contribution of DaO to helping countries meet their national development objectives and those of the MDGs and IADGs: particularly with regard to the relevance, efficiency, effectiveness and sustainability of the results achieved?

7b: What are the key lessons to be drawn from the challenges faced by DaO in helping countries meet their national development objectives and those of the MDGs and IADGs: particularly with regard to the relevance, efficiency, effectiveness and sustainability of the results achieved?

7c: What are the implications of these lessons for the future work of the UN and how can they best be incorporated into future practice?

Table 1: Coverage of DaO Stages and Evaluation Criteria by Key Questions.

	Relevance	Efficiency	Effectiveness	Sustainability
Design	Q1,2,3			
Implementation		Q4,5,6	Q4,5,6	Q5,6
Results		Q4,5,6,7	Q4,5,6,7	Q5,6,7

6. METHODOLOGY

Overview and Evaluation Matrix

38. In order to explore the key questions, the evaluation will use a mix of methods, as outlined in Table 2, the Evaluation Matrix.

Table 2: Evaluation Matrix for Lessons Learned from DaO Pilot Initiatives.

Key Question	Data Sources	Methodology	Analysis
1: What were DaO's original intentions?	UN institutional documents: HLP report, GA, SWC and TCPR Resolutions.	Desk Review.	Problem tree analysis, assessment of relationship between intentions stated in documents and resolutions and IE evaluation criteria of efficiency, effectiveness, relevance and sustainability.
2: Why did countries volunteer and how can their intentions be related to their country circumstances?	CLEs, web sites, documents, country field missions.	Desk review, national consultation meetings; and follow up interviews and discussions.	Assessment of stated national objectives in piloting DaO, in relation to key contextual factors; such as the prior role of UN in the country and the importance of external technical and financial assistance.
3: What processes and resources have been put in place to operationalise the DaO at country, regional and global level?	UNEG Evaluability Assessments, CLEs, other DaO-related documents, country level web sites, UN systemic and regional documents and web sites, country field missions.	Desk Review, national consultation meetings; and follow up interviews and discussions.	Financial analysis of resource allocation and sources, institutional analysis, case studies, comparison of key processes and resources across pilot countries, assessment of relationship between changes of institutional processes at HQ and regional level to DaO.
4: What happened at country level and how did the context influence how DaO was implemented?	CLEs, web sites, documents, country field missions.	Desk review (including reviews of evaluations and assessments of joint programmes – if available – and existing evaluations of DaO – or components thereof – from individual agencies), national consultation meetings; and follow up interviews and discussions.	Country portfolio analysis of DaO, assessment of role and programme of UN per country before and after introduction of DaO. On the basis of desk review and national consultation meetings, develop country specific Theory of Change outlining intended causal pathways of change, assumptions upon which these were based, and potential impact drivers; assess actual progress and results compared with those predicted on basis of ToC, on the basis of analysis of relationship between key aspects of development context per country and performance and contribution of DaO.

<p>5: What were the most significant changes (at country, regional and global levels) to which DaO contributed, including with regard to human rights and gender, recognising intended objectives; and were there any unintended consequences of DaO? How and why did these changes and consequences come about?</p>	<p>CLEs, web sites, documents, country field missions, visits to UN HQ and regional offices.</p>	<p>Desk review, national consultation meetings; and national level follow up interviews and discussions. Interviews and discussions at regional and HQ level.</p>	<p>To the extent possible, DaO's contributions to development results, and specifically regarding results related to gender equality and women's empowerment, will be examined specifically. Assessment of most significant changes perceived by stakeholders at each level, in comparison with those DaO contributions, which can be substantiated by documentary sources. Analysis of complementarity and divergence between perceptions and recorded changes among and between different levels and functions of stakeholder.</p>
<p>6: In what ways has the UN system (particularly Agency HQs) supported and/or constrained DaO implementation and results – or led to unintended consequences?</p>	<p>CLEs, web sites, documents, country field missions, visits to UN regional and HQ level offices.</p>	<p>Desk review, national consultation meetings; and national level follow up interviews and discussions. Interviews and discussions at regional and HQ level.</p>	<p>Assessment of system response (particularly at HQ level) in relation to needs identified at country level; in order to overcome systemic constraints to innovation and maximise contribution to development outcomes.</p>
<p>7: What are the key lessons, based on positive contribution or challenges faced by the DaO initiatives that can be carried forward into the future work of the UN?</p>	<p>CLEs, web sites, documents, country field missions, visits to UN regional and HQ level offices.</p>	<p>Desk review, national consultation meetings; and national level follow up interviews and discussions. Interviews and discussions at regional and HQ level.</p>	<p>On basis of Questions 1 to 7, assessment and presentation of main factors which have contributed to or hindered progress towards objectives at pilot country level; based on the frequency and strength with which they have emerged in the eight countries; and the extent to which they are within the control of the UN system, rather than contextual. Assessment of efficiency, effectiveness, relevance and sustainability of results and institutional processes of DaO. Derivation of lessons, which build on</p>

strengths and address challenges raised by pilot implementation of DaO, in order to maximise performance of UN system at country level in the light of the four evaluation criteria.

39. At the core of the approach is a set of country case studies, the methodology of which is outlined in Box 1 below.

Box 1: Methods for Country Studies*

- *Desk study* of key documents.
- Collection and analysis of *financial data*
- Preparation of *preliminary Theory of Change logic model* for DaO in country
- Hold *initial national stakeholder* consultations at which stakeholders revise the Theory of Change and respond to the Key Questions
- On basis of national workshop, conduct *in-country preliminary analysis* of national context and emerging issues
- *Follow up* emerging and contextual issues through interviews and discussions with stakeholders
- Prepare mission *key findings and analysis*
- Conduct *stakeholder feedback and verification* session.
- *Finalise analysis* and feed into broader evaluation (ex-country)

* These methods are based on country missions of 11 days + travel for two person team, supported by a national consultant. A UN Financial Analysis Consultant will provide the key financial data for each country.

Preparation of Field Missions

40. Field missions are one of the key methods of information gathering. Each pilot country will be visited by a two-person team led by a member of the CET. To ensure adequate preparation for these, a common set of guidelines will be used by all mission teams, as Attached in Annex One of this FTOR.

Overall Analysis and Deriving Lessons

41. The overall analysis of the results of DaO and the process of deriving lessons for the UN system (including at country level) will draw upon the building blocks of analysis conducted at country, regional and global level. This interim analysis will draw upon a set of tools designed to assist in ensuring the coverage and comparability of analysis undertaken across the eight countries and between the different levels of the system. These tools will include:

1. Country analysis template
2. Headquarters (and regional) analysis template
3. Financial analysis template.

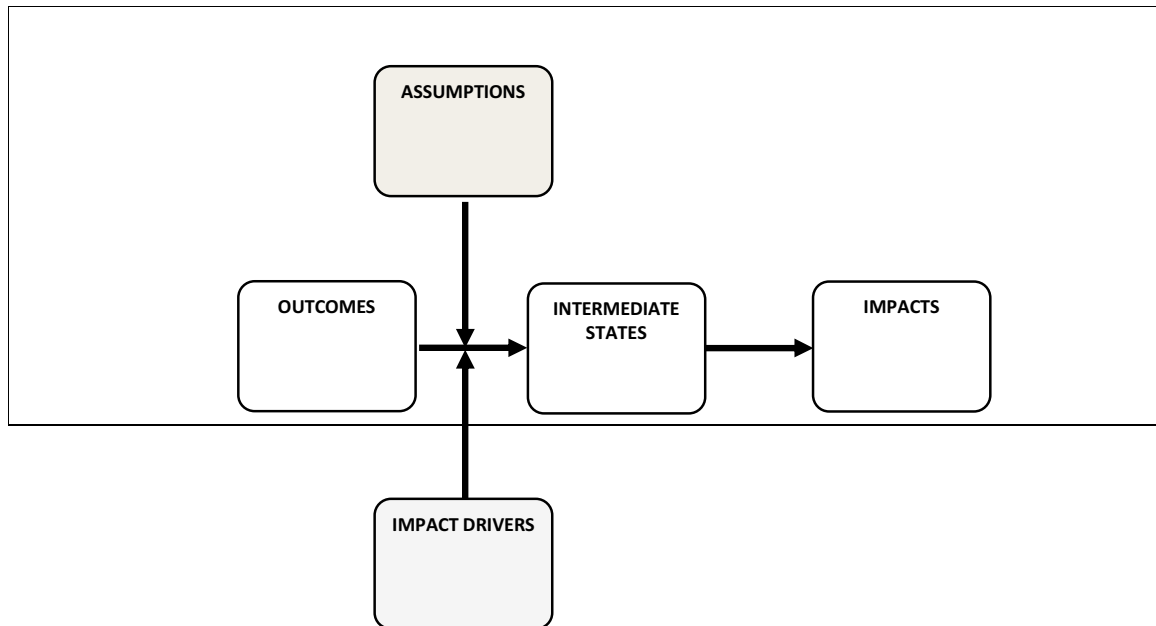
42. The main directions of analysis at the different systemic levels are presented below; although it is important that these should not preclude detailed analysis of additional issues, which may emerge from field missions, since the latter may also be significant to an overall evaluation of lessons learned.

Country analysis

43. Each of the pilot countries will first be analysed as an individual country case study; thereby using all data sources available, including the CLEs and the CET's assessment of the CLEs, as well as more recent material available on web sites and as documents. The basic elements of the approach to country analysis will include the *Development of the country-specific Theory of Change*²¹, which will show how the country stakeholders intended to work together to overcome the previous challenges of UN support delivery at country level; taking account of the country context, assumptions made and the intended results chain from inputs, through outputs to outcomes, leading towards eventual long-term impacts. This ToC will be drafted on the basis of documentation, but can only be finalised on the basis of in-country consultations and discussions. It may also occur that there are "rival" ToCs. For example, national Government stakeholders may have a different perspective on how the DaO was intended to work from that of the UN

²¹ See Box 1 and Box 2 below.

Box 2: Some key elements for specification in a Country-level Theory of Change



44. Definitions of some of the elements, which may be included in a ToC for DaO pilot interventions (individually or collectively) are shown in Box 3:

Box 3: Definitions of Elements in Theories of Change (ToC) for DaO Interventions	
ELEMENT	DEFINITION
Activities	The practical, time bound actions that are carried out with the intention of delivering the desired outcomes
Assumptions	The significant factors that, if present, are expected to contribute to the ultimate realisation of impacts, but that DaO interventions may be unable to directly influence or address
Impact	A fundamental and durable change in an intended objective, to which DaO may contribute
Impact drivers	The significant factors that, if present, are expected to contribute to the ultimate realization of impacts and that are within the ability of DaO interventions to influence
Intermediate states	The transitional conditions between outcomes and impacts that must be achieved in order to deliver the intended impacts
Logical framework	A basic planning and management framework for an intervention, which sets out information about its key components– the activities, outputs, and outcomes - in a clear, concise and systematic way, thereby describing the logic by which the intervention will deliver its objectives
Outcomes-impacts pathways	The means-ends relationships between project outcomes and the intended impacts that describe the specific conditions or factors that are required in order to achieve impacts. Developing a clear understanding of the outcomes-impacts pathways is an essential step in assessing whether an intervention is proceeding in a manner likely to contribute to its intended impacts
Output	The goods and services that an intervention must deliver in order to achieve its

Box 3: Definitions of Elements in Theories of Change (ToC) for DaO Interventions

ELEMENT	DEFINITION
Outcome	outcomes. Outputs are within the direct control of the intervention to deliver The short to medium term behavioural or systemic effects that the intervention makes a contribution towards, and that are designed to help achieve its impacts
Strategy	The major types of intervention employed by an intervention in order to deliver its intended impacts
Theory of Change	A theory-based evaluation tool that maps out the logical sequence of means-ends linkages underlying an intervention and thereby makes explicit both the expected results and the actions or strategies that will lead to the achievement of results

- *Assessment of results achieved*, (or analysed as on the appropriate path to being achieved) and perceptions of their relevance, efficiency, effectiveness and sustainability; including achievements in the cross-cutting areas of gender and human rights
- *Stakeholder perceptions of “most significant changes”* to which the DaO pilot has contributed
- *Sub-national case studies of specific elements of country pilots*; for example, of the methods used to develop a common programme, where there used to be fragmented activities among agencies with overlapping interests in the same area as development activity, such as improved basic education
- *Triangulation of information obtained from different sources* (e.g., Government, UN and Non Government stakeholders); and/or through different methods (e.g., documentary analysis, stakeholder consultation meetings, key informant interviews and group discussions). Such triangulation highlights the extent to which analytical consensus is being reached on key evaluation questions of criteria; as well showing any areas where data from different types of sources or methods appear to contradict each other (e.g., where financial data indicate little real growth of the UN programme following the introduction of DaO, whereas key stakeholders share a perception that the programme greatly expanded)
- *Preparation of an overall “narrative” of what happened in the country*, how, why and to what effect; including consideration of the four evaluation criteria, the key questions and sub-questions and performance on cross-cutting issues. Comparison of what actually happened with the initial theoretical model of how DaO was intended to work in the country.

45. To ensure comparability, the CET members will prepare their internal country reports (as working documents) according to a common format, which is presented in Annex Two of this FTOR.

46. An important step in the refinement of approaches to country level analysis will be a meeting of the CET and UN specialists, which will be held in Geneva in early November, immediately after the first set of three country missions. Perspectives and emerging issues from this meeting will also inform preparation for a series of meetings with UN agencies and Member States in New York, as well as for discussions with Regional Teams.

Headquarters and regional analysis

47. At headquarters level of both development and specialised agencies, analysis will examine stated perspectives and documented outcomes of changes made in response to or anticipation of the needs arising from pilot implementation of DaO. Similarities and differences of perspectives between different elements of the UN headquarters system will be explored to assess the extent to which a

common headquarters perspective is emerging or to which perspectives differ (e.g., between development and specialised agencies or between different management institutions in the system).

48. The rationale, processes and outcomes of reforms of management and governance systems will be explored, in order to develop an understanding of the extent to which they were catalysed by or responded to the emerging experiences of the pilot countries.

49. At regional level, the extent to which new structures and procedures have been introduced in response to the needs and requirements of the different DaO pilots will be assessed. Perceptions of the results and challenges of DaO held by regional Management Teams will be analysed and compared to see to what extent common views and responses are emerging at this level. Additional comparative analysis will be made to assess the similarities and differences between perspectives on DaO experience looking from the country “up” the systemic ladder towards the region and vice versa.

Financial analysis

50. Financial analysis will be conducted by a specialist consultant, based on the data requirements specified by the CET in a Financial Analysis Protocol. In view of the complexity of financial analysis in the UN system, this protocol will be developed in coordination with the development of Terms of Reference for a specialist consultant to explore this issue in depth.

Overall analysis

51. On the basis of the individual country level case studies, analysis will first be made of the similarities and differences between the experiences of the eight pilots. This comparative analysis will be conducted on such aspects as:

- the configuration of the “ones” applied
- main results areas across the pilots
- challenges encountered
- stakeholder perceptions of achievements
- other issues emerging.

52. The findings and conclusions from this work will enable an overall assessment to be made of the relevance, efficiency, effectiveness and sustainability of the pilots as a whole (including key areas of variation among them).

53. This comparative analysis will also assess the extent to which the pilots were designed to address the UN “problem tree” derived from official documentation relevant to DaO; and the manner in which they intended to do so. This in turn will enable identification of the extent to which a clearly defined “core approach” emerges from the pilots; around which optional additional elements have been developed, in order to respond to the specific context of each country.

54. On the basis of this overall analysis an understanding will be developed of the needs felt by country level stakeholders, within and outside the UN, for support from different components of the “UN system.” Furthermore, perceptions from this perspective will be assembled and assessed concerning the extent to which the “higher” institutions of the system, at regional and headquarters levels were effective and efficient in meeting these needs.

55. In parallel with this strand of the analysis, the CET will assemble and assess information and perceptions concerning the views from regional and HQ levels of any measures that they have taken

both to meet the needs expressed from the pilot countries and to take their own “top down” initiatives, which might assist the pilot countries (among others).

56. Once these analytical processes have been completed, a comparison will be made of the “bottom up” and “top down” perspectives; to evaluate to what extent they coincide with or complement each other and to what extent they appear contradictory. This will provide an essential analytical approach to issues concerning how far the UN system is able to encourage and support decentralised initiatives, what are the boundaries of such initiatives in terms of management practices and, even more fundamentally, of UN governance systems.

57. On the basis of the analysis, lessons learned from the DaO initiatives and recommendations will be formulated. In accordance with the purpose of the Independent Evaluation, i.e. to inform the QCPR in late 2012, recommendations will be addressed to Member States in a manner that they are useful in the context of the negotiation among Member States of a new QCPR resolution that will provide policy guidance to operational activities for development system as from 2013.

7. MAIN ACTIVITIES AND IMPLEMENTATION

58. **The main set of activities of the Implementation Phase consists of a set of field missions to the eight pilot countries**, to consult with stakeholders concerning their perceptions of the processes, achievements and challenges of DaO and to finalise an understanding of what happened under DaO in each country.

59. In addition to the country-level mission, follow up will be conducted to finalise the understanding of the systemic issues, which have been found to relate to the DaO pilots. This will take the form of additional documentary analysis, interviews in selected UN development and specialised agencies, in particular Non-resident Agencies, and pursuit of any new evaluative resources identified during the course of the study. Visits to regional offices supporting the pilot countries will be undertaken as well.

60. Moreover, additional specialist work will be undertaken to assess key dimensions of the UN financing architecture, which may be related to the implementation of the DaO pilots. This may include any changes in financing patterns in the pilot countries, notably in terms of the availability of un-earmarked financial resources for development..

61. A further limited body of work will consist of contacts with UN Member States (both developed and developing countries). This will seek to obtain an understanding of perceptions among these bodies concerning the results and future of the DaO initiative and of related changes in UN practices, which may be considered related in some way to this.

62. The EMG, with support provided by the Quality Assurance Panel (QAP) and the Secretariat, will provide guidance to the CET throughout the evaluation process, e.g. through the review of instruments and protocols for data collection and analysis, the possible revision of the conceptual framework and evaluation questions following the first country visits, the formulation of emerging findings, conclusions and lessons learned and different stages of drafting the Evaluation Report.

63. The final major task of the CET during the Implementation Phase will be analysis of the evidence collected and drawing out key findings and lessons learned on the basis of this. Findings, conclusions and lessons learned will be shared with stakeholders for validation and feedback. The Evaluation Report prepared by the CET will eventually be submitted to the EMG for review and approval. The EMG will also draw on this document as part of the process of preparing its Summary Report on the evaluation to the Secretary General.

64. Detailed planning for the Implementation Phase has been initiated during the Inception Phase and will be continued during the early period of implementation, once consultancy contracts have been issued; and may be revised in the light of early field mission experiences. The indicative workplan for the Implementation Phase is shown in Annex Four.

8. PERSONNEL AND RESOURCES

65. Under the auspices of the Evaluation Management Group (EMG) appointed by the Secretary-General (Note A/65/737 of 15 February 2011 and Note A/65/737/Add.1 of 10 May 2011), the United Nations Department of Economic and Social Affairs (UN-DESA), mandated to provide administrative, logistical and technical support to the EMG, has contracted the services of individual consultants for

- a four-person Core Evaluation Team composed of a) a coordinator, b) a deputy coordinator, c) two programme evaluation specialists
- a support team consisting of two experts in the workings of the UN system
- an additional consultant, to undertake work with regard to UN financial trends in the context of the DaO initiatives. Separate terms of reference for this assignment will be agreed between the UNDESA and the CET and submitted to the EMG for approval
- one or more national consultants for each pilot country, to be recruited by UNDESA on the basis of specific Terms of Reference for each national-level assignment

66. The present FTOR describes the overall tasks and requirements for these consultants, who will be appointed as members of the Core Evaluation Team, as support consultants and national consultants and the Quality Assurance Panel. Separate individual TOR describes tasks and deliverables of each team member according to the administrative requirements of DESA.

9. REPORTING AND DELIVERABLES

67. The overall analysis outlined earlier in this FTOR will be conducted by the CET members in mid to late January, largely through electronic communication. This will lead to production of a “zero draft” report for consideration of the QAP and the EMG.,

68. At the same time, a succinct separate document outlining emerging findings, conclusions and lessons learned will be produced, which will benefit from substantive and managerial inputs from members of the EMG and the Secretariat . This document will be presented to a Stakeholder Meeting, which will be held with UN Agencies in New York (with video links to other centres), in principle during the second half of the month of February 2012.

69. On the basis of feedback to the zero draft and the emerging findings document, the CET will then develop a First Draft Report in New York. This period of face-to face drafting will enable the varied mission experiences and perspectives of team members to be fully reflected in discussions. This draft will be reviewed by the QAP and the EMG, feeding into which a full meeting of the EMG with the CET and the QAP, at which issues and concerns can be raised, discussed and resolved.

70. This will lead to production of a Final Draft, which will be circulated to stakeholders in the pilot countries, as well as at regional and HQ level of UN stakeholder agencies, for comments by mid-March 2012. The CET will then respond as appropriate to comments received in the production of a Final Report by the end of March 2012.

10. ANNOTATED OUTLINE OF FINAL REPORT

Draft, 7 October 2011

Executive Summary

- describes the subject being evaluated
- describes the purpose and the objectives of the evaluation
- shortly describes the methodology including main limitations
- contains main findings
- contains main conclusions
- contains the main lessons learned

1. Introduction

- states when the evaluation was conducted (period of the evaluation)
- states by whom the evaluation was mandated, managed and conducted (EMG, evaluation team)
- specifies the subject of the evaluation
- specifies why the evaluation is being done and how it will be used (purpose)
- specifies the objectives of the evaluation
- specifies what the evaluation covers and what not (scope of the evaluation)
- specifies the key evaluation questions and criteria
- specifies who the main stakeholders in the evaluation are
- provides the structure of the report

2. Methodology

- explains how the evaluation arrived at findings and conclusions
- describes data sources, data collection methods and means of analysis methods and why certain methods have been selected (rationale for choice of methodology)
- justifies the use of a theory-based evaluation / ToC approaches and explains how it was applied during data collection / interpretation phases
- addresses methodological challenges and/or limitations, including issue on Pakistan, challenges of attribution of changes to DaO
- addresses the reliability and validity of findings, based on the experienced data collection and analysis process

3. The Delivering as One Initiative (Background)

- This background chapter will be descriptive and should be rather comprehensive thereby allowing the next chapter (4. Analysis and Findings) not to be too descriptive.
- Provides part of the responses to *key evaluation question no. 3* (What processes and resources have been put in place to operationalise the DaO at the country, regional and global level?)

3.1. The Origins of the Delivering as One Initiative

- provides all the information required to understand the DaO initiative, including UN reforms, reference to the 2005 World Summit Outcome document, the high-level Panel Report, the TCPR resolutions, etc.

3.2. The Eight DaO Pilot Countries

- reference to the voluntary nature of the adoption of DaO
- provides descriptive key background information on each pilot country including the country context, including description of the four or five DaO pillars in each country (the “Ones”)
- demonstrates the diversity of approaches (“No One Size Fits All”)
- refers to the country-led evaluations conducted in 2010
- chapter will be supplemented with additional information for each country in the annex

3.3. Headquarters and regional level

- *describes* issues in support of and triggered by DaO at the global and regional level (e.g. Expanded Delivering as One Funding Window for Achievement of the Millennium Development Goals (EFW))

4. Analysis and Findings

4.1. Design of DaO

- provides part of the responses to the *key evaluation questions no. 1* (original intentions) and *no. 2* (why did countries volunteer and how can their intentions be related to their country circumstances)
- introduces the “theory of change” (“problem tree”, “logic model”)
- analyses and assesses *the design* of the DaO initiative including the four/five DaO pillars (the four/five Ones) and the design of the processes at the global and regional level

4.2. Implementation of DaO

- provides part of the responses to the *key evaluation questions no. 4* (*what* happened) and *no. 6* (UN system support and constraints)
- assesses the implementation of the DaO initiative, including the four/five Ones
- explains *why* and *how* things happen/not happen (enabling and constraining factors)

- features the expected assumptions to address links within the “theory of change”
- assessment of systemic processes (e.g. Management and Accountability System)

4.3. Results of DaO

- provides part of the responses to the *key evaluation question no. 4* (how well did DaO deliver on the country’s objectives/results achieved) and **no. 5** (most significant changes)
- assesses DaO against to *evaluation criteria* (relevance, effectiveness, efficiency, sustainability)

How the findings will be presented:

- Only the most important findings will be included. Each key finding will be presented in **bold letters** followed by an analysis and discussion of evidence. Supporting evidence will be limited to relevant information thereby avoiding a listing of unnecessary detailed information.
- The findings will be based on an analysis at the macro and micro level. The macro level analysis will assess the overall experiences at the country, regional and global level. The micro level analysis will present and analyze case study evidence on the diverse experiences in the eight pilot countries.
- The findings chapter will be free from subjective judgments made by evaluators (objective assessment, based on evidence).
- Good use of tables and charts will be made in presenting aggregated data. Examples/case studies will be presented in boxes.

5. Conclusions

- answers the big questions of the evaluation and focus on significant issues arising from the evaluation
- provides the interpretation of the findings; what the findings mean
- CET assesses DaO against the “theory of change” (introduced in chapter 4.1.)
- reflects the CET’s view and considerations

6. Lessons Learned

- provides responses to the key evaluation question **no. 7** (key lessons)
- lessons should be generalized beyond the immediate subject to indicate what wider relevance they might have

7. Recommendations (To be confirmed)

Drawing on the conclusions and lessons learned, devise a limited set of key recommendations to Member States

Annexes

- The annexes will include relevant information that increase the credibility of the report. However, the annex should not be excessively long.
- additional information per pilot country (max. 2 pages per pilot)
- charts and tables too long for the main body of report
- documents consulted
- people consulted

Format of the report

- The report should be easy to read and understand (avoiding complex language and too many acronyms).
- The overall flow of the report must be is cohesive and logical.
- The report uses relevant tables and charts to illustrate important points and information.

Annex One: Preparation of Field Missions

This document is intended to help organise the preparation for the country, regional and HQ missions in a coherent way.

Preparation of country missions

Tasks	Responsibility
<ul style="list-style-type: none"> • Request pilot country offices (RCOs) to send key documents prepared since the CLEs were conducted (see list of documents below) 	Secretariat
<ul style="list-style-type: none"> • Request document from Government in pilot countries: Possible Assessment of the DaO since the CLE (2010) and documents the Government finds relevant in informing the team about particularly successful and/or challenging aspects of DaO experience in the country. 	Secretariat
<ul style="list-style-type: none"> • TOR for national consultant and recruitment 	Secretariat
<ul style="list-style-type: none"> • Desk review of additional key documents produced since 2010 (after the CLE was conducted), e.g. the annual reports 	CET
<ul style="list-style-type: none"> • Based on the desk review, begin with completing the country analysis template (Country Study Report) thereby using the CLEs, and other documents, including country-specific Theory of Change. 	CET
<ul style="list-style-type: none"> • Prepare an interview plan (who should be interviewed) to be set to UNCT in the countries 	CET
<ul style="list-style-type: none"> • Prepare stakeholder consultation meeting, i.e. format, agenda, etc 	CET
<ul style="list-style-type: none"> • Prepare list of participants, book meeting room (drinks & projector), and send invitation to stakeholder meetings 	CET, National Consultant & RCO
<ul style="list-style-type: none"> • Brief national consultants 	CET
<ul style="list-style-type: none"> • Prepare a conversation guide for interviews 	CET
<ul style="list-style-type: none"> • Send conversation guide to informants 	RCO
<ul style="list-style-type: none"> • Schedule individual & group meetings 	National Consultant & RCO
<ul style="list-style-type: none"> • Logistics during mission, including possible updating meeting schedule, cars, hotel reservations, SIM card 	National Consultant & RCO

Preparation for visits to Regional Offices

Tasks	Responsibility
<ul style="list-style-type: none"> • Request regional offices (RCOs) to send key documents (see list of documents below) 	Secretariat
<ul style="list-style-type: none"> • Desk review of documents sent 	CET
<ul style="list-style-type: none"> • Based on the desk review, add regional information to the country analysis template (Country Study Report). 	CET
<ul style="list-style-type: none"> • Prepare an interview plan (who should be interviewed) to be set to Regional Offices 	CET together with Secretariat
<ul style="list-style-type: none"> • Prepare a conversation guide for regional interviews 	CET

- Send conversation guide to informants Secretariat
- Schedule meetings Secretariat
- Logistics (hotel reservation) RT

Preparation for visits to Agencies' HQs

Tasks	Responsibility
• Request HQs to send key documents (as determined by UN Systems Consultant)	Secretariat
• Desk review of documents received	CET
• Prepare HQ Analysis Report (based on the template)	CET
• Prepare an interview plan (who should be interviewed)	CET together with Secretariat
• Schedule meetings, i.e. agenda, list of participants, dates for each location (NYC, Rome, Vienna, Geneva)	Secretariat
• Prepare a conversation guide for HQ interviews	CET
• Send conversation guide to HQ informants	Secretariat

Nature of documents to be requested to the UNCT in each pilot country. Documents should be recent, produced since the Country-led Evaluations, with the possible exception of documents related to potential Perspective Case Studies.

- Aggregated data and evidence of results achieved to date on the One Program (e.g., Updated M&E Matrix)
- Documents related to up to three perspective case studies. Such Case Studies should highlight processes and results that particularly demonstrate the added value of DaO (e.g. cross-cutting issues, joint programs); or specific challenges that have been faced in implementing it as a pilot country.
- Data on costs reduction/increase associated with DaO only: transaction costs, overhead.
- Data on the One Fund (2006-present): total yearly pledges, deposits and expenditures.
- Updated version of the One Program
- Updated version of the Budgetary Framework
- Documents UNCT finds relevant in informing the team about particularly successful and/or challenging aspects of DaO experience in the country.

Documents to be requested to the Regional Offices

- Documentation informing the evaluation team about the institutions, systems and resources used to particularly support DaO implementation.
- Evidence regarding the results of the Regional Office’s support to DaO implementation.
- Documents the UN RT finds relevant in informing the team about particularly successful and/or challenging aspects of DaO experience in the country.

Documents to be requested to the Agencies at HQ – High Level Panel

- Documentation informing the evaluation team about the institutions, systems and resources used to particularly support DaO implementation.
- Evidence regarding the results of the HQs support to DaO implementation.
- Documents the HQ finds relevant in informing the team about particularly successful and/or challenging aspects of DaO experience in the country

Annex Two: Country Study Report Format

Country Study Report Format	
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1. DaO's Original Intentions

Problem-Solution Tree/Theory of Change from the final stakeholders' workshop inserted here. If Government and UNCT's ToCs differ, please attach both, followed by description of key areas of divergence and an analysis of differences.

Original (Global) vs. Country Problem-Solution Tree ToC: Description and then analysis of the deviations and commonalities, if any, between Global and country ToC.

2. Reasons why country volunteered Government perspectives (intentions and objectives)

UN & Other Stakeholders Describe by stakeholder group.

UN at Regional level

Analysis (Consider coherence between problem tree/logical framework and perceived reasons to volunteer)

3. Processes and resources put in place to operationalise the DAO

At country level

The Ones: Describe main features of the Ones in operationalising DaO, which ones were implemented and not, and why.

Description of systems, other processes and resources.

At regional level

First description of institutions, systems and processes and resources, followed by analysis.

At global level

First description of institutions, systems and processes and resources, followed by analysis.

4. What happened at country level

Data and evidence on the results of DaO activities

Stakeholders Perception of Results of DaO (achievements, changes, unintended consequences, added-value)

Government perspectives

Other Stakeholders at country level

Stakeholders at Regional level

Analysis:

Contribution of DaO to the Relevance of the UN development work in the country

May include which Ones worked and not, and why and contextual factors. Address sub-criteria: (a) Responsiveness to country needs and priorities, and (b) Enhanced relevance and coherence of the UN development system.

Add case study(s) in a box.

Contribution of DaO to Development Effectiveness

May include intended objectives of DaO (section one) and contextual factors. Address sub-criteria: (a) National ownership and leadership; (b) Capacity building; and (c) results achieved, including Cross-cutting Issues.

Add case study(s) in a box.

Contribution of DaO to the Efficiency of the UN development system

May include intended objectives of DaO (section one) and contextual factors. Reduction of transaction cost; (b) Reduction of cost and overheads; (c) Simplification and harmonization (S&H) of rules, regulations and procedures; and, (d) Additional, more predictable and more flexible funding mechanisms.

Add case study(s) in a box.

Contribution of DaO to Sustainability of UN Support to and Results of National Development Initiatives

May include: Extent of national ownership of interventions and activities, including demonstrated capacity (including budgets) for continuation; and the extent to which innovative approaches supported by DaO have led to substantive stakeholder support, enabling their continuation and contributing to sustainable outcomes, with the potential for delivery of longer term impacts.

Add case study(s) in a box.

5. *UN system support and constrain to DAO implementation.*

Agency HQs contributions and constraints to DaO implementation

Description. Perceptions by systemic level and stakeholder groups, if perceptions are different.

How effective/ineffective was the UN system (particular HQs) support?

Analysis (consequences, contextual factors)

6. *Key lessons*

Positive contribution or challenges faced by the DaO initiatives that can be carried forward in the work of the UN, drawn from the country and regional experience.

7. *Annexes*

List of Persons Met

Documents Consulted

Others (e.g. One Programme Results Matrix)

Annex Four: Draft Work Plan

INDEPENDENT EVALUATION OF LESSONS LEARNED FROM DELIVERING AS ONE UPDATED TIMELINE AND WORK-PLAN FOR THE SECRETARIAT (2011 -2012) 29 SEPTEMBER 2011

DATES / TIMEFRAME	ACTIVITIES	DELIVERABLES	ACTORS
START –UP PHASE (JANUARY – JUNE 2011)			
1 January	Staffing of the secretariat	Appointment of Chief of the Secretariat	UN-DESA
January– February	Resource mobilization with OECD/DAC and non-OECD/DAC contributors to the UN development system as well as from Funds, Programmes and Specialized Agencies of the UN system	Endowed CSA trust fund	Executive Office of DSG with UN- DESA support
January - February	Compilation of basic documentation and drafting of initial notes	Concept paper, tentative timeline, draft budget and background note for the EMG	Evaluation Secretariat provided by UN-DESA
15 February	Appointment of members of the EMG	Establishment of EMG (Note of the Secretary-General A/65/737)	Executive Office of DSG with UN- DESA support
7-10 March	Meeting of the EMG in New York	Approved concept paper, timeline, budget and background note	EMG with support from Evaluation Secretariat
March – May	Staffing of the secretariat	Appointment of the Programme Officer as from 2 June 2011	UN-DESA
March	Drafting of document on communication and decision-making for the EMG	Document approved	EMG and Secretariat
March – May	Development of Framework Terms of Reference (FTOR) and individual TOR for Core Evaluation Team (CET) and Quality Assurance Panel (QAP)	FTOR and TOR for CET and QAP during the inception phase approved by EMG	EMG with support from Evaluation Secretariat
March – June	Creation of internal website of the DaO evaluation and uploading of key documents	Internal website	Evaluation Secretariat with EMG support
May	Consultancy	Shortlist of candidates for	EMG Chair and

	announcements for CET and QAP, screening of applications and short-listing	CET and QAP	Secretariat
June	Selection of consultants for CET and QAP	Recommendation to appoint consultants for CET and QAP	EMG
INCEPTION PHASE (JULY – SEPTEMBER 2011)			
1 July	Appointment of consultants for CET for the inception phase	Special Service Agreements for consultants	UN-DESA
15 July	Appointment of consultants for QAP for the inception phase	Special Service Agreements for consultants	UN-DESA
1-19 July	Initial document review by CET (including review of country-led evaluation reports) and preparation of draft work-plan for the inception phase	Draft work-plan for the inception phase	CET
20-26 July	Briefing of the CET and review of the work-plan for the inception phase	Finalization work-plan for the inception phase	CET
End July	Review of the CET work-plan by QAP	Work-plan for the inception phase reviewed by QAP and approved by EMG Chair and Secretariat	QAP and EMG Chair and Secretariat
End August	Draft inception report (including full review of country-led evaluation reports) presented by CET	Draft inception report and FTOR for the implementation phase	CET
1-10 September	Review of inception report by EMG, QAP and Secretariat	Written comments by QAP and Secretariat	EMG, QAP and Secretariat
September	Creation of a public website on the independent evaluation	Public website	Secretariat with guidance from EMG
12-14 September	Combined EMG / CET / QAP and Secretariat meeting in Geneva	Decision-making by EMG	EMG, CET, QAP and Secretariat
End-September	Finalization of inception report and FTOR for implementation phase	FTOR and TOR for CET and QAP approved by EMG	EMG
IMPLEMENTATION PHASE (OCTOBER 2011 – MARCH 2012)			

October – January	Data collection and analysis as well as stakeholder consultations in pilot countries	Mission reports and summary of stakeholder consultations	CET with support from Evaluation Secretariat and overall guidance by EMG
October – January	Data collection and analysis as well as stakeholder consultations at headquarters (New York, Geneva, Rome, Vienna) and at regional levels (Bangkok, Johannesburg, Panama)	Mission reports	CET with support from Evaluation Secretariat and overall guidance by EMG
January – March	Drafting of the Main Evaluation Report by CET	Document with emerging findings and draft and final report of the implementation phase	CET with guidance from EMG and support from Evaluation Secretariat and overall guidance by EMG
February - March	Stakeholder consultation on factual evidence and analysis	Factual validation and comments by stakeholders	CET with support from EMG, QAP and Evaluation Secretariat
March	Review of draft Main Evaluation Report by EMG, QAP and Secretariat	Written comments by QAP and Secretariat	EMG, QAP and Secretariat
5-7 March	Combined EMG / CET / QAP and Secretariat meeting	Decision-making by EMG	EMG, CET, QAP and Secretariat
EMG REPORT-WRITING PHASE (APRIL – MAY 2012)			
April	Stakeholder consultation (pilot countries and UN organizations) on draft Main Evaluation Report	Written comments from stakeholders	Team coordinator with support from EMG and Evaluation Secretariat
May	Finalization of Main Evaluation Report by Team Coordinator	Draft Main Evaluation Report reviewed by EMG	Team coordinator with support from EMG and Evaluation Secretariat
June	Editing of Main Evaluation Report prepared by consultants to publication standards	Final version main report	Evaluation Secretariat with EMG guidance
May	Drafting of Summary Report to President of the General Assembly	Draft EMG report	EMG with Evaluation Secretariat support
4-6 June	Final EMG Meeting	Approval of EMG report and Main Evaluation Report	EMG with Evaluation Secretariat support
May - June	Finalization of Summary Report to President of General Assembly	Final EMG report	EMG with Evaluation Secretariat support

WRAP-UP PHASE (JUNE – SEPTEMBER 2012)			
June	Slotting of EMG report and publication of Main Evaluation Report	Reports slotted / published	Evaluation Secretariat
June - September	Support to Management Response by Secretary-General	Management response by Secretary-General	Executive Office of DSG with UNDG support
June - September	Preparation of technical and financial reports on the use of the CSA Trust Fund	Technical and financial reports	UN-DESA
September	End of the 66 th Session of the General Assembly	Final report presented to the President of the General Assembly available for QCPR debates	President of the General Assembly

Abbreviations:

CET	Core Evaluation Team
DSG	Deputy Secretary General
EMG	Evaluation Management Group
HQ	Headquarters
QAP	Quality Assurance Panel
QCPR	Quadrennial Comprehensive Policy Review of operational activities for development of the UN system
TBC	To be confirmed
UN-DESA	United Nations Department of Economic and Social Affairs

Annex IV: List of persons met

Albania

Government of Albania

Mr. Genc Pollo, Minister for Innovation, Information and Communication Technology
Ms. Valbona Kuko, Director, Department for Strategy and Donor Coordination
Mr. Enno Bozdo, Deputy Minister, Ministry of Economy and Trade
Mr. Kastriot Sulka, Deputy Minister, Ministry of Labour, Social Affairs and Equal Opportunities
Ms. Alpina Qirjazi, Foreign Aid Coordinator, Department for Strategy and Donor Coordination
Mr. Pellumb Piperero, Director of Policies, Ministry of Health
Mr. Romeo Zegali, Ministry of Health
Ms. Elteva Sheshi, Ministry of Labour, Social Affairs and Equal Opportunities
Ms. Ederina Kokomani, Ministry of Education and Science
Ms. Ledia Thomo, Institute of Statistics

Civil Society Organizations

Ms. Marsela Avxhiu, Roma Union, *Amaro Drom*
Ms. Hari Chon, Peace Corps
Ms. Olimbi Hoxhaj, People Living with HIV/AIDS
Ms. Anisa Hysesani, Albanian Youth Council
Ms. Argyrina Jubani, Albanian Youth Council
Ms. Florida Kalemi, Albanian Disability Rights Foundation
Ms. Eglantina Lula, National Center for Community Services
Ms. Albana Paloka, Roma Union, *Amaro Drom*
Ms. Danjela Shkalla, Better Care for Children
Mr. Sotirajq Throni, Institute for Democracy and Mediation

Development Partners

Mr. Luigi Brusa, Deputy Head of the European Union Delegation
Ms. Britta Olofsson, Head of Development Cooperation, Sweden
Mr. Florenc Qosja, Austrian Development Cooperation
Mr. Hans Teunissen, Deputy Head of Mission, the Netherlands
Ms. Astrid Wein, Head of the Austrian Technical Cooperation Office
Ms. Elisa Tsakiri, Chief of Mission, International Organization for Migration
Ms. Alma Jani, Resource Management Officer, International Organization for Migration

United Nations System

Ms. Zineb Touimi-Benjelloun, UN Resident Coordinator
Ms. Nynke Kuperus, Results-Based Management/Knowledge Management Specialist, UN Resident Coordinator's Office
Ms. Fioralba Shkodra, UN Coordination Specialist, UN Resident Coordinator's Office
Mr. Marco Davi, UN Non-Resident Agency Analyst, UN Resident Coordinator's Office
Ms. Sonila Konda, UN Coordination Associate, UN Resident Coordinator's Office

International Labour Organization (ILO)

Mr. Alfred Topi, National Coordinator

Joint United Nations Programme on HIV/AIDS

Ms. Bujana Hoti, UN Coordinator

United Nations Children's Fund (UNICEF)

Mr. Detlef Palm, Representative
Ms. Vera Gavrilova, Deputy Representative
Ms. Ermira Dulaj, Officer-in-Charge, Operations
Ms. Alketa Zazo, Programme Officer
Ms. Anila Miria, Communications Officer
Ms. Mirela Lika, Administrative/Finance Assistant

United Nations Development Programme (UNDP)

Mr. Norimasa Shimomura, Country Director
Ms. Alma Mustafaraj, Operations Manager
Ms. Entela Lako, Programme Analyst
Ms. Nora Kushti, Communications Manager
Ms. Yllka Parllaku, Communications Assistant
Ms. Emira Shkurti, Project Manager, UN Joint Programme on Gender Equality and Domestic Violence

United Nations Educational, Scientific and Cultural Organization (UNESCO)

Mr. Engelbert Ruoss, Director of the Office in Venice

United Nations High Commissioner for Refugees (UNHCR)

Mr. Hortenc Balla, Head of Office

United Nations Population Fund (UNFPA)

Ms. Manuela Bello, Assistant Representative
Ms. Flora Ismali, Programme Officer

UN-Women

Ms. Semia Solange Guermas de Tapia, Country Programme Manager
Ms. Estela Bulku, National Programme Coordinator
Ms. Fiorela Shalsi, National Programme Coordinator

World Health Organization (WHO)

Mr. Vasil Miho, Head of Country Office, acting interim
Ms. Gladiola Kashari, Administrative Assistant

Cape Verde

Government of Cape Verde

Mr. S. de Brito, Director, Directorate for Planning, Ministry of Foreign Affairs

Mr. Fernando Jorge Andrade, Directorate for Planning, Ministry of Foreign Affairs,

Ms. Myriam Viera, Directorate for Political Affairs and Cooperation, Ministry of Foreign Affairs

Mr. Emanuel Pereira, Directorate for Planning, Ministry of Finance

Ms. Jessica Sousa, Mayor of Praia

Mr. Cesário Varela, Mayor of Santa Cruz

Ms. Elisabete Lima, Ministry of Health

Ms. Margarida Cardoso, Ministry of Health

Mr. René Charles Sylva, National Institute of Statistics

Ms. Lisete Neves, Attorney General of the Republic

Ms. Talina Silva, Cape Verdean Institute for Gender Equality and Equity

Ms. Fernanda Marques, Commission for the Coordination and Fight against Drugs, Ministry of Justice

Mr. Carlos Manuel Barreto dos Santos, State Reform Coordination Unit

Ms. Arlinda Ramos Lopes Andrade, Cape Verde's National Association of Municipalities

Civil Society Organizations

Ms. Marilena Baesa, Cape Verdean Institute of the Child and Adolescent

Mr. Carlos Barros, Cape Verdean Foundation of Scholarly Social Action

Ms. Zelinda Cohen, National Commission of Human Rights and Citizenship

Mr. Iacopo Forte, Zé Moniz Association

Ms. Vanilde Furtado, Organization of Cape Verdean Women

Ms. Idalina Freire Gonçalves, Organization of Cape Verdean Women

Mr. Elisio Rodrigues, representing the Platform for Non-Governmental Organizations and CitiHabitat

Development Partners

Mr. Luca Bernasconi, Programme Manager, Spanish Agency for International Development Cooperation

Mr. João João, Ernst & Young

Mr. Carlos Kessel, Donor Representative, Brazil

Mr. Antonio F. J. Machado, Portugal

Mr. Li Yongxiang, China

Mr. Dario Muhamudo, National Liaison Officer, International Organization for Migration

United Nations System

Ms. Petra Lantz, UN Resident Coordinator, Resident Representative, Head of Joint Office of UNDP, UNICEF and UNFPA,

Mr. Jose Navarro, Coordination Specialist/Head of Coherence Unit, UN Resident Coordinator's Office

Joint Office Staff listed by Sub-Programme

Ms. Narjess Saidane, Deputy Resident Representative, Deputy Head of the UNDP, UNICEF and UNFPA Joint Office

Ms. Elisabete Mendes, Head of the Governance Unit of the Joint Office, Leader of Sub-Programme 3: Governance

Mr. Antonio Querido, Head of the Environment Unit of the Joint Office, Leader of Sub-Programme 5, Environment

Ms. Nelida Rodrigues, Head of the Human Capital Unit of the Joint Office, Leader of Sub-Programme 7: Youth

Ms. Yolanda Estrela, Leader of Sub-Programme 8: Health

Mr. Eduardo Cardoso, Leader of Sub-Programme 9: Child Protection

Mr. Luciano Fonseca, Leader of Sub-Programme 10: Food and Nutrition

Ms. Clara Barros, National Liaison Officer of UN-Women in Cape Verde and Gender Adviser to the UN country team

Food and Agriculture Organization (FAO)

Mr. Frans Van de Ven, Resident Representative

United Nations Educational, Scientific and Cultural Organization (UNESCO)

Ms. Celeste Benchimol, National Liaison Officer

UN-Habitat

Ms. Janice Silva, National Liaison Officer

United Nations Industrial Development Organization (UNIDO)

Mr. Rui Levy, National Liaison Officer

United Nations Office on Drugs and Crime (UNODC)

Ms. Cristina Andrade, National Liaison Officer

World Health Organization (WHO)

Mr. Andriamahefazafy Barrysson, Resident Representative

Other

Mr. Manuel Pinheiro, Evaluation Management Group Member of the Independent Evaluation of Delivering as One

Dakar, Senegal

Mr. Cyriaque Sobtafo, Head of Programme, United Nations Office for Project Services, Regional Office for West and Central Africa; Deputy Regional Representative at the UNODC Regional Office for West and Central Africa

Mr. Ydo Yao, Regional Adviser on Communication and Information, UNESCO Regional Bureau for Education

Mr. Jean-Philippe Rodde, Country Focal Point for Cape Verde Technical Cooperation Service, UNCTAD

Mozambique

Government of Mozambique

Mr. Enrique Banze, Vice Minister, Ministry of Foreign Affairs
Mr. Emidio Mavila, Director, National Institute of Employment and Vocational Training
Ms. Dulce Chilundo, Director, National Operational Center for Emergency, National Institute for Disaster Management, Ministry of Public Administration
Ms. Ana Loforte, Adviser, Ministry of Women and Social Action

Civil Society Organizations

Ms. Nilza Chiipe, Senior Adviser, G20
Ms. Nzira de Deus, Senior Adviser, Women's Forum
Ms. Terezinha da Silva, Coordinator, Women's League South Africa
Mr. Oswaldo Pettersburg, President, National Youth Council

United Nations System

Ms. Jennifer Topping, UN Resident Coordinator
Ms. Ainhoa Jaureguibeitia, Coordination Specialist, UN Resident Coordinator's Office
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Joint United Nations Programme on HIV/AIDS

Ms. Marta Bazima, Senior Evaluation Officer
Ms. Abigail David, Social Mobilization and Partnership Adviser

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United Nations Children's Fund (UNICEF)

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Ms. Elspeth Erikson, Planning Specialist
Mr. Carlos Javier Rodrigues, Planning, Monitoring and Evaluation Officer
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Ms. Mayke Huijbregts, Chief, Child Protection Unit
Ms. Sumaira Chowdhury, Child Protection Specialist
Ms. Monique Linder, Chief, Operations

United Nations Educational, Scientific and Cultural Organization (UNESCO)

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Ms. Lorraine Johnson, Joint Programme Coordinator

United Nations Industrial Development Organization (UNIDO)

Mr. Jaime Comiche, Head of Operations

United Nations Development Programme (UNDP)

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Mr. Gabeni Brainerd, Operations Specialist

Mr. Henrque Kuvsipalo, One UN Coordinator Operations

United Nations Population Fund (UNFPA)

Ms. Maimuna Ibraimo, Joint Programme Coordinator

Ms. Águeda Nhantumbo, Gender Programme Officer

World Food Programme (WFP)

Ms. Lola Castro, Representative

Ms. Silvia Caruso, Deputy Representative

Mr. Balthazar de Brouwer, Programme Officer

Mr. Muanza Kanda, Information and Communications Technology Manager

Ms. Vanusa Cosmo, Procurement Officer

World Health Organization (WHO)

Mr. Abdou Moha, Officer-in-Charge

Pakistan

Government of Pakistan

Mr. Abdul Wajid Rana, Secretary, Economic Affairs Division

Mr. Zafar Iqbal Qadir, Chairman, National Disaster Management Authority

Mr. Kamran Ali Qureshi, Additional Secretary, Ministry of Commerce

Mr. Tariq Mahmood, Deputy Education Adviser, Capital Administration and Development Division

Mr. Jawed Ali Khan, Director General, Environment and Climate Change, Ministry of Disaster Management

Mr. Shahrukh Nusrat, Director General, Planning and Development, National Vocational and Technical Training Commission

Mr. Pervaiz Junejo, Chief Commissioner at Afghan Refugees

Mr. Irfan Tariq, Director, Environment, Ministry of Disaster Management

Mr. Iftikhar Hussain Naqvi, Deputy Secretary, Economic Affairs Division

Mr. Zahid Siddiq, Deputy Secretary, Ministry of States and Frontier Regions

Mr. Qaiser Rashid, Deputy Secretary, Planning and Budgeting, School Education Department, Government of Punjab

Ms. Fatima Bajwa, Lecturer/Research Coordinator, Health Services Academy, Cabinet Division

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Ms. Shahryar Khan, Communication Officer, Ministry of Disaster Management
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Mr. Noor Taj Khan, Research Associate, Ministry of Finance
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Civil Society Organizations

Ms. Tahira Abdullah, independent human rights and civil society activist/consultant
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Mr. Liaquat Ansari, Secretary, Islamabad Women Chamber of Commerce and Industry
Mr. Babar Bashir, Managing Director, Rozan
Mr. Arshad Mahmood Mirza, Executive Director, Baidarie

Development Partners

Mr. Terje Thodesen, Counsellor-Development, Royal Norwegian Embassy
Ms. Rebecca Shaw, Counsellor Development Cooperation, Australian Government Overseas Aid Programme
Mr. Qaiser Munir Pasha, Senior Health Adviser, Australian Government Overseas Aid Programme
Mr. Johannes Smeets, First Secretary, Royal Dutch Embassy
Mr. Syed Saadat Ali, Senior Programme Officer, Royal Dutch Embassy
Mr. George Turkington, Head, United Kingdom Department for International Development Pakistan
Mr. Desmond Whyms, Senior Health Adviser, United Kingdom Department for International Development Pakistan

United Nations System

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Mr. Arjuna Parakrama, Strategic Planning Specialist, UN Resident Coordinator's Office
Mr. Zafar Hayat Malik, Senior Coordination Officer, UN Resident Coordinator's Office
Mr. Zarar Khan, Coordination Support Officer, UN Resident Coordinator's Office
Ms. Cyra Syed, Monitoring and Evaluation Coordination Officer, UN Resident Coordinator's Office

Food and Agriculture Organization (FAO)

Mr. Kevin Gallagher, Representative
Mr. Zabeeh Ahmad, Assistant Resident Representative
Mr. Waseem Farooq, Programme Officer

International Labour Organization (ILO)

Mr. Francesco d'Ovidio, Country Director
Ms. Margaret Reade Rounds, Programme Analyst

Joint United Nations Programme on HIV/AIDS

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United Nations Children's Fund (UNICEF)

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Mr. Toshihiro Tanaka, Country Director

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Ms. Irfan Salam, Finance Specialist

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Mr. Khalid Rashid, Human Resource Associate

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UN-Habitat

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United Nations High Commissioner for Refugees (UNHCR)

Mr. Neill Wright, Representative

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Mr. Saleh Sheikh, Senior Administration and Finance Officer

Mr. Tabassum Noorjamal, Field Officer, Refugee Affected and Hosted Areas

United Nations Industrial Development Organization (UNIDO)

Mr. Zawdu Felleke, Officer-in-Charge

Ms. Nadia Aftab, One UN Coordinator

Mr. Sardar AhsanYounus, Programme Development Expert

Mr. Mehran Gul, National Expert

United Nations Information Centre (UNIC)

Mr. Kazuo Tase, Acting Director

Ms. Ishrat Rizvi, National Information Officer

Ms. Ambreen Muzaffar, Administrative Assistant

United Nations Office for Project Services (UNOPS)

Mr. Daud Sharif, Project Manager, Officer-in-Charge

United Nations Office for the Coordination of Humanitarian Affairs (UN-OCHA)

Ms. Annette Hearn, Officer-in-Charge

Mr. Mukhtar Osman, Administrative Officer

United Nations Office on Drugs and Crime (UNODC)

Mr. Nadeem Rehman, Drugs and HIV Adviser, Officer-in-Charge

Mr. Erik Van der Veer, Programme Development Officer

Mr. Sher Ali, Research Officer

Mr. Shehryar Janjua, Monitoring and Evaluation Officer

United Nations Population Fund (UNFPA)

Mr. Rabi Royan, Representative

Mr. Yu Yu, Deputy Representative

Ms. Sadia A. Mehmoud, National Programme Officer

Mr. Muhammad Maqbool, Finance Associate

UN-Women

Ms. Alice Harding Shackelford, Country Programme Director

Mr. Saghir Bukhari, Senior Programme Coordinator

Ms. Shaheen Hussain, Programme Specialist

Mr. M. Anwar Qureshi, Operations Manager

Ms. Uzma Quresh, Programme Officer

World Food Programme (WFP)

Mr. Jean-Luc Siblot, Country Director

Mr. Dominique Frankefort, Deputy Country Director

Mr. Carl W. Nikolai Paulsson, Head of Programme

Mr. Tauseef Ahmad, Programme Officer

World Health Organization (WHO)

Mr. Guido Sabatinelli, Representative

Inter-Agency Support

Ms. Qudsia Siddiqui, Joint Programme Support Officer, UN Thematic Working Group on Environment

Mr. Nadeem Shaukat, Joint Programme Support Officer, UN Thematic Working Group on Agriculture, Rural Development and Poverty Reduction

Ms. Humaira Naseer, Joint Programme Support Officer, UN Thematic Working Group on Education

Ms. Saadia Younas, Joint Programme Support Officer, UN Thematic Working Group on Health and Population

Rwanda

Government of Rwanda

Ms. Kampeta Sayinzoga, Permanent Secretary and Secretary to Treasury, Ministry of Finance and Economic Planning; Co-Chair of Development Partners Coordination Group

Mr. Ronald Nkusi, Director, External Finance Unit, Ministry of Finance and Economic Planning

Ms. Ingrid Mutima, External Resources Mobilization Expert, Ministry of Finance and Economic Planning
Mr. Gerald Mugabe, External Resources Mobilization Expert, Ministry of Finance and Economic Planning
Mr. Mico Emmanuel, Director of Planning, Ministry of Education
Mr. Raphael Rurangwa, Director General of Planning, Ministry of Agriculture
Professor Shyaka Anastase, Chief Executive Officer, Rwanda Governance Board

Civil Society Organizations

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United Nations System

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Ms. Ingunn Klepsvik, Ambassador, Embassy of Norway
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Ms. Lorena Filardo, Administrative and Finance Associate

UN-Women

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Joint Programme Coordinators

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Ms. Virginia Pacheco, Joint Programme Coordinator, “Support for the decentralization processes and promotion of citizen participation as part of the reform of the State”.

Ms. Hugo de los Campos, Joint Programme Coordinator, “Support of the modernization processes of public management as part of the democratization of the State and the promotion of citizens’ rights”.

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Joint United Nations Programme on HIV/AIDS

Mr. Eamonn Murphy, Country Director; UN Resident Coordinator, acting interim (August-October 2011)

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UN-Women

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ANNEX V: DOCUMENTS CONSULTED

N.B. The following pages list publications, UN resolutions and documents consulted by the international evaluation team. While other documents, including internal correspondence, were reviewed, such documents are only listed, if they are in the public domain,

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²⁴ FAO, IFAD, ILO, IOM, ITC, UNAIDS, UNDP, UNEP, UNESCO, UNFPA, UN-Habitat, UNICEF, UNIDO, UNODC, UNV, UN Women and WHO.

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**ANNEX VI: QUESTIONNAIRE COVERING ISSUES
RELATED TO FUNDING AND BUSINESS PRACTICES**

INDEPENDENT EVALUATION OF LESSONS LEARNED FROM DELIVERING AS ONE

Questionnaire Covering Issues Related to Funding and Business Practices

The information requested by this questionnaire should be provided by the resident coordinator's office for the entire UN country team, and cover all of its activities in relation to the UNDAF and the new funding mechanisms introduced by the Delivering as One pilot process. Some of the information may require consultation with the members of the UN country team. In the event that the organizations of the team do not have jointly agreed definitions for some of the information requested, such differences should be indicated through footnotes, where appropriate.

The questionnaire consists of the following five sections:

- I. Funding of UN programme expenditures and new funding instruments**
- II. Statistical information on programme delivery**
- III. Coordination with other forms of external funding (e.g., aid provided by OECD/DAC, South-South cooperation, global funds, etc.)**
- IV. Business process harmonization and transaction costs**
- V. Statistical information on operational support to UN programme delivery**

Three sections ask for qualitative assessments (I, III and IV) and two sections request factual statistical information related to these qualitative assessments (II and V).

For questions that relate to the UN country team, an effort should be made to highlight differences in views between funds and programmes, specialized agencies and non-resident agencies if such differences exist, and in questions that relate to national authorities, differences in views between central coordinating authorities and line ministries should be highlighted if they exist and are relevant.

To the extent feasible, please provide copies of relevant official UN country team/resident coordinator's office reports or documents that would provide further background to the responses given.

Section I

Funding of UN Programme Expenditures and New Funding Instruments

1. To what extent do the common planning instruments (UNDAF, UNDP, One Plan) and the new funding instruments (e.g., One Budgetary Framework, One Fund, etc.) cover all development activities of the UN development system (i.e., also activities outside the UNDAF, UNDP, One Programme)? What activities were covered by the UNDAF, UNDP and One Programme, respectively, as well by the Budgetary Framework and One Fund? What activities have remained outside these mechanisms?

Common planning instruments being used in Delivering as One pilot countries	Funding of UN system development activities					
	Core funding	Non-core funding	One Fund	Expanded Funding Window	Direct project funding	Other
UNDAF						
One Programme						
One Plan						
UNDP						
UNDAF Action Plan						
One Budgetary Framework						
Country operational document						
Activities not covered by any of these instruments						
Joint programmes under this funding source are						
✓ Optional						
✓ Mandatory						
Please indicate in the corresponding boxes which common planning instruments your country team is using and which are the corresponding funding instruments. If several common instruments are in use, please indicate, in the appropriate funding column, which one is the "main" and comprehensive one, and which ones are the "subordinate" instruments that are part of the comprehensive instrument. If several funding instruments relate to the same planning instrument, please indicate accordingly, and vice versa. Please provide explanatory comments, as appropriate, in the appropriate boxes or through footnotes.						

2. How did the new funding instruments (i.e., One Fund and Expanded Funding Window) perform in terms of funding allocations and replenishment of funding?
 - a) Did the criteria for fund allocation perform as expected?
 - b) Was there need for adjustment of criteria, procedures and processes (what kinds of adjustments were made, and what were the causes for these needed adjustments)?
 - c) Have there been unforeseen dynamics, results or effects from the new funding instruments and related resource allocation mechanisms?

3. Please comment on any operational issues encountered in relation to the management of the One Fund and the Expanded Funding Window:
 - a) Were programmes under One Fund and Expanded Funding Window approved as planned?
 - b) Was funding received and allocated to participating agencies in time to implement as planned?
 - c) Were there delays or difficulties in implementing agreed workplans of programmes under the One Fund and Expanded Funding Window, and what caused them?
 - d) Have there been delays or difficulties in submitting progress and expenditure reports?

e) Have there been any other difficulties or issues regarding funding of operations?

4. When the new UNDAF was prepared (UNDAF = One Programme and non-One Programme), how much of the One Programme and the non-One Programme were funded from core and non-core resources, respectively, when the UNDAF was officially approved/presented, and how is the actual funding situation by end 2010?

Funding of	Total value of UNDAF in US\$	Funding at time of approval of UNDAF in US\$ and %		Funding end 2010 in US\$ and %		Additional expected pledges not yet received in US\$	Actual expenditure including commitments end 2010
		US\$	%	US\$	%		
Non-One Programme							
Core resources							
Non-core resources							
One Programme							
Core resources							
Non-core resources							
Total							

Section II

Statistical Information on Programme Delivery

This section is to provide factual statistical data to support the comments and assessments in Section I. For this purpose please use attachment 1 (Excel sheet).

A. ODA flows to pilot countries (excel attachment, row 1)

5. Please refer to attachment 1 Section A and provide information on the ODA flows to your country of assignment, using official government data.

B. Total annual UN programme expenditures in your country of assignment (excel attachment rows 3-5)

6. Please provide information on actual and officially reported UN programme expenditures provided to your country of assignment by the UN system, separately for development, humanitarian assistance and other (if other, it should be specified). This information should include expenditures by resident and non-resident agencies to the extent available.

C. Total annual UN expenditures for development in your country of assignment by programme and funding source (UNDAF) (excel attachment rows 6-23)

7. Please provide information on UN annual expenditures for development separated by core and non-core funding. The assumption in this presentation is that the UNDAF equals the sum of non-One Programme and One Programme activities.

(In case the presentation is different in your country of assignment, please contact UN-DESA on the most appropriate presentation and definitions to ensure consistency across the Delivering as One pilots.)

D. Total annual UN expenditures for development in your country of assignment by execution modality, of which (excel attachment rows 24-30)

8. Please indicate the total UN expenditures for development that have been executed through and not through joint programmes within and outside the Delivering as One modality.

(Please note that the total should be equal to the total UN expenditure reported under the previous question.)

E. Total annual UN expenditures for development in your country of assignment by degree of earmarking (excel attachment, rows 31-42)

9. Please provide information on to what extent core and non-core funding was earmarked by donors for specific projects or thematic focus both for One Programme and non-One Programme activities.

Section III

Coordination with Other Forms of External Funding (e.g., aid provided by OECD/DAC, South-South cooperation, global funds, etc.)

UN development assistance at country level often works through partnerships, directly or indirectly, or provides seed money to, acts as a catalyst for, provides support for or leverages other sources of funding, which may come from bilateral assistance, global funds, South-South cooperation and even the private sector. The UN development system cooperates with other development partners directly in projects, through parallel and coordinated action in regions, or by dealing with similar thematic issues. UN agencies cooperate with other development partners in coordination committees (e.g., sector-wide approaches to programming, but also on specific projects and programmes), etc.. The precise impact of UN development assistance on the mobilization of or thematic orientation of non-UN development resources may be difficult to assess.

10. In order to gauge the degree of such cooperation, coordination or partnership with other forms of external aid, please comment on those programmes under the One Programme and under the non-One Programme that have substantive linkages with activities of other funding sources of external aid to the country. Please comment on whether such cooperation, coordination or partnership tends to increase with activities funded by the One Fund.

Linkage of Current Activities under the One Fund with Other Sources of External Aid (status 2010)				
Programmes in UNDAF with linkages to other sources of external aid	OECD/DAC donors	Global fund activities	South-South cooperation	Other sources
List title and total value, lead agency and year of commencement	Please provide key partner and overall value of programme and role of UN development assistance (coordination, cooperation, parallel action, catalytic role, partnership, etc.)			

Section IV

Business Process Harmonization and Transaction Costs

A. Contribution of the new funding mechanism introduced within the framework of Delivering as One to streamlining and harmonization of business processes and reduction of transaction costs

11. Please identify and describe briefly the business processes/practices relating to programming, budgeting, funding and reporting concerned (including the date of introduction of change) that were abolished, streamlined or harmonized as a result of the new funding mechanisms (One Fund, Expanded Funding Window).
12. Which business processes/practices that prevailed prior to Delivering as One and that are still practiced are superfluous and redundant, and what impedes their abolishment?
13. Did all the workload and cost reductions that were envisaged as a result of the new funding mechanisms (please state the original expectations) materialize as envisaged, or did they increase or remain the same (please comment only for the period of full operation of these new funding mechanisms and not for the period when they were developed)?

B. Use of national systems by UN agencies within the framework of Delivering as One

14. What share of UNDAF-related expenditures is disbursed using national systems, and is there a difference between One Programme and Non-One Programme related expenditures?
 - a) Which agencies are using harmonized approaches to cash transfers, and are there deviations from the UNDG prescribed model?
 - b) How has your UN country team defined alignment with national systems, and have related negotiations been initiated or concluded?
 - c) Which agencies have their business practices aligned with or are using national systems and in what areas?

C. Approaches applied by the UN country team to reduce transaction cost for national partners, donors and the team itself

15. Has the UN country team discussed with national partners and donors approaches to reduce their transaction costs, and what has been the outcome of these discussions?
16. Which of the following approaches has the UN country team taken to assess transaction costs, based on the UNDG methodology,²⁵ and what are the results and findings?

²⁵ UNDG, 2010, "Definition, Identification and Measurement of In-country Transaction Costs in the Context of 'Delivering as One' Pilot Countries," October.

Type of approach chosen ²⁶	Yes	No	Please provide comments
Qualitative perception surveys			
Of national agencies			
Of donors			
Consolidated agency cost and delivery information			
Business process mapping (please provide list below)			
Definition and use of proxy performance indicators²⁷ (please provide list)			

17. Please list the business processes that have been mapped within the framework of Delivering as One in order to assess the likely net benefits (through reduced recurrent costs) through business harmonization and streamlining within the UN country team.

a) Please list the business processes that were mapped and expected major changes.

List all business processes mapped	Main UN country team agencies involved	Describe major changes planned or implemented: p=planned/i=implemented (year)	Indicate expected cost changes through business process changes for ++ (major increase), + (increase), 0 (no change), – (cost reduction), -- (major cost reduction)		
			Government	Donors	UN country team

b) Please list the business processes mapped and expected savings in terms of cost or workload.

Review of Business Process Mapping				
Business process mapped	Cost without change	Cost after change	Expected savings in US\$ or workload	Total expected savings per year for

²⁶ E.g., qualitative (e.g., perception surveys) methodologies (for external partners); consolidated agency cost and delivery information and reports (for UN agencies), for assessing overall trends and cost shifts among stakeholders, whereby inter-agency agreement needs to be reached on cost definitions and classifications to ensure consistency, coherence and compatibility of such reports; business process mapping techniques for assessing transaction costs for specific business processes to set baselines, to identify performance indicators and to assess benefits, based on the UNDG methodology; and definition and use of proxy performance indicators to monitor evolution of transaction cost of national partners, donors and the UN country team.

²⁷ E.g., the evolution of the annual share between programme and administrative costs; the evolution in the number of different report formats and reports (e.g., progress reports, financial reports, etc.) submitted to national authorities (and donors) in relation to overall programme volume for the entire UN country team; the evolution of human resources (e.g., person months) in government, donors (if possible) and UN country team dealing with overall coordination, monitoring and reporting functions in relation to overall value of the operational activities for development of the UN system in the country concerned (including administrative and other costs); etc.. Source: UNDG.

			from introduction of revised business process	UN country team programme expenditures

- c) Please list the proxy indicators that the UN country team has agreed to use for monitoring performance and comment on their evolution.

Proxy Performance Indicators Developed by the UN Country Team to Track Transaction Costs			
Name of indicator	Designed to track what type of transaction cost	Date of implementation	Findings and conclusions

- d) Please provide comments on constraints experienced in defining and tracking transaction costs.

Section V

Statistical Information on Operational Support to UN Programme Delivery

A. Composition of UN country teams (excel attachment, rows 1-4)

18. Please indicate for each year, which organizations/agencies were represented in your country of assignment through a country director/representative (resident organizations/agencies), or through a national officer or similar for non-resident agencies, and which were participating in the UNDAF or activities outside the UNDAF without a country representative or national officer (non-resident agencies).

B. Operational strengths of UN country team (excel attachment, rows 5-22)

19. Please provide for all organizations/agencies that are part of the UN country team the **number of posts established in support of the UNDAF/UNDAP** (One Programme and non-One Programme). Please include all posts that are funded from core/non-core and agency budgets or separate trust funds, and indicate, in case of a variety of funding sources, the nature of funding through footnotes for each year. Please distinguish between international and national professional positions as well as general service positions.²⁸

(Some organizations/agencies may include such operational support under programme costs. In this case they should be listed but identified through footnotes both in terms of number of posts as well as in terms of US\$ value. In case detailed information is not available, approximate estimates would be acceptable, provided they are indicated as estimates.

In case staff has been transferred on a temporary basis from an organization's/agency's project or other office (e.g., headquarters, regional office, etc.) a footnote should indicate this.

To the extent possible, this information should be provided separately for the resident coordinator's office, country offices of funds and programmes and of specialized agencies, as well as for non-resident agencies.

C. Total expenditures for operational support to UN programme activities (in \$) (excel attachment, rows 23-45)

20. Please provide for all organizations/agencies that are part of the UN country team the total expenditure in US\$ for **posts established in support of the UNDAF/UNDAP** (One Programme and non-One Programme).

(Please include in this figure the expenditures for all those posts that are funded from core/non-core and agency budgets or separate trust funds, and indicate, in case of a variety of funding sources, the nature of funding through footnotes for each year. Please distinguish between expenditures for international and national professional positions as well as

²⁸ In case posts were established only for fractions of a calendar year, please indicate the fraction (3 months, 3/12, etc.).

general service positions, and provide the \$ values (actual or estimates) or “other non-staff human resources”²⁹ and other “non-staff allocations”³⁰ (could be estimated or calculated as residual figures).

Some organizations/agencies may include such operational support under programme costs. In this case, the corresponding expenditures should be listed but identified through footnotes for the corresponding amounts in \$ (in case detailed information is not available, approximate estimates would be acceptable, provided they are indicated as estimates).

In case staff has been transferred on a temporary basis from an organization’s/agency’s project or other office (e.g., headquarters, regional office, etc.) a footnote should indicate this, corresponding to the information given in section B.

This information needs to be provided separately for the resident coordinator’s office, country offices of funds and programmes and of specialized agencies, as well as for non-resident agencies.

²⁹ Expenditures for consultants, Special (Personal) Service Agreements etc. that have been providing support but for whom no posts were established, and which therefore would not show up in the statistics on posts.

³⁰ Expenditures for petrol, communications, office materials, etc. can be estimated or calculated as residual.