

Guidance Note

Application of the Programming Principles to the UNDAF

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1.0 Background and Introduction

The UNDAF Guidelines¹ identify five programming principles: Human rights-based approach (HRBA), Gender equality, Environmental sustainability, Capacity development, and Results-based management (RBM). They constitute a starting point and guide for the analysis and for all stages of the United Nations Development Assistance Framework (UNDAF). This note offers a conceptual framework to visualize how the programming principles complement one another and a tool to support their application, with stakeholders,² during the main steps of the UNDAF process.³ The intent is not to create an overly rigid, standardized approach, but to show how the five principles can reinforce one another.

2.0 Why these five principles?

Agreement about the five programming principles emerged from inter-agency discussions in 2006 to revise the UNDAF Guidelines.⁴ It is widely agreed that all five are necessary for effective UN-supported country programming that must balance the pursuit of international norms and standards with the achievement of national development priorities.⁵ A principle gives a basis for reasoning and action.⁶ For the UNDAF, this means a principle is:

1. Universal, applying equally to all people in all countries;
2. Based in law, internationally agreed development goals and treaties, and national laws and commitments; and
3. Relevant to government-UN cooperation, everywhere and always.

This sets principles apart from priorities and goals, which are influenced heavily by contextual factors. For example, hunger may be a country priority, and something to which the UNDAF responds. Where hunger is a priority, the UNCT will use the principles with stakeholders to:

- Understand how the right to food and food security are addressed in national legal and policy frameworks;
- Analyze the underlying causes of hunger, such as regional, ethnic, and gender discrimination, and the depletion of natural resources; and
- Support a national response by assessing capacity development needs, and formulating UNDAF results that can be achieved and measured.

The principles bring value to country analysis, and they help to identify possible strategies and programme responses. Among the principles, it is important to distinguish between:

- **Three normative principles:** human rights and HRBA, gender equality, and environmental sustainability; and
- **Two enabling principles:** capacity development and results-based management.

¹ UN, How to Prepare an UNDAF: Part (I) Guidelines for UN Country Teams, UN, January 2010. See also: Part (II) Technical Guidance for UN Country Teams

² 'Stakeholders': Governments, including line ministries; social partners, including workers and employers organizations; other development partners relevant to a country context; civil society; and NGOs.

³ This note does not repeat information in the main guidelines about each principle. These are listed in Annex A, point 5.

⁴ These contained 11 guiding principles, seen as too cumbersome for use with stakeholders. Revised guidelines identify three key elements for country level performance, five inter-related principles that apply to UN-supported programming at all time and in all stages of the UNDAF process, and a group of cross-cutting thematic issues to best respond to country priorities.

⁵ This process is within the framework of system-wide coherence described in the UNDAF guidelines, parts 1-3.

⁶ The Oxford Dictionary defines a principle as "a fundamental truth or law as the basis for reasoning or action".

The three normative principles adhere to the criteria discussed above. The basis for the two enabling principles is mainly in the [Triennial Comprehensive Policy Reviews \(TCPR\)](#) of the UN system, the outcome of the [2005 World Summit](#), the [Paris Declaration and Accra Agenda for Action](#), and the 2008 [Doha Declaration](#) on Financing for Development, with their focus on national ownership and accountability. **The two enabling principles offer means to make the normative principles operational in the UNDAF.** They help to demonstrate effectiveness and accountability for the use of UN system resources. All five principles provide a lens, both individually and in combination, to UN engagement with and support to other national development planning processes and frameworks, such as poverty reduction strategies (PRS), sector-wide approaches (SWAPs), joint assistance strategies (JAS), and direct budget support (DBS).

3.0 Complementarities

The complementarities between the programming principles are:

1. **Methodologies** that follow three broad phases (assessment, analysis and action), and that can be linked to the steps in the UNDAF guidelines and place great emphasis on engagement with country stakeholders.
2. Each programming principle has **underlying principles**.⁷ Reflection on the shared ones strengthens the quality of the UNDAF process: (1) emphasis on *accountability*, particularly for the state; (2) focus on *public participation, inclusion and access to, and demands for, information*; and (3) relevance of equality and non-discrimination.
3. Each of the principles is **applicable to humanitarian emergencies and post-conflict settings**.
4. The principles offer frameworks and tools that help to make contributions to the **achievement of the MDGs**.⁸

5. Reinforcing normative principles for human rights, gender equality, and the environment

The three normative principles are reinforcing and offer ways to connect international norms and standards and agreed development goals to the development process (figure 1). Human rights, HRBA and gender equality share a basis in the norms and standards of [international human rights treaties and instruments](#),⁹ and other international agreements, such as the Millennium Declaration and the Beijing Platform for Action. Environmental sustainability offers a separate normative framework of Multilateral Environmental Agreements ([MEAs](#))¹⁰ in three broad clusters related to climate, biodiversity, and chemicals. There is widespread acceptance that the fulfillment of human rights and the achievement of gender equality require environmental sustainability, and vice versa.¹¹

⁷ Each programming principle has a set of fundamental underlying principles. These are described in detail in Annex A.

⁸ See: (1) [Mainstreaming Poverty-Environment Linkages into Development Planning: A handbook for practitioners](#), PEI (UNDP-UNEP), 2009. 10; (2) [HRBA Common Learning Package](#), Draft Resource Guide, Action 2, p.6; (3) [Pathway to Gender Equality – CEDAW, Beijing, and the MDGs](#), UNIFEM/ GTZ/ German MEDC (4) Contributing links between capacity development and RBM and MD/MDGs in [Triennial Comprehensive Policy Review](#), 14 Mar 2008 and [World Summit Outcome Document](#), 2005.

⁹ These include the human rights conventions and instruments of the specialized agencies.

¹⁰ MEAs are legally-binding international instruments through which national governments commit to achieving specific environmental goals. They define standards, procedures and other requirements for effective implementation. Influential MEAs include: The Convention on Biological Diversity (CBD); The UN Framework Convention on Climate Change (UNFCCC); UN Convention to Combat Desertification (UNCCD). [Manual on Compliance with and Enforcement of MEAs](#), UNEP, 2006.

¹¹ For example: The UDHR establishes the right to “a standard of living adequate for health and well-being.” The CESC and CCPR establish the right to the highest possible standard of physical and mental health through “the improvement of all aspects of environmental and industrial hygiene.” Articles in the CRC and ILO Convention 169 on indigenous and tribal peoples also address the dangers of environmental pollution. Gender inequalities and discrimination have deprived women of the necessary decision-making power to take the steps that would help achieve [environmental sustainability]. See: [Pathway to Gender Equality – CEDAW, Beijing, and the MDGs](#)

The major MEAs contain an article stemming from principle 10¹² of the Rio Declaration related to the political right to information and public participation, and the civil right of access to judicial and administrative proceedings, including redress and remedy. **Procedural rights** constitute a strong linkage between the three frameworks, and allow them to be used in a complementary manner.¹³ The Millennium Ecosystem Assessment makes clear that ecosystem services are essential for the constituents of human well-being and that the two are mediated by socio-economic factors.¹⁴ Human rights and gender equality norms and standards can guide this mediation process.

Areas where the three circles intersect, including the shared underlying principles, brings added focus to the quality of the development process and to important areas for UNDAF results, for example:

- **Access** to quality goods and services, and control of resources, particularly for vulnerable and excluded groups, including women and girls;
- Increased environmental and human rights **protection**, including the protection of women's human rights; and
- The **empowerment** of women, girls and marginalized and excluded groups in decision-making processes affecting their lives.

Human rights ↔ Environment

The sustainability of ecosystem services is a pre-requisite for the enjoyment of human rights. The human rights obligations of States should include the duty to ensure the environmental protection needed to enable the fulfillment of human rights, particularly the rights to food, safe water, sanitation, housing, and health.¹⁵ Human rights, like the access to information, participation in decision-making and access to justice in environmental matters, are essential to good environmental decision-making. The intersection of these concerns means that development processes must pay attention to the legal, policy, and institutional processes that determine the access to, and control of ecosystem resources, especially for vulnerable, excluded groups.

Human rights ↔ Gender equality

The 2005 World Summit reaffirmed that gender equality and the promotion of the full enjoyment of all human rights are essential to advance development and peace and security.¹⁶ Achievement of MDG3 to promote gender equality and empower women is essential for the achievement of the others. This depends on action to address the unequal social conditions and exclusionary practices that deny women and girls their human rights. The Convention for the Elimination of All Forms of Discrimination Against Women (CEDAW) focuses on eliminating discrimination so women can enjoy their human rights on a basis of equality with men. CEDAW recognizes that discrimination is deeply rooted in spheres of life such as culture, the family, and interpersonal relations. Without change at those levels, efforts to achieve gender equality will be frustrated. A gender analysis is an integral part of all planning and should influence country analysis and UNDAF results¹⁷. It will focus on the empowerment of women and girls and the fulfillment of their human rights.

¹² "Environmental issues are best handled with the participation of all concerned citizens, at the relevant level... States shall facilitate and encourage public awareness and participation by making information widely available." – Rio Declaration

¹³ For more discussion of these issues see: Dias, A., Human Rights, Environment and Development (part I), Human Development Report 2000, Background Paper, 2000. and Shelton, D., Human Rights and Environment Issues in Multilateral Treaties Adopted between 1991 and 2001, Joint UNEP-OHCHR Expert Seminar on Human Rights and the Environment, 2002.

¹⁴ Millennium Ecosystem Assessment, Ecosystems and Human Well-being: Synthesis, World Resources Institute, 2005. vi-viii.

¹⁵ See Human Rights Council resolution 10/4 Human rights and climate change, 25 March, 2009.

¹⁶ 2005 World Summit Outcome Document, adopted by General Assembly, A/RES/60/1 24 Oct. 2005.

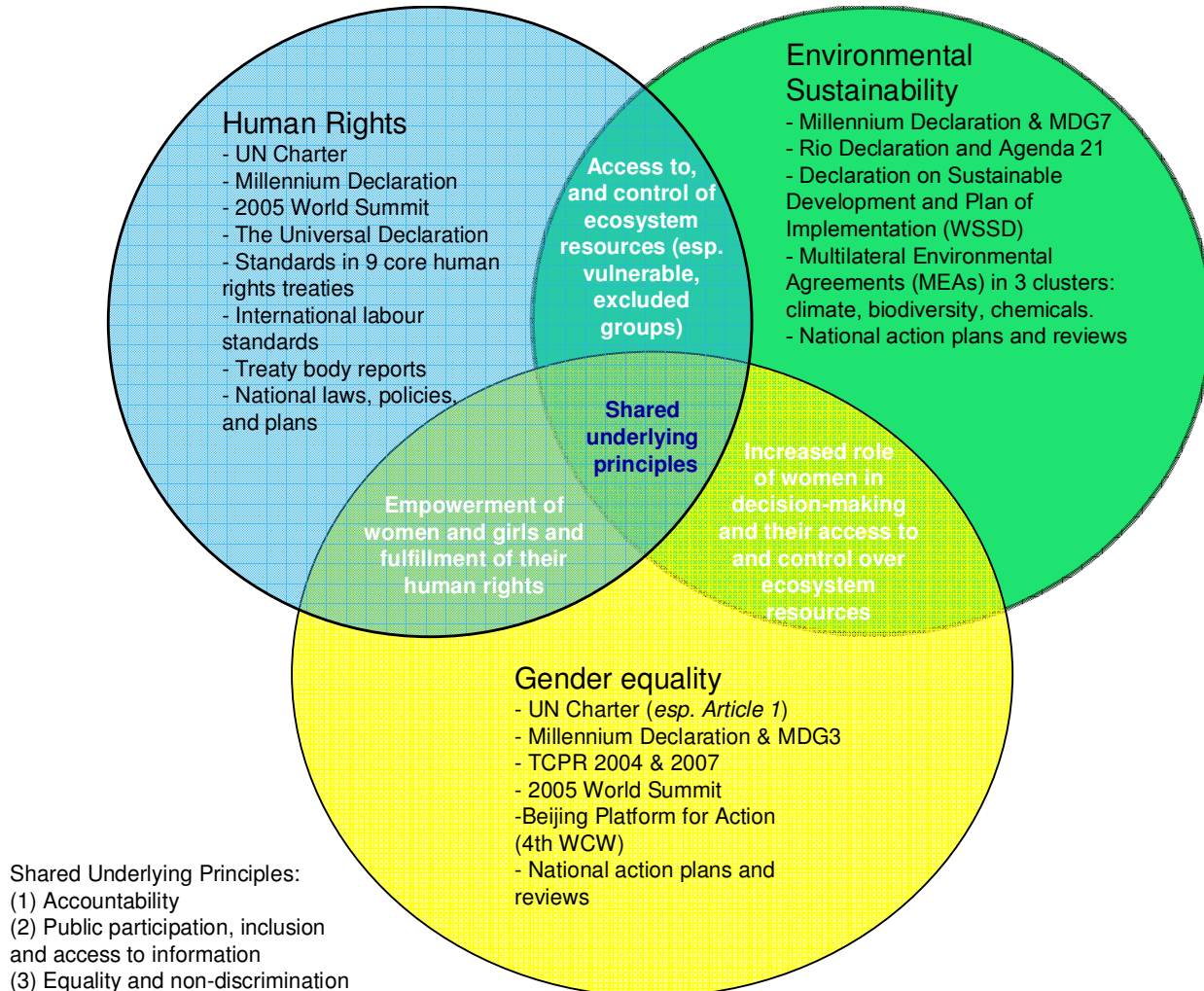
¹⁷ See the UNCT Performance Indicators for Gender Equality and Women's Empowerment , and Resource Guide for Gender Theme Groups

Gender equality ↔ Environment

The fulfilment of women's human rights, their economic development, and the resilience of their households is often determined by their access to or ownership of natural resources. Because of power disparities, women have less control over natural resources than men. The burden on women and girls for household food security, water and household fuel collection increases if drought, floods, erratic rainfall, and deforestation undermine the ecosystems on which they depend. Accountability for the protection of the environment and sustainable use of natural resources is a gender and human rights issue. Women must have the opportunity to play a role in decision-making about the management of natural resources in their countries and communities.¹⁸

Just as the principles are used to better understand and respond to national development priorities and challenges, **they can also help to shape those priorities**. Through engagement with stakeholders and advocacy, principles can also become priorities. For example, the UNCT should advocate for priorities in the national development framework that reflect the country's commitments to achieving gender equality.

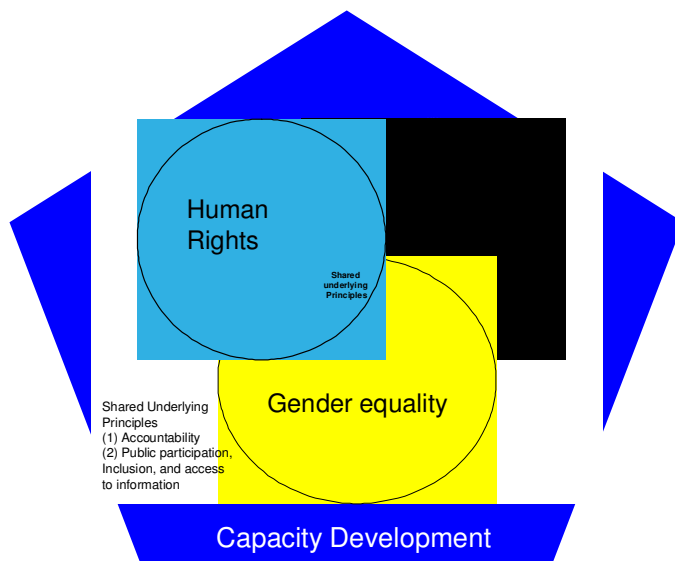
Figure 1: Three reinforcing normative principles



¹⁸ For more discussion see: UNIFEM, *Progress of the World's Women 2008/09, MDG7 and Gender – Multimedia Report*, viewed March 30, 2009, and *UNEP-GRID Arendal, Environment Times – No hope without gender equality*, viewed March 30, 2009.

6. Capacity assessment and development provide the “how”

Capacity assessment and development are means, not ends. UNCT-supported capacity assessment can help to elaborate on the capacity gaps of stakeholders that were highlighted by the three normative principles. It can also be applied, starting from the foundation of the normative



principles, to other national frameworks such as a PRS, JAS or SWAP. It is essential to understand the purpose of the capacity assessment and development (the “why”), as well as the capacity for what, and for whom? This enables focus on: Different points of entry (enabling environment; organizational level, individual level), core issues, and a range of functional and technical capacities. For example:

- The Ministry of Education (point of entry-organizational level);
- Public sector accountability (core issue);
- Capacity to formulate policies and strategies (functional capacity).

In combination with the three normative principles (above), capacity gaps identified during analysis and planning can be categorized according to the different points of entry and core issues in the capacity assessment methodology.¹⁹ Strategies and results help to close the distance between desired capacities and existing ones. This process will seek answers to the following key questions:

- What are the desired future capacities?
- What are the capacity targets?
- What are the current capacity levels?

7. Results-based management (RBM) makes it operational

RBM does not prescribe the substance of results, over which the other four principles will have greater influence. RBM helps to ensure accountability by offering a process and structure to formulate results and to manage for their achievement. It focuses time and resources on the achievement of UNDAF results, planned together with stakeholders, and on the basis of the country analysis. The application of RBM requires: engagement with stakeholders, joint formulation of SMART results to address capacity gaps, arranging resources to achieve the desired outcomes, and mechanisms and processes for regular monitoring and reporting about performance. Performance information, lessons, and good practices are used with stakeholders for decision-making about the overall strategic direction of the UNDAF; they should feed into national RBM systems, and they should be put to use in the next UNDAF process.²⁰ The shared underlying principles require:

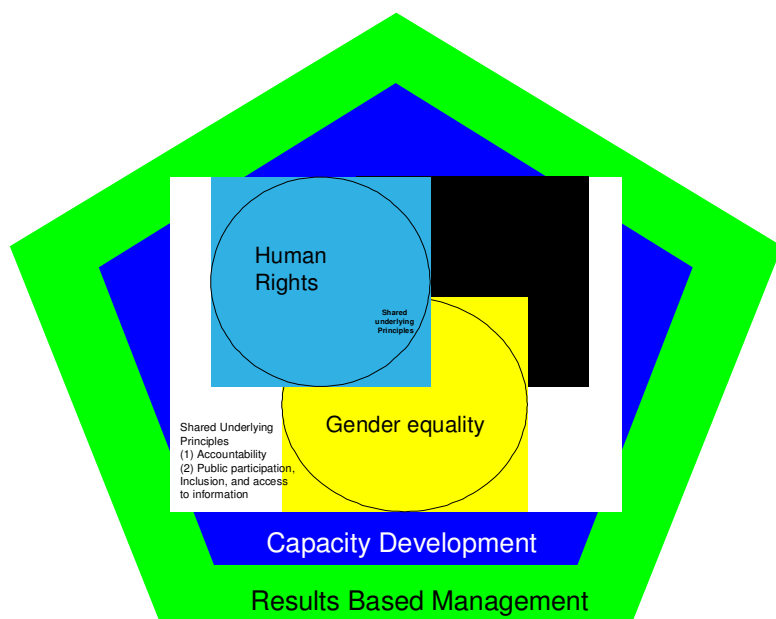
- Disaggregated and gender-sensitive indicators; and
- Process indicators to monitor accountability and participation.

¹⁹ UNDG, *UNDG Capacity Assessment Methodology – User Guide*, UNDG, 2008. 11.

²⁰ These elements are in line with the five principles of *Managing for Development Results* (MfDR)

While many UNCTs are succeeding at results-based planning, they are having more difficulty with the regular collection of UNDAF performance information and the use of that information for decision-making.²¹ The elements necessary for the full practice of RBM are:

- A single results framework, used as reference by all stakeholders;
- Coherent results reporting from inter-agency UNDAF groups;
- Greater engagement with stakeholders in monitoring and reporting, ensuring links to national development plans and indicators; and
- Use of results information by the UNCT and stakeholders to manage for UNDAF outcomes.



4.0 Thematic issues

Different thematic issues may be important to a particular country situation, and are relevant to each step in the UNDAF process. The following table provides a menu of thematic

issues for which there are Chief Executives Board (CEB)- or undg-approved guidelines. There are a range of possible entry points for use of the guidelines and for training at country level, for example:

- Preparations for UNDAF regional workshops, in-country road map workshops, or other consultations with stakeholders;
- Training or analytical exercises as part of the UNCT's support for country analysis;
- In support of the Strategic Planning Retreat (SPR) as a means to strengthen the formulation of UNDAF strategy and results; and
- During the UNDAF process to inform annual and mid-term reviews, and make changes to programme results and strategy.

Thematic Issues: Menu

Theme	Key Guidelines & Resources	Training Packages
Conflict Analysis	<p><u>Common Inter-agency framework for conflict analysis in transition situations</u>, undg, 2004.</p> <p><u>Joint Guidance Note on Integrated Recovery Planning using Post-Conflict Needs Assessments and Transitional Results Frameworks</u> (PCNA-TRF), DRAFT, undg, World Bank, 2007.</p> <p>Conflict Analysis and Prioritization Tool, undg, 2010 (<i>under development</i>).</p>	
Disaster Risk Reduction	<p><u>undg, Integrating Disaster Risk Reduction into Common Country Assessment and United Nations Development Assistance Framework</u>, undg, 2008.</p>	<p>Integrating Disaster Risk Reduction into CCA and UNDAF, undg, DRAFT Training package, 2008.</p>

²¹ Results-based Management at country level: Systemic issues that prevent good UNDAF results and the use of UNDAF results information, A report to the undg's Working Group on Programming Issues, September 2008.

Theme	Key Guidelines & Resources	Training Packages
Employment & Decent Work	<u>Tool Kit for Mainstreaming Employment and Decent Work – Country level application, ILO on behalf of CEB, 2008.</u> ²² <u>Improving the Impact of International Labour Standards through Technical Cooperation – A Practice Guide, ILO, 2008.</u>	
Food Crisis & Hunger	<u>The Comprehensive Framework for Action (CFA), UNDG, 2008.</u>	
HIV & AIDS	<u>Second Guidance Paper, Joint UN programmes and teams on AIDS, UNAIDS, 2008.</u> <u>Resource Guide for UN Theme Groups on AIDS, UNAIDS, 2008.</u>	<u>HIV & the Human Rights-Based Approach to Programming, DRAFT Training module, OHCHR-UNAIDS-UNDP-UNSSC, 2009.</u> <u>A Human Rights-Based Approach & Results-Based Management for HIV Programming, DRAFT Training workshop, OHCHR-UNAIDS-UNDP-UNSSC, 2009.</u>
Indigenous Peoples	<u>UNDG Guidelines on Indigenous Peoples' Issues, UNDG, 2008.</u> <u>UNDG Action Plan on Indigenous Peoples' Issues, UNDG, 2008.</u> <u>Resource Kit on Indigenous Peoples' Issues, UNDG, 2008.</u>	Indigenous Peoples and UN Country Programming, UNDG, DRAFT Training package, 2009.
Trade and Productive Capacity	<u>Trade Capacity Building: Inter-Agency Resource Guide, UN Chief Executives Board for Coordination, High-Level Committee on Programmes, 2008.</u> <u>Joint operational activities of the UN-CEB Cluster on Trade and Productive Capacity</u>	

Source: UNDAF Guidelines; Programming reference manual at www.undg.org

5.0 Application: Key questions during the UNDAF process

This section offers a tool to help apply the programming principles during each of the four main steps of the UNDAF process: (1) Roadmap; (2) Country analysis; (3) Strategic planning; (4) Monitoring & Evaluation. The tool does not call for new processes. It offers a series of key questions for reflection and action at each step, using the principles individually and in combination. Overall, the use of the table and key questions offer two key messages²³:

1. Apply the five programming principles and other thematic issues to better understand and respond to national development priorities;
2. The principles and other thematic issues can become priorities, through UNCT cooperation in the UNDAF process, and the engagement and buy-in of stakeholders.

²² This toolkit has been identified by the UNDAF guidelines as a tool for inter-linking the five programming principles.

²³ The basis for these messages: *The UNCT is required, both to support national priorities and to advocate for the inclusion of governments' international/global commitments to the MD/MDGs and internationally agreed development goals, and their obligations under international human rights, international norms and standards, and other instruments, into national priorities.* UN, *How to Prepare an UNDAF: Part I (1) Guidelines for UN Country Teams*, UNDG, Nov 2009. 2.

UNDAF Steps	Key questions and issues		
1. Road Map	Preparation of the roadmap, with the government coordinating body, should make use of and strengthen national processes related to the programming principles. Examples of national processes related to the programming principles: <ul style="list-style-type: none"> • Universal periodic review and treaty body reporting • Preparation or reviews of national action plans on women • Preparation or reviews of national environmental action plans and actions plans related to the ratified MEAs • National, sectoral, and thematic capacity assessments • National reviews related to managing for development results (MfDR) 		
	Shared underlying principles Accountability, and Participation, inclusion, and access to information → Have stakeholders ²⁴ and staff from non-resident and specialized agencies been consulted in the development of the road map? Equality and non-discrimination → Have all stakeholders been given the same opportunities to contribute to the road map development, and does the road map provide time and resources for engagement with marginalized, disadvantaged, and excluded groups?		
2. Country Analysis	In this step the programming principles are used to help strengthen country analytical capacities, processes and products, and to help identify priority development problems, as well as their causes.		
Review existing analysis	The UNCT will review existing analytical processes and products to see how well they address international norms and standards. The programming principles, individually <i>and</i> combined, offer a series of key questions that bring added depth and quality to this review.		
Key questions:	Human rights	Gender equality	Environmental sustainability
	How well does country analysis: 1. Consider the specific human rights standards related to the priorities and problems? 2. Incorporate state party and treaty body reports about national efforts to address the priorities and problems?	How well does country analysis: 1. Provide analysis of the ways in which gender inequality is reproduced? 2. Address national legal frameworks relevant for the promotion of gender equality and women's empowerment, and findings from CEDAW reports and CEDAW committee concluding observations?	How well does country analysis: 1. Identify key environmental issues in the country and how they contribute to major development problems, such as poverty and disease? 2. Address environmental targets with reference to national and international environmental obligations? (e.g., MDG7 and JPOI targets, MEAs)
	Human rights ↔ Environmental sustainability ²⁵	Human rights ↔ Gender equality	Gender equality ↔ Environmental sustainability
	→ How well does country analysis examine and connect environmental problems with human rights standards related to food, safe water, sanitation, housing, and health?	→ How well does country analysis identify and examine gender equality problems across different sectors and themes, and link these to specific human rights standards?	→ How well does country analysis examine and connect environmental problems (<i>esp. impacts on household food security, water and fuel collection</i>), with the role of women in decision-making, and their access to and control over ecosystem services?
	Capacity development How well does country analysis:		

²⁴ 'Stakeholders': Governments, including line ministries; social partners, including workers and employers organizations; other development partners relevant to a country context; civil society; and NGOs.

²⁵ These are illustrative questions for use of the principles in combination, showing how they can highlight important issues for the UNDAF.

UNDAF Steps	Key questions and issues		
	→ Identify the stakeholders engaged in capacity development initiatives in areas of common engagement? → Describe a capacity development framework, components, and areas of focus?		
	Results-based management → How well does country analysis support feedback and learning, by connecting the analysis to evidence about actual progress to-date and lessons-learned from national efforts to address the priority development problems?		
Make analytical contribution	The UNCT engages in country-led analytical work to improve the depth and quality of the analysis, and to help identify priority problems. The programming principles help to connect the analysis to the norms and standards from internationally agreed development goals and treaties ²⁶ . This is also an opportunity to engage with stakeholders and advocate for the principles to become priorities. The following questions are relevant to all of the options ²⁷ ; however, under options i and ii their use will be more opportunistic and flexible depending on country processes.		
Key questions:	Human rights	Gender equality	Environmental sustainability
	1. Who is more affected by the problem, and why? (immediate, underlying and root causes of a problem) 2. What are they entitled to? (Specific standards in ratified human rights instruments, and related national laws) 3. Who has to do something about it? (specific rights holders and duty bearers with the obligation to act) 4. What capacities do they need to take action? (Responsibility, awareness, motivation, commitment, and leadership; Authority, and access to and control of resources - human, economic, organizational)	1. Do women and men, girls and boys experience the problem differently? 2. What are the specific commitments related to this problem in international goals and treaty obligations and related national laws about the status of women and girls? 3. Are there gender-based power relations that influence the roles that women and men must play, and their obligations? 4. What are the critical capacity gaps for the promotion of gender equality, and how are they different for women and men?	1. What are the environmental causes of the problem and impacts of it? 2. What are the specific commitments related to this problem in: - National environmental laws? - National Strategies for Sustainable Development? - National Environmental Action Plans? - National Strategies and Action Plans for the implementation of MEAs? 3. Who are the responsible parties under relevant environmental laws and policies? 4. What capacities are needed to strengthen environmental management and protection?
	Human rights ↔ Environmental sustainability	Human rights ↔ Gender equality	Gender equality ↔ Environmental sustainability
	→ What are the environmental causes of major development problems and how do these affect the enjoyment of human rights, especially among vulnerable and excluded groups? → What are these groups entitled to? (<i>with reference to human rights standards and related international and national environmental commitments and frameworks</i>)	→ Do women and men, girls and boys, experience major development problems differently and how does this affect the enjoyment of their human rights? → What are these different groups entitled to? (<i>with reference to international goals, and norms and standards in ratified treaties and related national laws</i>)	→ What are the environmental causes of major development problems and are there gender-based power relations that influence the ways that they are experienced by women and men, girls and boys? → What are the specific gender equality and environmental commitments regarding the problem? (<i>with reference to international goals and treaty obligations and related national laws about</i>)

²⁶ These include the human rights conventions and instruments related to the specialized agencies.

²⁷ Options: (i) UNCT participation in government-led and harmonized donor analytical work and use of government analysis, including sectoral reviews and analyses; (ii) Complementary UN-supported analytical work, with a focus on gaps in the existing analysis; (iii) A full Common Country Assessment (CCA).

UNDAF Steps	Key questions and issues		
	→ What new capacities will help to increase these groups' access to and control of their ecosystem services, and to strengthen environmental management and protection?	→ What new capacities will the different groups need to take action, and to ensure that gender equality concerns are addressed?	<i>the status of women and girls, and related environmental frameworks and commitments)</i> → What new capacities are critical to enhance women's role in decision-making and promote gender equality in the access to and control of ecosystem services?
	<p>Capacity development Capacity assessment is a means, not an end. UNCT-supported capacity assessment can help to elaborate further on the capacity gaps highlighted by the three normative principles. They are also relevant to entry points and core issues related to other national frameworks such as a PRS, JAS or SWAP. In combination with analysis using the three normative principles (above), capacity gaps can be categorized according to the different points of entry and core issues. Capacity assessments help to further "un-pack" the capacity gaps and to operationalize a response with a capacity development strategy and expected results. The key generic questions are:</p> <p>→ What are the desired future capacities? → What are the capacity targets? → What are the current capacity levels?</p> <p style="text-align: right;"><i>(More detailed questions are available in the Capacity Assessment Methodology user guide and tool)</i></p> <p>Results-based management RBM enables the use of results information for learning and decision-making. To better understand a particular priority or problem, the UNCT's analytical contribution must be informed by information about past programme performance and lessons-learned. → What performance information from the current UNDAF is available and relevant to the priority or problem being analysed? → What lessons or good practices does it offer for the analysis?</p> <p><u>Shared underlying principles</u> Accountability → What are the critical gaps in the existing data and analysis, related to international standards and norms of the principles? Participation, inclusion, and access to information → Will the groups expected to participate in UNDAF implementation or benefit from UNDAF results be offered the chance to participate? → Is information accessible in a manner that marginalized and excluded groups can understand it? Equality and non-discrimination → Are data for analysis sufficiently disaggregated by sex, ethnicity, age, region, and wealth? → Have systematic patterns of discrimination and inequality been identified, and which groups are more severely affected?</p>		
3. Strategic Planning	The priorities and expected outcomes of UNCT cooperation must reflect the five inter-related programming principles and other thematic issues. Continuity in the application of the programming principles is important. The UNCT's analytical contribution, enhanced by the application of the principles, must be connected to national development planning processes, the selection of priorities for the UNDAF, and to the formulation of UNDAF results.		
Key questions:	Human rights	Gender equality	Environmental sustainability
	1. Do the outcomes reflect institutional and/or behavioural changes? (i.e. a change in the	1. How well do outcomes articulate how gender equality and women's empowerment will be	1. Do the UNDAF results adequately address the environmental causes of major development

UNDAF Steps	Key questions and issues		
	<p>performance of rights-holders to exercise and claim their rights, and of duty-bearers to respect, protect and fulfill these rights)</p> <p>2. Do outputs describe new skills and abilities, products or services that address the capacity gaps of rights holders and duty bearers?</p> <p>3. Do indicators reflect the (i) explicit standards and benchmarks against which to measure performance, (ii) the capacities of specific actors or institutions responsible for performance, (iii) the capacities of rights-holders?</p>	<p>promoted?</p> <p>2. How well do outputs describe tangible changes for rights-holders and duty-bearers which will lead to improvements in progress towards gender equality and women's empowerment?</p> <p>3. How gender-sensitive are indicators and do they adequately track progress towards gender equality results?</p>	<p>problems and the linkages between the environment and human rights, poverty, democracy, gender, conflicts and vulnerability?</p> <p>2. Do they take into account the partner country's commitment to and actual implementation of the Multilateral Environmental Agreements (MEAs), as well as national environmental laws and policies?</p> <p>3. Are the strategies and planned results environmentally sound? (i.e., Will they use resources beyond their carrying capacity?)</p>
	Human rights ↔ Environmental sustainability	Human rights ↔ Gender equality	Gender equality ↔ Environmental sustainability
	<p>→ How well do the UNDAF results address the environmental causes of major development problems?</p> <p>→ Do the UNDAF outcomes describe changes in the ways that governments fulfill their obligations to people and the ecosystems upon which they depend and/or the ways that people, particularly vulnerable and excluded groups, act to control and manage their ecosystem services?</p>	<p>→ How well do the UNDAF results address linked gender equality and human rights causes of the problem?</p> <p>→ Do the UNDAF outcomes describe changes in the ways that governments fulfill their obligations to address gender equality standards and commitments and/or the ways that people, particularly women and girls, are empowered to act?</p>	<p>→ How well do UNDAF results address gender differences in natural resources management? (e.g., Will planned results negatively affect household food security, water and household fuel collection?)</p> <p>→ Do the UNDAF results describe how gender equality and women's empowerment will be promoted to strengthen environmental management and protection?</p>
	<p>Capacity development</p> <p>During strategic planning, capacity assessments are used to develop capacity development strategies, define outcomes and indicators, and estimate their costs.</p> <p>1. How well do capacity development strategies, outcomes, and outputs reflect the capacity assessment findings?</p> <p>2. How well do indicators, baselines, and targets in the UNDAF results matrix allow for measuring progress in capacity development?</p> <p>3. Are there cost estimates for implementing the capacity development strategies and capacity development initiatives?</p>		
	<p>Results-based management</p> <p>During strategic planning, the use of RBM requires engagement with partners, the formulation of SMART results, and mechanisms and processes to ensure regular monitoring and reporting on UNDAF performance.</p> <p>1. Do the UNDAF results make a plausible contribution to national development priorities, goals and indicators?</p> <p>2. Are indicators, baselines, and performance targets sufficient for assessing progress during implementation?</p> <p>3. Are there functioning inter-agency mechanisms and processes for regular monitoring and reporting about UNDAF performance?</p> <p>4. How realistic are the indicative resources for the achievement of UNDAF results?</p> <p>5. How well did the process of priority setting and outcome formulation encourage greater engagement with stakeholders and a willingness to work together to manage for UNDAF results?</p>		
	<u>Shared Underlying principles</u>		

UNDAF Steps	Key questions and issues		
	<p>Accountability → Are there process indicators to monitor accountability, especially involving independent partner review mechanisms, provision of public information, and support to civic education?</p> <p>Participation, inclusion, and access to information → How well do UNDAF implementation processes and mechanisms enable marginalized, disadvantaged, and excluded groups to have access to information and to participate in a meaningful way?</p> <p>Equality and non-discrimination → Are indicators disaggregated, to the extent possible, by race, colour, sex, language, religion, nation, ethnic, or social origin, property and disability and other status such as woman or child head of household, or displaced? → How gender-sensitive are indicators? → How well do planned UNDAF results address the situation of marginalized, disadvantaged, and excluded groups?</p>		
4. Monitoring & Evaluation	Monitoring and reporting about the achievement of results is essential. Application of the programming principles helps to monitor the quality of the development process. The UNDAF evaluation is an opportunity to assess how well the programming principles were applied during the stages of the UNDAF.		
Monitoring: Key questions:	Human rights	Gender equality	Environmental sustainability
	1. Do monitoring mechanisms and processes reflect on the relevant human rights standards, identified during analysis and strategic planning?	1. Are data for gender equality and gender-sensitive results being collected and reported as planned?	1. Have there been any environmental changes in the programme environment that may enhance or impede the achievement of UNDAF results?
	2. How well do UNDAF implementation processes and mechanisms enable marginalized and excluded groups to have access to information and to participate in a meaningful way?	2. Are gender-related results and gaps in implementation being addressed in the UNDAF annual review and RC Annual Report?	2. Are there any negative environmental impacts from UNDAF implementation, particularly those that increase the vulnerability of poor households?
	Human rights ↔ Environmental sustainability → Have there been any environmental changes in the programme environment that will enhance or impede the achievement of UNDAF results, and how do these relate to the relevant human rights and environmental standards, identified during analysis and strategic planning?	Human rights ↔ Gender equality → How well do UNDAF monitoring mechanisms and processes enable the collection of gender equality and gender-sensitive results information, well as relevant human rights standards?	Gender equality ↔ Environmental sustainability → Have there been any changes in the wider programme environment that impede the collection and reporting of gender equality and gender-sensitive environmental results? → Are there any negative environmental impacts that increase the vulnerability of women and girls?
	<p>Capacity development: Are data for capacity development results being collected and reported as planned?</p> <p>Results-based management: 1. How well are UNDAF monitoring mechanisms and processes working, and are they simple and user-friendly? 2. How well is UNDAF performance information being used by the UNCT and stakeholders for decision-making about the UNDAF (results, strategy, resources) and being fed into relevant national results-based management systems? 3. How well are performance information, lessons and good practices being collected for use in the next UNDAF process?</p>		
Evaluation:	Human rights	Gender equality	Environmental sustainability

UNDAF Steps	Key questions and issues		
Key questions	<p>1. How well are the duty-bearers targeted by the UNDAF fulfilling their obligations to respect, protect and fulfill related human rights?</p> <p>2. How well are the rights-holders targeted by the UNDAF claiming and exercising these rights?</p>	<p>1. How well did the UNDAF strengthen national capacities to address gender equality problems and strengthen gender mainstreaming in national and sectoral programmes?</p> <p>2. Are there plausible contributions from UNDAF results for achieving gender equality goals and targets/ MDG3, as well as other MDGs?</p>	<p>1. How well did the UNDAF strengthen national capacities to address environmental challenges?</p> <p>2. How well were environmental opportunities and constraints integrated in UNDAF results & strategy?</p> <p>3. Are there plausible contributions from UNDAF results for achieving national environmental sustainability goals and targets/ MDG7, as well as other MDGs?</p>
	Human rights ↔ Environmental sustainability	Human rights ↔ Gender equality	Gender equality ↔ Environmental sustainability
	→ How well did the UNDAF strengthen national capacities to address major environmental challenges and to comply with their obligations to related human rights and environmental standards?	→ How well did the UNDAF strengthen national capacities to address gender equality problems and to comply with their obligations to related human rights standards?	→ How well did the UNDAF strengthen national capacities to enhance women's role in decision-making about environmental management and protection, and promote gender equality in the access to and control of ecosystem services?
	Capacity development How effective were capacity development strategies and results, and did they make <u>a plausible contribution</u> to UNDAF outcomes?		
	Results-based management How effectively did the practice of RBM by the UNCT and stakeholders during the steps of the UNDAF contribute to the application of <u>Managing for Development Results</u> (MfDR)?		
	<p><u>Shared Underlying principles</u></p> <p>Accountability: → Are process indicators to monitor accountability being collected and reviewed regularly?</p> <p>Participation, inclusion, and access to information → How well do UNDAF monitoring and evaluation processes and mechanisms enable marginalized, disadvantaged, and excluded groups to have access to information and to participate in a meaningful way?</p> <p>Equality and non-discrimination → Are data for indicators, especially gender-sensitive indicators, being collected and reviewed regularly? → How well do UNDAF monitoring and evaluations processes and mechanisms enable marginalized, disadvantaged, and excluded groups to contribute information and participate in a meaningful way?</p>		

Annex A: Characteristics of the five programming principles

Elements	HRBA	Gender equality	Environmental sustainability	Capacity development	Results-based management
1. Purpose 	<p>Further the realization of human rights and ensure that human rights standards and principles guide all development cooperation and programming in all sectors and in all phases of the programming process. It focuses on the development of the capacities of ‘duty-bearers’ to meet their obligations and/or of ‘rights-holders’ to claim their rights.</p>	<p>Ensure that priorities in the national development framework reflect the country’s commitments to achieving gender equality, and that UNDAF results contribute to these gender equality goals.</p> <p>Achieving gender equality and eliminating all forms of discrimination are at the heart of the HRBA.</p>	<p>Understand the linkages between environment and development; Use this knowledge to influence the national development framework and UNDAF priorities; Anticipate environmental opportunities and constraints as early as possible in UN-supported programmes and projects; and Support stakeholders to track progress towards their national environmental goals, MDG7 targets, and the goals and targets of ratified MEAs.</p>	<p>Support national counterparts to develop their capacities to lead, manage, achieve and account for their national development priorities. This is especially so for those related to the MDGs and internationally agreed development goals, as well as human rights obligations in ratified UN conventions and treaties.</p>	<p>Ensure that development processes, products and services contribute to the achievement of desired results (outputs, outcomes and impacts). RBM is a management strategy that rests on clearly defined accountability for results, and requires monitoring and self-assessment of progress towards results, and reporting on performance.</p>
2. Normative basis and underlying principles <p>Note: This is not meant to be an exhaustive list. It attempts to highlight the more influential agreements and documents.</p>	<p>The UN Charter (<i>esp. Preamble & Article 1</i>) Millennium Declaration 2005 World Summit</p> <p>The Universal Declaration of Human Rights, the core international human rights treaties, and other international labour standards²⁸</p> <p>HRBA emphasises six human rights principles: Universality and inalienability; Indivisibility; Inter-dependence and inter-relatedness; Non-discrimination and equality; Participation and inclusion; Accountability and the rule of law.</p>	<p>The UN Charter (<i>esp. Article 1</i>) Millennium Declaration TCPR 2004 & 2007 2005 World Summit Beijing Platform for Action (4th World Conference on Women) and related national action plans and reviews</p> <p>Women’s human rights in CEDAW and other international human rights treaties and instruments. Gender equality has the status of a human right.</p> <p>Principles as HRBA, and including special temporary measures²⁹ (eg. Affirmative Action)</p>	<p>Millennium Declaration & MDG7 Rio Declaration and Agenda 21 Declaration on Sustainable Development and Plan of Implementation, World Summit on Sustainable Development 2005 World Summit</p> <p>700+ Multilateral Environmental Agreements (MEAs)³⁰ in three broad clusters: climate, biodiversity, chemicals.</p> <p>Emphasis on six principles to support UN country programming: Integration and Interdependence; Transparency, Public Participation and Access to Information and Remedies; Precaution; Polluter-Pays; Responsibility for trans-boundary Harm; Subsidiarity & Decentralization.</p>	<p>TCPR 2007: Capacity development and ownership of national development strategies essential for achievement of internationally agreed development goals; Focus on UN contribution to national capacity development and development effectiveness</p> <p>2005 World Summit Paris Declaration Doha Declaration Key principles of national ownership and leadership</p> <p>Core Issues: Public sector accountability; Access to information, knowledge and technology; Inclusion, participation, equity and empowerment; External/International relations.</p>	<p>TCPR 2007: Reform efforts should enhance organizational efficiency and achieve concrete results; RBM accountability and transparency are integral to sound management of the UN development system; UN requested to “create and report on a specific, measurable, achievable and time-bound results framework to measure capacity-building initiatives”</p> <p>2005 World Summit Paris Declaration Doha Declaration</p> <p>RBM aligned with the five principles of Managing for Development Results (MfDR)</p>

²⁸ The core are: ICCPR, ICESCR, CERD, CAT, CEDAW, CRC, CMW, CRPD, and ICPPED (not yet in force). Also included are the human rights conventions and instruments of the specialized agencies.

²⁹ CEDAW General Recommendation No. 5 (seventh session, 1988) Recommends that States Parties make more use of temporary special measures such as positive action, preferential treatment or quota systems to advance women's integration into education, the economy, politics and employment.

³⁰ Some of the most influential are: The Convention on Biological Diversity (CBD); The UN Framework Convention on Climate Change (UNFCCC); UN Convention to Combat Desertification (UNCCD); The Rotterdam Convention on Prior Informed Consent to trade in hazardous materials (PIC).

Elements	HRBA	Gender equality	Environmental sustainability	Capacity development	Results-based management
3. Methodology	<p>1. Information gathering about development problems from state party and treaty body reports.</p> <p>2. Assessment to shortlist major development problems for analysis. Problems must be communicated as inter-related and unfulfilled human rights.</p> <p>3. Causality analysis, to understand the root causes of non-fulfillment of human rights.</p> <p>4. Role/ pattern analysis with emphasis on the main duties of the state to respect, protect and fulfill.</p> <p>5. Capacity gap analysis Key capacities: - Responsibility, motivation, commitment/ leadership - Authority - Access and control of resources (human, economic organizational) - Communication capability</p>	<p>The goal of gender equality and the practice of gender mainstreaming focus on how women and men experience problems differently, and how they relate to one another and the societal forces that shape power relationships. This focus on gender gaps and gender-based power informs each of the steps in the UNDAF process.</p> <p><i>Gender analysis is a critical examination of how differences in gender roles, activities, needs, and opportunities affect men, women, girls and boys in certain situations. This includes consideration of societal and state structures that sustain gender inequality, or promote equality, and consideration of institutional and systemic influences. The purpose is to draw conclusions that lead to recommendations for integrated actions in programming.</i></p>	<p>There are 15 specific entry points and related actions and tools for mainstreaming environmental sustainability in the UNDAF.</p> <p>Two are particularly important: 1. Screening for environment during country analysis to get a rapid understanding of any critical environmental issues, how they relate to national development priorities, and how well the country has been able to set and monitor context-specific targets for environmental sustainability; and</p> <p>2. Preliminary environmental review of draft UNDAF results to: Flag potential environmental opportunities or constraints and their implications for results in the UNDAF; stimulate additional dialogue with stakeholders; and indicate the need for a more detailed screening during agency programme and project formulation.</p>	<p>Step 1: Engage with partners and build consensus about CD priorities Step 2: Assess capacity assets and needs - Integrate capacity assessment into country-led efforts - Design and conduct capacity assessment(s) - Interpret results to inform country frameworks, and feed into UNDAF preparation Step 3: Design capacity development strategies - Agreement on the “how, what, and who” for partnerships and accountability - Ensure UNDAF outcomes reflect CD needs - Detail CD components in agency programmes, projects Step 4: Implement CD strategies Step 5: Evaluate CD efforts Major focus is on 2nd and 3rd steps. The framework has three dimensions: Core capacities; Points of entry; Functional and technical capacities.</p>	<p>Planning - Structure programmes around a chain of SMART results that respond to country analysis - Ensure logical causality in the chain of results and use ‘change language’ - Identify indicators, baselines, and targets that are aligned with the desired results - Cost results - Establish inter-agency mechanisms and processes for monitoring and reporting</p> <p>Management - Monitor financial commitments, per the UNDAF - Monitor achievement of outputs, and track contribution to outcomes - Reflect on assumptions and risks that underpin the UNDAF - Use performance information for management decision-making and to align UNCT and government resources for greater effectiveness - Flexibility to arrange resources to achieve desired results - Apply performance information, lessons, good practices to the next UNDAF</p>
4. Level of UNCT understanding & confidence ³¹	<p>68% of UNCT respondents agreed that HRBA guidance is clear and understandable. Securing buy-in of partners indicated as a challenge.</p> <p>Need further guidance: 11%</p>	<p>72% of respondents agreed that the gender equality guidance is useful in guiding the analytical and strategic planning processes.</p> <p>Need further guidance: 0</p>	<p>52% of respondents were neutral or disagreed that the guidelines provide an incentive to consider the environmental impacts in the analytical and planning phases.</p> <p>Need further guidance: 43%</p>	<p>50% of respondents agreed that the guidelines help to analyse capacity assets and gaps at the macro-development planning level.</p> <p>Need further guidance: 25%</p>	<p>72% of respondents agreed that RBM guidance was sufficient, easy to apply, and shows how UNDAF outcomes can be made SMART.</p>

³¹ This is based on: UNDG working paper, *Survey on the use and usefulness of the 2007 CCA/UNDAF Guidelines, Summary of responses*. 18 August, 2007, 3-4.

Elements	HRBA	Gender equality	Environmental sustainability	Capacity development	Results-based management
5. Key guidance materials & tools Note: The UNDAF Guidelines and the e-learning kit on Common Country Programming Processes offer guidance for all five programming principles.	UN, The Human Rights-Based Approach to Development Cooperation – Towards a Common Understanding UN, Action 2 Common Learning Package	UNDG, UNCT Performance Indicators for Gender Equality and Women’s Empowerment (Scorecard and Gender Audit) UNDG, Resource Guide for Gender Theme Groups UN, Action 2 Common Learning Package	UNDG, Mainstreaming Environmental Sustainability in Country Analysis and the UNDAF – A Guidance Note for United Nations Country Teams and Implementing Partners Teams , 2009. UNDP-UNEP, Mainstreaming Poverty-Environment Linkages into Development Planning: A handbook for practitioners , 2009.	UNDG, Enhancing the UN’s Contribution to National Capacity Development – A UNDG position statement UNDG, UNDG Capacity Assessment Methodology and Tool	UNDG, Results-based Management Terminology <i>RBM concepts</i> in How to Prepare an UNDAF: Part (II) Technical Guidance for UN Country Teams , Nov 2009, p.36. For training and learning: Draft Technical Briefs on Outcomes, Outputs, Indicators, Assumptions & Risks Concept, principles, and tools of Managing for Development Results (MfDR)