

Terms of Reference

**Preparations for 2012 Quadrennial
comprehensive policy review of the General
Assembly**

Study on Results-Based Management

Office for ECOSOC Support and Coordination
Department for Economic and Social Affairs
United Nations

1. Context

The Quadrennial Comprehensive Policy Review (QCPR) of the General Assembly of operational activities for development is the mechanism through which the General Assembly establishes system-wide policy orientations for the development cooperation and country-level modalities of the UN system in response to the evolving international development cooperation environment.

The 2012 QCPR will assess the impact, effectiveness, efficiency, and coherence of UN operational activities for development. This will include (i) reviewing the implementation of policies established in GA resolutions 62/208 on the triennial comprehensive policy review and 64/289 on system-wide coherence and (ii) exploring in particular depth areas identified by ECOSOC resolution 2011/7, which provides guidance to the Secretary-General on analytical preparations for the 2012 QCPR.

The QCPR process also provides an important opportunity to Member States to engage in a dialogue on how to adapt UN operational activities for development to the changing global development cooperation context. The Secretary-General facilitates the QCPR process by providing Member States with impartial, balanced and forward-looking analysis on the implementation of GA and ECOSOC policies through several methods: firstly, survey of programme countries, country teams and civil society organizations on UN operational activities for development, secondly, a series of analytical studies on selected issues, thirdly, a desk review of key documents in all substantive areas, and, fourthly, country visits to programme countries. Analytical preparations for the 2012 QCPR particularly focus on policy issues felt to require special attention by Member States, in several areas.¹

2. Background

The analysis of progress in Results-Based Management is part of the key substantive activities and the consultative process planned as part of the analytical preparations for the 2012 Quadrennial Comprehensive Policy Review, and will lay the ground for future collaboration for all stakeholders in this domain.

¹ Those areas are analyzed through: a review of progress to ensure national ownership and leadership, including through the use of national systems; an assessment of the functioning of the resident coordinator system; funding, the critical mass of core resources and recovery of support costs; progress to improve results-based strategic planning and management; an analysis of how the characteristics, approaches and strategic and programming frameworks of United Nations system operational activities should evolve to respond to various country situations, based on the principles of national ownership and leadership, and to the evolving international development cooperation environment; a review of progress at the country level in improving coordination on mainstreaming gender equality and the empowerment of women; and (k) an assessment of the UNDAF.

This study responds to the request made by ECOSOC Resolution 2011/7, to the Secretary-General to undertake "a review of progress made by the United Nations development system to improve results-based strategic planning and management in order to improve accountability and transparency, and identification of measures to further improve its long-term delivery and results."² See Annexes 1,2 and 3 for further details on the mandate from the General Assembly and the Secretary-general's reports and resolutions.

In order to initiate this review, the UN Department for Economic and Social Affairs (UNDESA) convened an informal meeting in February 2012, with development entities of the UN system and leading experts, in order to start discussing progress in improving results-based strategic planning and management in UN funds, programmes and agencies. The following agencies participated to the meeting: UNDESA (Convenor), UNICEF, UNWOMEN, UNFPA, UNDP, WFP, DOCO), and three DESA consultants.

The purpose of this meeting was to take stock of progress in improving results-based strategic planning and management in UN funds, programmes and agencies since the adoption of GA resolution 62/208 on the TCPR. A DESA consultant had prepared a preliminary note to facilitate discussions in the meeting. It was planned that this note would subsequently be updated to reflect as accurately as possible the current state of affairs in this area. Participants were asked to bring to the meeting an up-to-date information on progress in this area in their respective entities, and to provide feedback on the note.

Participants in the meeting strongly encouraged DESA to expand the work already undertaken, in view of analyzing current RBM guidance and practice in Headquarters and in the field. It was felt that the 2007 TCPR did not accurately reflect the complexity of this issue, and the challenges ahead; and that the 2012 QCPR should go beyond the TCPR Resolution 62/208.

In addition, given the current Review of Strategic Planning in the UN system organizations being conducted by the Joint Inspection Unit (JIU), participants suggested that the study should focus on Results-Based Management in order to avoid duplicating efforts. The JIU study will also feed into the QCPR preparations.

3. Objectives

This study will analyze progress made in Results-Based Management, by the UN system and by different agencies, funds and programmes, at the global and levels, in the last four years since the 2007 Triennial Comprehensive Policy Review (TCPR) Resolution 62/208 was adopted.

² ECOSOC resolution 2011/7 (paragraph 14.h) mandates the SG to review and report on progress in this area, as follows: *Requests* the Secretary-General to pay particular attention, in the report for the 2012 quadrennial comprehensive policy review of operational activities for development of the United Nations system, to: A review of progress made by the United Nations development system to improve results-based strategic planning and management in order to improve accountability and transparency, and identification of measures to further improve its long-term delivery and results.

The study may focus in particular on four main areas where significant achievements seem to have been made: 1. UNDAF guidance, 2. RBM Handbook, 3. Common principles on results reporting, and 4. Field level use of RBM through the UNDAF, the Integrated Strategic Framework [CHECK IF RELEVANT FOR THE DEVELOPMENT COOPERATION AREA AND THE PURPOSE OF THIS STUDY] and other UN development cooperation mechanisms, such as Delivering as One.

4. Scope of analysis

The study should be guided by the following questions:

- ➔ Where has there been progress in the area of Results-Based Management, by the UN system and different agencies, funds and programmes, at global and field level in the last four years?
- ➔ What are the key challenges on RBM that should be the object of a particular attention by Member States, and should be discussed in the Secretary-General's Progress report on the TCPR?
- ➔ How can the QCPR encourage the United Nations to continue to move forward with results models that have the best potential to support programme countries and the UN system in reaching better results?
- ➔ How can issues of reporting on results be better addressed to respond to agencies and system-wide reporting needs, without imposing an overburden on UNCTs and agencies, while being adapted to different country contexts?
- ➔ How can Delivering as One lessons learned for a more coherent and coordinated United Nations be useful in the context of achieving effective development results, guided by a relevant RBM, monitoring and reporting system?
- ➔ What would be the key recommendations that should be pointed to in the Secretary-general's Progress report on the TCPR?

5. Users

The primary users of the study will be the General Assembly and ECOSOC, which have been mandated to establish, monitor and evaluate UN operational activities for development.

Another important user will be key UN system inter-agency mechanisms, such as the CEB and its three pillars: undg, hlcp and hlcmm.

Other important users will include UN Agencies, funds and programmes involved in operational activities for development, including at headquarters, regional and country levels.

This study will be discussed with key stakeholders, and will ultimately become an input to the Secretary General's progress report for the QCPR.

6. Methodology

The study will require a holistic and comprehensive collection and analysis of information from various sources, including:

First, a desk review of intergovernmental, interagency and agency-specific policies/guidance on RBM and country-level programming;

Second, a desk review of past UN and external studies/evaluations regarding RBM;

Third, an analysis of RBM against certain criteria in a sample of countries covering all country types by income (LDCs, MICs), fragility (normal development settings and countries in transition from relief to development, disaster prone countries), UN presence (large, middle or small UN presence) and reform status (delivering as one, self-starter or others); and

Fourth, some consultations with colleagues in DESA, UN entities and interagency bodies, and possibly some selected field staff with relevant expertise and experience, through interviews and a mission to New York.

In addition, the study will also particularly benefit from the analytical preparations for the QCPR especially: 1) the UNDAF study, based among others on (i) an analysis of findings of UNDAF evaluations and mid-term reviews, and (ii) the findings of the surveys of member states, RCs and UNCTs, as well as CSOs on the quality of support provided by the UN development system; 2) the findings of the desk review of QCPR-related topics; and 3) an analysis of new issues related to operational activities.

The findings and recommendations of the study will be peer reviewed by experts and selected UN entities, and discussed in Expert Group Meeting(s).

7. Key tasks

The study will entail the following tasks:

- Prepare a first framework/outline of the study;
- Consult with relevant DESA, notably various Development Cooperation Policy Branch focal points on QCPR and UN colleagues on the purpose and scope of the study, including relevant documents;
- Prepare an inventory of documents as part of the desk review (*see Annex 4 for a preliminary list*);
- Undertake an analytical review of these documents with a view to identifying key findings and recommendations that are felt relevant for the study;
- Conduct interviews with key stakeholders;
- Prepare a report with a description of the context, the current situation on RBM, and key findings and recommendations;

- Provide an Executive summary of the main findings and recommendations of the study, and a shorter text to be used in the Secretary-General's report on the QCPR.
- Submit a CD-ROM with all the documents reviewed, in electronic form to be used as a basis for knowledge management purposes.

8. Deliverables

The consultant will be expected to produce the following deliverables:

- A first framework / detailed outline of the study.
- A report with a description of the context, the current situation on RBM, and key findings and recommendations.
- A CD-ROM with all the documents reviewed, organized by folders.

Annexes

Annex 1:

TCPR resolution 62/208 mandates on RBM and the UNDAF

The TCPR Resolution (A/RES/62/208) stressed the importance of **RBM** in the following paragraph:

OP33. *Stresses* the importance for the United Nations development system to improve strategic planning, while noting that results-based management, accountability and transparency of the United Nations development system are an integral part of sound management;

The TCPR Resolution mandate on the **UNDAF** is stressed in the following paragraphs:

OP43. Encourages the funds, programmes and specialized agencies of the United Nations development system to intensify collaboration at the country and regional levels to achieve more effective use of their expertise, resources and actions towards strengthening national capacities, in accordance with national priorities and development plans, including through the common country assessment, when required, and the United Nations Development Assistance Framework;

OP86. Underscores that the ownership, leadership and full participation of national authorities in the preparation and development of all planning and programming documents of the United Nations development system, including the common country assessment and the United Nations Development Assistance Framework, are key to guaranteeing that they respond to the national development plans and strategies, and requests the United Nations development system to use the Framework and its results matrix, where applicable and with the agreement of the programme country, as the common programming tool for country-level contributions of the funds and programmes towards the achievement of the internationally agreed development goals, including the Millennium Development Goals, to be fully endorsed and countersigned by the national authorities;

OP87. Recalls the potential of the United Nations Development Assistance Framework and its results matrix as the collective, coherent and integrated programming and monitoring framework for the operations of the United Nations development system at the country level, bringing increased opportunities for joint initiatives, including joint programming, and urges the United Nations development system to fully utilize such opportunities in the interest of enhancing aid efficiency and aid effectiveness;

OP88. Emphasizes, in this regard, that planning and programming frameworks of operational activities for development of the United Nations system, including the United Nations Development Assistance Framework, need to be fully aligned with national development planning cycles, whenever possible, and that they should make use of and strengthen national capacities and mechanisms;

OP95. Encourages the use of advanced information and communications technologies, including knowledge management, that will facilitate the contribution of United Nations funds, programmes

and specialized agencies, including non-resident agencies, to the United Nations Development Assistance Framework and other planning frameworks and mechanisms, as well as overall information-sharing;

OP96. Underscores that the resident coordinator, supported by the United Nations country team, should report to national authorities on progress made against results agreed in the United Nations Development Assistance Framework;

OP99. Welcomes the efforts made by the United Nations development system in the use of the common country assessment and the United Nations Development Assistance Framework and the alignment of the Framework cycle with national planning processes and frameworks in an increasing number of countries, and notes the efforts made to improve coherence, coordination and harmonization in the United Nations development system, including at the country level;

OP123. Reiterates the need for the range and level of skills and expertise assembled by the United Nations system at the country level to be commensurate with that needed to deliver on the priorities specified in each country's United Nations Development Assistance Framework or country programme documents, in line with the national development strategies and plans, including poverty reduction strategy papers, where they exist, and to correspond to the technical backstopping and capacity-building needs and requirements of developing countries;

OP132. Recognizes the need to optimize the linking of evaluation to performance in the achievement of development goals, and encourages the United Nations development system to strengthen its evaluation activities, with particular focus on development results, including through the effective use of the results matrix of the United Nations Development Assistance Framework, the systematic use of monitoring and evaluation approaches at the system-wide level and the promotion of collaborative approaches to evaluation, including joint evaluations;

OP135. Recalls the need for country-level evaluations of the United Nations Development Assistance Framework at the end of the programming cycle, based on the results matrix of the Framework, with the full participation and leadership of the recipient Government;

OP136. Requests the United Nations development system to further develop guidance and oversight mechanisms for the funding, planning and implementation of the monitoring and evaluation of United Nations Development Assistance Frameworks, with a view to assessing their contribution to national development and the achievement of the internationally agreed development goals, including the Millennium Development Goals;

Annex 2: Secretary-General's observations and recommendations on RBM

The report of the Secretary-General on the 2004 TCPR (A/62/253) stressed the importance of RBM in the following paragraphs:

OP5. In the light of views and comments expressed by Member States during the operational activities segment of the 2007 substantive session of the Economic and Social Council, the General Assembly may wish to: (i) Results to be achieved through the implementation of the new resolution in a format that will allow for adequate monitoring and evaluation of these results according to the principles of results-based management;

OP11. The introduction of the multi-year funding frameworks and of results-based management by the major United Nations funds and programmes has allowed the organizations to refine managerial approaches, but it has not advanced sufficiently the desired goal of linking approved programme levels to committed funding for operational activities for development. Some specialized agencies have, with different degrees of success, used results-based budgeting approaches that present some features of the replenishment system of international financial institutions

OP15. The General Assembly may wish to: (a) Recognize the need for substantial and sustained increase of non-earmarked funding for operational activities for development of the United Nations system, including core resources and other non-earmarked voluntary contributions for funds and programmes, as well as assessed contributions for specialized agencies, thus supporting and responding to improvements in results-based management and efforts towards greater effectiveness, efficiency and coherence, as well as accountability and transparency of the United Nations development system; (c) Recognize the contribution of non-core/supplementary/ extrabudgetary resources to the increase of total resources for operational activities for development, and request the Economic and Social Council and governing bodies of specialized agencies and other entities to explore ways and means to increase the adequacy and long-term predictability of earmarked resources, e.g., through: (iii) Further strengthening of strategic planning and results-based management, as well as of accountability and transparency across the United Nations development system; (e) Request the Secretary-General to report to the Economic and Social Council on an annual basis on progress made and lessons learned with new budgetary framework models tested in the "Delivering as one United Nations" pilot countries and provide a comprehensive report to the General Assembly in 2010 on experiences with new integrated budgetary framework models and their benefits in terms of results-based management, budgeting and reporting;

OP27. The General Assembly may wish to: (c) Promote a United Nations systemwide common understanding of a results-based management framework with benchmarks and indicators for measuring progress in the application of gender mainstreaming strategies to achieve gender equality;

OP42. The General Assembly may wish to: (c) Emphasize that national analytical processes (or CCA when required) and the United Nations development assistance framework shall be the central assessment, planning and programming mechanisms of the United Nations development system and that other assessment and planning frameworks of United Nations organizations, should either be integrated in the national analysis/CCA or United Nations development assistance framework, or at least be clearly coordinated with national analysis/CCA and United Nations development assistance framework in view of keeping the United Nations development assistance framework and the overall United Nations

system contribution focused and results-based, avoiding overlaps and harmonizing contributions of different funds, programmes, specialized agencies and other entities of the United Nations system, based on their respective mandates and comparative advantages;

OP51. The General Assembly may wish to: (a) Encourage further rationalization of the country presence of the United Nations system, at the request and under the leadership of Governments of respective countries, including the further implementation of the joint office model, common premises and co-location of members of the United Nations country team, common shared support services and, when appropriate, a shared results-based planning, budgeting and reporting framework; Recommendations

OP59. The General Assembly may wish to: (d) contributing to training and skills-upgrading of United Nations staff in results-based management and monitoring and evaluation methodologies;

Annex 3: Secretary-General's observations on RBM

The Progress report of the Secretary-General on the 2004 TCPR (A/62/73–E/2007/52) stressed the importance of RBM in the following paragraphs:

OP26. One of the desired results of the use of the multi-year funding frameworks was that donor Member States would commit resources consistent with and for the entire time frame of a particular framework. Another was that Member States would be able to monitor the effective use of financial resources by comparing them with the results achieved through planned activities. By and large, frameworks have not significantly advanced the predictability of funding. Donors often use the frameworks as a reference for resource mobilization, but continue making shorter-term pledges. Frameworks have, however, proved to be important managerial tools for identifying strategic activities, introducing basic principles of results-based management and measuring results. While the timing of multi-year funding frameworks has been harmonized between the United Nations Development Programme (UNDP), the United Nations Population Fund (UNFPA) and the United Nations Children's Fund (UNICEF), there is room for further progress. Differences in nomenclature, format and terminology will be addressed in the new format of strategic plans. Frameworks have, however, proved to be important managerial tools for identifying strategic activities, introducing basic principles of results-based management and measuring results.

OP50. The United Nations development system has a direct role in capacity development at the country level, drawing from the collective mandates, expertise and experiences in the system. Its capacity development efforts include all the roles mentioned in the undg position statement: (a) facilitating capacity assessments; (b) strengthening national capacities to implement and monitor international norms/standards; (c) providing catalytic support for technological, knowledge acquisition and innovation capacities; (d) supporting capacity to develop and use information, data and robust results-based management systems for greater accountability; (e) facilitating consensus-building processes and brokering relations between key development stakeholders, to promote capacities for inclusion and empowerment in decision-making; (f) supporting the capacity to review and analyse pro-poor policy options; (g) facilitating the participation of societal and government actors in, and enhancing capacities for, national coordination of development and humanitarian assistance; and (h) providing international good practice in all of the above areas and promoting knowledge networking capacities around them.

Annex 4. Preliminary list of key documents

RBM

TCPR (mandate for the “Review on results-based strategic planning and management”)

- ➔ ECOSOC Resolution 2011/7.

TCPR (recent general mandate on, and context for RBM)

- ➔ Triennial Comprehensive Policy Review of operational activities for development of the United Nations system, A/RES/62/208, 14 March 2008.
- ➔ Triennial Comprehensive Policy Review of operational activities for development of the United Nations system, report of the Secretary-general, Conclusions and Recommendations, A/62/253, 13 August 2007.
- ➔ Triennial Comprehensive Policy Review of operational activities for development of the United Nations system, report of the Secretary-general, A/62/73–E/2007/52, 11 May 2007.

UNDG

- ➔ Common principles of Results Reporting, A UNDG-HLCM Joint Study, 15 July 2011.
- ➔ Results-based Management Handbook, Harmonizing RBM concept and approaches for improved development results at country level, United Nations Development Group (January 2011).
- ➔ How to Prepare an UNDAF Part (I), Guidelines for UN Country Teams, UNDG, January 2010; How to Prepare an UNDAF Part (II), Technical Guidance for UN Country Teams, UNDG, January 2010; and Guidance Note: Application of the Programming Principles to the UNDAF, UNDG, January 2010.
- ➔ Standard operational format & guidance for reporting progress on the UNDAF, January 2010, UNDG.
- ➔ Issues Note: Results Based Management in UNDAFs, Task Team 1 of Working Group of Programming Policy, October 2007.
- ➔ Results Based Management at country level: Systemic issues that prevent good UNDAF results information, A paper presented to the Working Group on Programming Policies, Alexander MacKenzie, Consultant, 2 September 2008.
- ➔ Mapping Exercise and Analysis of Agency Annual Report Requirements, final report, Dr Martin Grinstead, Consultant, UNDG, Development Operations Coordination Office, 23 June 2009.

- ➔ UNDG RBM Action Plan, Working Group on Programming Issues, Endorsed by UNDG meeting January 2009.
- ➔ Strengthening UNCT Capacity for Quality UNDAFs, Background Document for UNDG Meeting, 2 June, 2009

General Assembly

- ➔ Results-based budgeting, GA Resolution A/RES/55/231, 23 January 2001.
- ➔ Programme planning, GA Resolution A/RES/60/257, 15 June 2006.
- ➔ Report of the Committee for Programme and Coordination, Forty-fifth session (6 June-1 July 2005), General Assembly, Official Records, Sixtieth Session, Supplement No 16 (A/60/16).

JIU

- ➔ Review of strategic planning in the United Nations system organizations, Terms of Reference, 16 January 2012, Joint Inspection Unit.
- ➔ Review of strategic planning in the United Nations system organizations, Questionnaire, (January 2012), Joint Inspection Unit.
- ➔ Overview of the series of reports on managing for results in the United Nations system, Prepared by Even Fontaine Ortiz, Ion Gorita, Sumihiro Kuyama, Wolfgang Münch, Guangting Tang, Victor Vislykh, Joint Inspection Unit, JIU/REP/2004/5, Geneva, 2004.
- ➔ Implementation of results-based management in the united nations organizations, part I, series on managing for results in the United Nations system, Prepared by Even Fontaine Ortiz, Sumihiro Kuyama, Wolfgang Münch, Guangting Tang, Joint Inspection Unit, JIU/REP/2004/6, Geneva, 2004.
- ➔ Delegation of authority and accountability part II, series on managing for results in the United Nations system, Prepared by Even Fontaine Ortiz, Ion Gorita, Victor Vislykh, Joint Inspection Unit, JIU/REP/2004/7, Geneva, 2004.
- ➔ Managing performance and contracts, part III, series on managing for results in the United Nations system, Prepared by Even Fontaine Ortiz, Ion Gorita, Victor Vislykh, Joint Inspection Unit, JIU/REP/2004/, Geneva, 2004.
- ➔ Results-based management in the United Nations in the context of the reform process, Prepared by Even Fontaine Ortiz, Guangting Tang, Joint Inspection Unit, JIU/REP/2006/6, Geneva, 2006, United Nations.
- ➔ The results approach in the united nations: implementing the United Nations Millennium Declaration, Prepared by Doris Bertrand, Joint Inspection Unit, United Nations, Geneva, June 2002

Joint Executive Boards

- ➔ Making United Nations operational activity work for accelerated development: Quadrennial comprehensive policy review (Delivering as One, results reporting), Joint Meeting of the Executive Boards of UNDP/UNFPA/UNOPS, UNICEF, UN-Women and WFP, 30 and 31 January 2012, New York Background paper prepared jointly by UNDP (co-coordinator), UNFPA, UNOPS, UNICEF (co-coordinator), UN-Women.

Strategic planning

UNDP

- ➔ UNDP strategic plan, 2008-2011, Addendum 1, Development and institutional results frameworks, 22 May 2008, DP/2007/43/Add.1.

UNAIDS

- ➔ Planning for Results, UNAIDS Secretariat Workplanning, Monitoring and Reporting Guidelines, July 2011, For Secretariat use only.

Roadmap to an integrated budget for UNDP, UNFPA and UNICEF

UNDP

- ➔ Decision by the UNDP/UNFPA/UNOPS Executive Board in February 2011 (Decision 2011-10)

UNFPA

- ➔ Decision by the UNDP/UNFPA/UNOPS Executive Board in February 2011 (Decision 2011-10)

UNICEF

- ➔ Decision by the UNICEF Executive Board in February 2011 (Decision 2011-6)

IPSAS

- ➔ Adoption of IPSAS at UNDP, Informal Note to the Executive Board, 8 September 2011.