

**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

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.

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.

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

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

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.

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 on 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.

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

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.

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

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.

processes that led to the results. UNEG's evaluability assessments thus contain useful methodological information for any 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**

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>>

(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

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

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).

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/>

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

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. 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.
5: What were the most significant changes (at country, regional and global levels) to which DaO contributed,	CLEs, web sites, documents, country field missions, visits to UN HQ and regional offices.	Desk review, national consultation meetings; and national level follow up interviews and discussions.	Assessment of most significant changes perceived by stakeholders at each level, in comparison with those DaO

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?

Interviews and discussions at regional and HQ level.

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.

6: In what ways has the UN system (particularly Agency HQs) supported and/or constrained DaO implementation and results – or led to unintended consequences?

CLEs, web sites, documents, country field missions, visits to UN regional and HQ level offices.

Desk review, national consultation meetings; and national level follow up interviews and discussions. Interviews and discussions at regional and HQ level.

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.

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?

CLEs, web sites, documents, country field missions, visits to UN regional and HQ level offices.

Desk review, national consultation meetings; and national level follow up interviews and discussions. Interviews and discussions at regional and HQ level.

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 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:

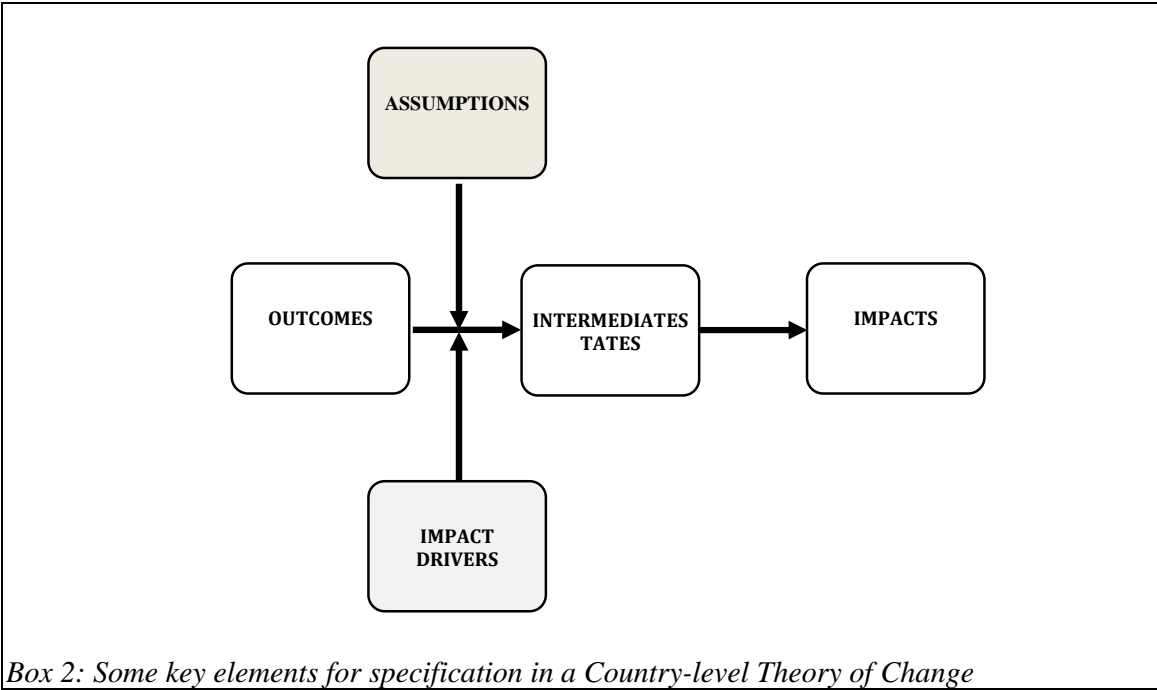
1. Country analysis template
2. Headquarters (and regional) analysis template
3. Financial analysis template.

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



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

²¹ See Box 1 and Box 2 below.

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

ELEMENT	DEFINITION
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 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 outcomes. Outputs are within the direct control of the intervention to deliver
Outcome	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

Number of pages max. 100 (without annexes)

Executive Summary [max. 10 pages]

- 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 [max. 5 pages]

- 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 [max. 5 pages]

- 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)[max. 26 pages]

- 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 [max. 4 pages]

- 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 [max. 18 pages, max. 2 pages per country]

- 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[max. 4 pages]

- *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[max. 44 pages]

4.1. Design of DaO [max. 8 pages]

- 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 [max. 18 pages]

- 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 [max. 18 pages]

- 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 [max. 5 pages]

- 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 [max. 5 pages]

- 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 (max. 2 pages)

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

Annexes [max. 40 pages]

- 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
<ul style="list-style-type: none">• Send conversation guide to informants	Secretariat
<ul style="list-style-type: none">• Schedule meetings	Secretariat
<ul style="list-style-type: none">• Logistics (hotel reservation)	RT

Preparation for visits to Agencies' HQs

Tasks	Responsibility
<ul style="list-style-type: none">• Request HQs to send key documents (as determined by UN Systems Consultant)	Secretariat
<ul style="list-style-type: none">• Desk review of documents received	CET
<ul style="list-style-type: none">• Prepare HQ Analysis Report (based on the template)	CET
<ul style="list-style-type: none">• Prepare an interview plan (who should be interviewed)	CET together with Secretariat
<ul style="list-style-type: none">• Schedule meetings, i.e. agenda, list of participants, dates for each location (NYC, Rome, Vienna, Geneva)	Secretariat
<ul style="list-style-type: none">• Prepare a conversation guide for HQ interviews	CET
<ul style="list-style-type: none">• 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	
Contents	
1. INTRODUCTION	3
2. HISTORY OF DELIVERING OF ONE AND THE TCPR PROCESS	4
3. PURPOSE AND OBJECTIVE OF THE INDEPENDENT EVALUATION	11
4. SCOPE OF THE EVALUATION	11
5. KEY EVALUATION QUESTIONS (and Sub-Questions).....	12
6. METHODOLOGY	16
7. MAIN ACTIVITIES AND IMPLEMENTATION	26
8. PERSONNEL AND RESOURCES	26
9. REPORTING AND DELIVERABLES	27
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Annex Four: Draft Work Plan	39

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	Endowed CSA trust fund	Executive Office of DSG with UN- DESA support

	from Funds, Programmes and Specialized Agencies of the UN system		
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 Assistant as from 18 April 2011 and 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	Internal website	Evaluation Secretariat with EMG support

	the DaO evaluation and uploading of key documents		
May	Consultancy announcements for CET and QAP, screening of applications and short-listing	Shortlist of candidates for CET and QAP	EMG Chair and 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 (TBC)	Appointment of consultants for CET for the inception phase	Special Service Agreements for consultants	UN-DESA
15 July (TBC)	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	Finalization work-plan for the	CET

	of the work-plan for the inception phase	inception phase	
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 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	Stakeholder consultation on factual evidence and analysis (workshop)	Factual validation and comments by stakeholders	CET with support from EMG, QAP and Evaluation Secretariat

March	Review of implementation 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 (venue to be determined)	Decision-making by EMG	EMG, CET, QAP and Secretariat
March	Stakeholder consultation (pilot countries and UN organizations) on draft report	Written comments from stakeholders	CET with support from EMG and Evaluation Secretariat
End March	Finalization of implementation report by CET	Implementation phase report by CET approved by EMG	CET with support from EMG and Evaluation Secretariat
EMG REPORT-WRITING PHASE (APRIL – MAY 2012)			
April - May	Editing of Evaluation Report prepared by CET to publication	Final version CET report	Evaluation Secretariat with EMG guidance

	standards		
April - May	Drafting of Summary Report to President of General Assembly	Draft EMG report	EMG with Evaluation Secretariat support
May	Final EMG Meeting	Review of EMG 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 CET 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
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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