

HOW_{to} PREPARE an UNDAF

Part (II)

Technical Guidance for
UN Country Teams

January 2010



**UNITED NATIONS
DEVELOPMENT GROUP**

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This document provides technical guidance to UN Country Teams applying the “How to Prepare an UNDAF: Part (I) Guidelines for UN Country Teams”. Throughout this document the “How to Prepare an UNDAF: Part (I) Guidelines for UN Country Teams” are reflected as “Guidelines”. The content of the technical guidance in this document is consistent with the February 2009 CCA-UNDAF guidelines. Note: the annexes of the February 2009 guidelines are integrated in the relevant chapters of this document.

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Acronyms

The following abbreviations are used in this document. This list does not include the acronyms of UN agencies, which are listed at: www.un.org

CAP	Consolidated Appeal Process
CCA	Common Country Assessment
CSO	Civil Society Organization
DBS	Direct Budget Support
DRR	Disaster Risk Reduction
DOCO	Development Operations Coordination Office
EFA	Education for All
HACT	Harmonized Approach to Cash Transfers
HRBA	Human Rights-Based Approach
JAS	Joint Assistance Strategy
MD	Millennium Declaration
MDGR	Millennium Development Goals Report
MDGs	Millennium Development Goals
M & E	Monitoring & Evaluation
NDP	National Development Plan
NGOs	Non-Governmental Organizations
PFM	Public Financial Management system
PRS/PRSP	Poverty Reduction Strategy/ Poverty Reduction Strategy Paper
PSG	Peer Support Group
QSA	Quality Support and Assurance
RBM	Results-Based Management
SMART	Specific – Measurable – Achievable – Relevant – Time-bound
SWAP	Sector Wide Approach
SWOT	Strengths – Weaknesses – Opportunities – Threats
UNCT	United Nations Country Team
UNDAF	United Nations Development Assistance Framework
UNDG	United Nations Development Group

I. Technical Guidance on Engagement in National Development Process

UNCTs are expected to participate actively in the national development planning process—including a PRS process where it exists—as a platform to advocate for a more holistic human development approach and to highlight critical capacity gaps. With poverty reduction firmly at the centre of the UN system’s normative and operational work, the PRS process presents a unique opportunity of strategic importance for active engagement of the UNCT. To take advantage of this opportunity, UNCTs support the interventions proposed in PRSs as they relate to the achievement of the MD, MDGs and other internationally agreed development goals and treaty obligations, including as they relate to economic growth, sustainable development and productive capacities. [The UNDG Guidance Note on UNCT Engagement in PRSPs](#) is essential and required reading for all UNCTs in countries with PRSs or similar national strategies.

Sector-Wide Approaches/ Programmes (SWAp) or Programme-based Approaches:¹

A SWAp is a single comprehensive sector plan, driven and coordinated by government, adopting common approaches across the sector, and progressing towards the use of government procedures for planning, monitoring, reporting and evaluation. It often includes basket funding or sector budget support mechanisms. If UNDAF priorities relate to a sector where a SWAp exists, UN programming is guided by the framework of that SWAp. The UN can help make SWAp more effective by acting as an impartial “broker” and arbitrator, helping to manage negotiations, and providing solid, evidence-based policy advice to ensure that the SWAp incorporates the principles of the UN. The UN also focuses on supporting capacity development of country institutions and systems to manage this aid modality. These activities are reflected in the UNDAF.

The UNCT will need to organize its participation in SWAp policy discussions carefully and effectively to speak with one strong voice. The designation of lead agencies—with a clearly defined Terms of Reference and accountability to the rest of the UNCT—often helps to do this. For a more detailed discussion about the role of the UNCT in sector programmes, please read the [UNDG Position Paper on Sector Support and Sector Programmes](#).

Direct Budget Support (DBS): In a situation where DBS comprises a significant share of ODA, policy discussions and decisions about government resource allocations will increasingly take place in that framework. With its limited resources, the UNCT will not normally be a major contributor of funds, but it clarifies its role to influence policy discussions and enhance government capacity. In a DBS setting the UNCT would develop capacity in planning, monitoring and evaluation, support data collection, and advocate for policy changes in line with the MD/MDGs and other internationally agreed development goals and treaty obligations and the HRBA. These activities are reflected in the UNDAF. Ideally, the role of the UNCT would also be specified in the DBS framework agreement. ([Guidance note on UNCT engagement in the changing aid environment forthcoming in 2010 -- see \[www.undg.org/effectiveness\]\(http://www.undg.org/effectiveness\) for updates.](#))

Joint Assistance Strategy (JAS): A Joint Assistance Strategy operationalizes the national development framework and forms an agreement between government and donors on the modalities for achieving the national priorities. Where a JAS is being developed, the process requires the full engagement of the UNCT not only in the planning stages, but also in seeing the extent to which the UN can use the preferred implementation modalities of the government. ([Guidance note on UNCT engagement in the changing aid environment forthcoming in 2010 -- see \[www.undg.org/effectiveness\]\(http://www.undg.org/effectiveness\) for updates.](#))

¹ The term “SWAp” is largely being eclipsed by the term “Programme Based Approach,” as it is clear that not all SWAp are, in fact, sectoral (HIV/AIDS being one very good inter-sectoral example). Hence the new terminology concentrates on the approach rather than the sector(s) to which the approach is applied.

II. Technical Guidance on Programming Principles & Other Cross-Cutting Issues

This chapter provides technical guidance on the (1) five programming principles, (2) application of programming principles, and (3) other key cross-cutting issues for consideration.

(1) Five programming principles:

There **are five inter-related principles** that are required to be applied at country level:

- Human rights-based approach (HRBA);
- Gender equality;
- Environmental sustainability;
- Results-based management (RBM); and
- Capacity development.

Human rights-based approach: Every UN member state has undertaken international legal obligations for human rights. More than 80 percent of Member States have ratified four or more of the [nine core international human rights treaties](#). There is near universal ratification for the Convention on the Rights of the Child (CRC) and the Convention on the Elimination of all forms of Discrimination Against Women (CEDAW). When governments ratify treaties, every person within the country is entitled to have those human rights respected, protected and fulfilled. The Johannesburg Summit (2002) also established, for the first time, a link between the environment and human rights. The UNCT supports actions that help Member States to fulfill these obligations and reach these goals. All UNCTs need to use HRBA to support country analysis, advocate for priorities in the national development framework, and prepare an UNDAF that demonstrates a strategic use of UNCT resources and expertise. The use of HRBA is guided by the [Stamford Statement of Common UN Understanding of Rights-Based Approaches to Development Cooperation](#).

Gender equality: Achieving gender equality and eliminating all forms of discrimination on the basis of sex are at the heart of HRBA. In achieving gender

equality, both gender mainstreaming and targeted gender-specific interventions constitute the key strategies of UN-supported analysis and strategic planning. For a rights-based approach to be meaningful, the UNCT may partner with women's groups and with gender equality advocates who can influence the development agenda and demand accountability for implementation of gender equality dimensions of national laws, policies and strategies.

Environmental sustainability: Environmental sustainability is central, as natural resources are the basis for meeting economic and social needs. Human well-being depends on different services described fully in the text linked [here](#). They can be classified as:

- (i) *provisioning* services - those that provide food, water, fibre and other materials,
- (ii) *regulating* services - those that affect the weather, or the quality of water, air and soil,
- (iii) *cultural* services - those that provide aesthetic and spiritual benefits, and
- (iv) *supporting* services - those that are part of the long-term function of the ecosystem.

The preservation of these critical services is an integral part of national development frameworks especially because ecosystem deterioration is most critically and severely felt by the poor.

Activities in which UNCTs may engage to help countries achieve their development priorities need to consider environmental sustainability carefully, and include provisions to reduce potential harm to the natural resource base. Various instruments for this purpose exist such as Environmental Impact Assessments, Strategic Environmental Assessments, Life-cycle Analyses, and Integrated Ecosystem Assessments.

There is a [UNDG guidance note on mainstreaming environmental sustainability](#). A guidance note on integrating climate change issues into the UNDAF is being drafted and will be available in January 2010.

Results-based management: is a strategic management approach that UNCTs use with partners to plan, cost, implement, monitor and measure the changes from cooperation, rather than only the inputs provided or activities conducted. Using RBM, the UNCT ensures that its cash, supply and technical assistance contribute to a logical chain of results that increase in complexity and ambition higher up the logical chain from outputs to outcomes and then impacts—which are MD/MDG-related national priorities that reflect the World Summit outcome document. RBM requires the identification of critical assumptions about the programme environment and risk assessments, clearly defined accountabilities and indicators for results, and performance monitoring and reporting.

Capacity development: The World Summit outcome document emphasizes that the UNCT’s contributions to country analysis and the UNDAF are, primarily, means for capacity development.² The [UNDG Position Statement on Capacity Development](#) highlights when and how UNCTs can address capacity development in their work—as part of the CCA/UNDAF process and in the UNCT’s support to national policies and plans. It also includes illustrative activities that the UN could undertake to strengthen national capacities, along different functions, such as policy design, and monitoring and evaluation. Capacity development is the central thrust and main benefit of UNCT cooperation. For there to be national ownership, capacity development takes place within the national development framework and it responds to national capacity assessments and capacity development strategies. The UNCT can help achieve this, but support to capacity development needs to be “unpacked” into tangible components that offer a best fit in each country, rather than a one-size-fits-all approach. The UNCT will draw on the strengths of the UN system and its comparative advantages to undertake a range of capacity development initiatives, among them:

- Facilitate capacity assessments that are human rights and gender sensitive, focusing on the capacities of duty-bearers and rights-holders. See the UNDG Capacity Assessment Methodology User Guide for national capacity development for further details;
- Provide support to developing capacities to review and analyse pro-poor policy options;
- Provide support to strengthening capacities for coordination of development and humanitarian assistance;
- Facilitate consensus-building processes and broker relations between key development stakeholders;
- Strengthen capacities to implement and monitor international human rights obligations;
- Support the development and use of information and results-based management systems for greater accountability;
- Catalyze support for technological and knowledge acquisition and innovation capacities; and
- Provide international good practice in all the above and promote knowledge networking capacities.

The UNCT aims to develop lasting in-country capacities at individual, institutional and societal levels. In line with HRBA, these capacities will help rights-holders to claim their rights, and duty-bearers to meet their obligations.

A coherent UNCT is required to use these five inter-related principles to enhance country analysis and make a contribution to the national development framework.

² Capacity is defined as: the ability of people, organizations and society as a whole to manage their affairs successfully. Capacity development: the process whereby people, organizations and society as a whole **unleash, strengthen, create, adapt and maintain capacity over time.**

(2) Application of programming principles:

The application of programming principles is discussed below.³

A human rights-based approach: HRBA involves the use of a conceptual framework to understand the causes of (non-) fulfillment of human rights. It is based on international human rights standards and principles and it develops the capacities of rights-holders to claim their rights and duty-bearers to fulfill their obligations. Apart from its normative value as a set of universally agreed values, standards and principles, HRBA leads to better and more sustainable outcomes by analysing and addressing the inequalities, discriminatory practices and unjust power relations which are often at the heart of development problems.

Using HRBA, the purpose of UNCT cooperation at country level is the realization of human rights, including gender equality. It puts the obligations that come with international human rights instruments at the centre of the national development debate, and it clarifies the purpose of capacity development. HRBA gives the same importance to process as it does to results. The key human rights principles of participation, inclusion, equality, non-discrimination and accountability guide programming to sustain development results. Using HRBA, the analysis of development challenges focuses on the relation between the people and the state; between the entitlements and claims of the former and the corresponding duties of the latter. This can be summarized in four simple questions:

- **What** is happening, where and who is more affected? (*assessment*)

For every development challenge, identify the inter-related human rights standards and in particular those groups suffering from a greater denial of rights.

For example, be clear on the specific gender equality issues that need to be addressed, making reference to the relevant CEDAW Concluding Comments.

- **Why** are these problems occurring? (*causal analysis*): Identify the underlying and root causes of exclusion, discrimination and inequality.
- **Who** has the obligation to do something about it? (*role analysis*): Identify individual and institutional duty-bearers and their corresponding obligations.
- **What capacities** are needed for those affected, and those with a duty, to take action? (*capacity analysis*): Identify the skills, abilities, resources, responsibilities, authority and motivation which are needed by those affected to claim their rights and those obliged to fulfil the rights.

Once capacity development assets and needs have been identified, the central question is: **where and how** can capacity development efforts produce the greatest results? The answer to this question leads to a strategic UNDAF.

By bringing these questions into the development debate, the UNCT can add depth and quality to country analysis. A [Common Learning Package on HRBA](#) has been prepared for UN staff by the inter-agency group on human rights. Part IV of that package contains detailed information about the steps involved in conducting a human rights-based analysis at country level. These steps are also the basis for CCA analysis discussed later.

The links to the major human rights conventions are listed at the end of this chapter. The [Concluding Observations and Recommendations of the Treaty Bodies](#) are public documents issued following their consideration of country reports about progress to implement international conventions. Government reports to the treaty bodies may already be critical of the human rights situation in the country. Use of the

³ See the [Guidance Note: Application of the Programming Principles to the UNDAF](#) for details.

government's own report and language can be a good starting place for advocacy on human rights and HRBA. Support to government to prepare the reports can serve as a capacity development exercise for partners. With regard to the rights protected under the ILO fundamental human rights conventions, the published findings and recommendations of the ILO supervisory bodies provide guidance concerning the progress made in implementation.

Gender Mainstreaming: Gender mainstreaming is one of the key principles of UN-supported analysis and strategic planning. Providing support for achieving gender equality and eliminating discrimination against women is an important part of the human rights-based approach. The UN helps to ensure that priorities in the national development framework reflect the country's commitments to achieving gender equality within the internationally agreed development goals. The UN has a key role to play as a convener of women's groups and gender equality advocates who can flag gender-sensitive concerns and influence the development agenda. A [gender equality resource guide](#) has been prepared to help UN theme groups mainstream gender equality concerns and advocacy for the rights of women and girls into country analysis, the national development framework, and the UNDAF. The practice of gender mainstreaming requires:

- Use of the MDGs and associated indicators, the implementation of the Convention on the Elimination of All Forms of Discrimination against Women, and the Beijing Platform for Action as an overarching framework;
- Systematic collection of sex-disaggregated data in all activities;
- Gender analysis to determine the different ways that females and males experience development challenges and inequality within their socio-economic and cultural context;
- Identification of those with claims and those with duties, in a way that recognizes the patterns of

discrimination, and of how women and men relate in the country;

- Recognition of the specific capacity gaps of claim-holders and of duty-bearers that need to be addressed to promote gender equality; and
- Connecting the analysis of problems to gender sensitive actions in the national development framework and the UNDAF.

The [UNCT Performance Indicators for Gender Equality and Women's Empowerment](#) establishes an accountability framework for assessing the effectiveness of gender mainstreaming by the UNCT. The assessment feeds into review of the existing UNDAF in order to enhance performance, and as input to the development of a new UNDAF.

Capacity Assessment: The objective of capacity assessment is to ensure the systematic application of, and follow up to, country-led assessments within national development exercises. As part of the review of the country analytic work, the UNCT reviews the existing information on the relevant sub-regional, national and local capacity assets and identifies capacity gaps/needs that need to be addressed for sustainable national development. This review draws on or feeds into national or sector capacity assessments and capacity development strategies, including South-South cooperation, and is not carried out as a separate ad hoc exercise. Refer to the [UNDG Position Statement on Capacity Development](#) and the initial tools described in its Annex.

During country analysis, the review of capacity assessment may primarily be at system level for specific functional capacities necessary for the successful creation and management of policies, legislation, strategies and programmes during the development cycle. Further, more specific technical capacity assessment may follow. A country's capacity resides on different levels—societal, organizational and individual—so capacity assessments need to be

addressed at those levels.⁴ Following the initial review, and during the country analysis stage itself, the UNCT also considers ways of ensuring that detailed assessments of identified capacity needs that have direct bearing especially on UNCT cooperation are incorporated in the national frameworks, and will be monitored and evaluated. Completion of such capacity assessments could be identified and included in the UNDAF.

(3) Other key cross-cutting issues for UNCT consideration:

Conflicts and natural disasters: Understanding the potential for conflicts and natural disasters are additional elements of a high-quality analysis.

Conflicts and development are linked. While conflict can promote development and social change when it is managed in a non-violent way, violent conflict nearly always reverses development gains. Development also plays an important role in addressing the causes of violent conflict and supporting local capacities for peace, but this positive impact is not automatic. Development can create or reinforce tensions on the ground, by favouring some groups over others, or reinforcing structures that exclude some groups. Development interventions are planned and implemented in a way that minimizes harm and maximizes opportunities for peace. So the UNCT contributes to conflict prevention by design and not by default. The UNCT's contribution to country analysis and the UNDAF are important starting points. They depend on solid analysis of the dynamics of potential and actual conflicts on the ground. As an impartial actor, the UNCT has a comparative advantage in using conflict analysis, with national governments and civil society, to address prevention concerns jointly, and ensure that programmes are designed and implemented with a view to conflict prevention. At base, all programmes help to develop local capacities to resolve differences peacefully.

The UNDG [Inter-agency framework for conflict analysis in transition situations](#) offers more guidance. For a range of available resources on conflict analysis, prevention and conflict sensitive approaches please click [here](#).

The CCAs and UNDAFs of Bosnia-Herzegovina, Colombia, Rwanda and Sri Lanka, all have notable elements that analyse and respond to conflict. In Congo, Sierra Leone, and Afghanistan, UNCTs have developed transitional recovery strategies combining the basic elements of the CAP, CCA and UNDAF into a single strategic plan to address the root causes of conflict. Recent examples of UNDAFs of countries in transition include Liberia, Burundi, Sudan and Timor-Leste. (For the UNDAFs see: [Africa Region UNDG website](#)).

Disasters caused by natural hazards exert an enormous toll on development, threatening prospects for achieving the MDGs. Disaster risk is increasingly global in character. Due to factors such as climate change and economic globalization, actions in one region may have an impact on hazards in another. When disaster occurs, countries often experience widely differing impacts, depending in large part on the kind of development choices they have made. While humanitarian efforts are important, there is growing recognition of the urgent need to reduce vulnerabilities for high risk populations by developing their own capacity to withstand potential disasters.

The 2009 UNDG guidance note [Integrating Disaster Risk Reduction into the CCA and UNDAF](#) is aimed at UNCTs in countries where development may be compromised by natural disasters. Since climate change and disaster risk are closely linked, it will also be helpful for UNCTs wishing to address climate change impacts as well as related challenges like food insecurity and technological risk. The guidance note provides substantive guidance and examples and identifies critical steps for integrating DRR into the analytical and strategic planning process. In particular,

⁴ Seen through a South-South lens, the capacity assessment process presents an opportunity to identify capacity assets that a particular country could offer to other developing countries and the capacity gaps that could be filled by other developing countries.

it will help UNCTs to: Understand how disaster risk interacts with development; recognize how DRR relates to the CCA/UNDAF key principles of engagement; examine national capacities and risk reduction options; identify priorities for intervention; agree on the most appropriate areas for UNCT support; and include DRR as an integral part of the UNDAF monitoring and evaluation process. The guidance note will be regularly updated to respond to new developments and reflect feedback from practitioners.

Food, energy and financial crises are rapidly reshaping the aid environment and are a challenge to meeting the MDGs by 2015. [The Comprehensive Framework for Action \(CFA\)](#) which was developed as a consensus among UN system agencies, including the Bretton Woods institutions and other relevant organizations, provides guidance to governments and institutions on how to respond in a coherent and coordinated way to the global food crisis. It thus provides an important framework for the UNCT to focus on hunger⁵ and meet immediate and longer term needs by developing actions for greater partnership, joint programming and increased investment (specific UNDG guidance for UNCTs on food security is forthcoming).

The [UNDG Guidelines on Indigenous Peoples' Issues](#) provide information on the international human rights framework that guides the UN's work on indigenous issues and practical advice on integrating concern for indigenous issues into the UNDAF. The publication of these guidelines follows the adoption of the [United Nations Declaration on the Rights of Indigenous Peoples](#) by the General Assembly on 13 September 2007.

The [UNV Guidance Note on Programming Volunteerism for Development](#) is intended for the use of UNCTs, governments, and other stakeholders involved in country analysis and the preparation and implementation of the UNDAF. It informs them on assessing both the extent of, and the opportunity for,

The CEB Toolkit for Mainstreaming Employment and Decent Work and the CCA/UNDAF key programming principles:

Mandated and conceived by the UN Chief Executives Board (CEB) as an integral part of an inter-agency process and by ECOSOC as an inter-governmental process, the Toolkit has four main components :

- A diagnostic and awareness raising checklist of questions for self-assessment;
- An interactive website (<http://cebtoolkit.ilo.org> – click to contact administrator for access) for knowledge management and sharing of the tools for mainstreaming employment and decent work;
- A capacity building and awareness raising component; and
- A country level application component.

The Toolkit checklist enables the UNCT and social partners to apply an employment and decent work lens to national development and assistance frameworks and also to meet international commitments. It is currently being applied at country level by UNCTs in selected Pilot countries. The Toolkit has been identified by UN agencies as a good example of promoting interlinkages between the five programming principles, as it links a Human Rights-Based Approach with Fundamental Principles and Rights at work, as well as catering to gender equality and environmental concerns, while drawing on capacity development and results-based management principles and approaches.

⁵ Hunger is defined here in terms of the inability to acquire or consume an adequate quality or sufficient quantity of food for an active and healthy life.

wider civil society participation in development activities and the advancement of the MDGs. The Guidance Note was developed in partial response to GA resolutions calling on governments and the UN system “to integrate volunteerism in its various forms into their policies, programmes and reports.”

CEB member agencies adopted in April 2007 a [CEB Toolkit on Mainstreaming Employment and Decent Work](#). The toolkit is an instrument that highlights the growth-poverty-employment nexus and ways the entire UN system can influence the adoption of pro-employment and decent work-friendly policies.



Hyperlinks to the conventions of the UN system, international human rights mechanisms and other useful references are listed below:

- [Universal Declaration of Human Rights \(1948\)](#)
- [International Convention on the Elimination of All Forms of Racial Discrimination \(1965\)](#)
- [International Covenant on Economic, Social & Cultural Rights \(1966\)](#)
- [International Covenant on Civil and Political Rights \(1966\)](#)
- [Convention on the Elimination of All Forms of Discrimination against Women \(1979\)](#)
- [Declaration on the Elimination of Violence against Women \(General Assembly resolution 48/104 of 20 December 1993\)](#)
- [Convention against Torture and Other Cruel, Inhuman or Degrading Treatment or Punishment \(1984\)](#)
- [Convention on the Rights of the Child \(1989\)](#)
- [Convention on the Rights of Persons with Disabilities \(2006\) and the Optional Protocol to the Convention on the Rights of Persons with Disabilities \(2006\)](#)
- [Declaration on the Right to Development \(1986\)](#)
- [Convention on Biological Diversity \(1992\)](#)
- [UN Convention to Combat Desertification \(1994\)](#)
- [UN Framework Convention on Climate Change \(1992\)](#)
- [Ramsar Convention on Wetlands \(1975\)](#)
- [Convention on International Trade in Endangered Species of Wild Fauna and Flora \(1975\)](#)
- [The Indigenous and Tribal Peoples Convention, 1989 \(No. 169\)](#)
- [The Indigenous and Tribal Peoples Convention, 1957 \(No. 107\)](#)
- [The Declaration on the Rights of Indigenous Peoples 2007 and the Optional Protocol to the International Covenant on Cultural, Economic and Social Rights](#)
- [Declaration on the Rights of Persons Belonging to National or Ethnic, Religious and Linguistic Minorities \(1992\)](#)
- [Convention \(1951\) and Protocol \(1967\) relating to the Status of Refugees](#)
- [International Health Regulation \(2005\)](#)
- [Single Convention on Narcotic Drugs \(1961\)](#)
- [Convention on Psychotropic Substances \(1971\)](#)
- [United Nations Convention against the Illicit Traffic in Narcotic Drugs and Psychotropic Substances \(1988\)](#)
- [United Nations Convention against Transnational Organized Crime and its Protocols \(2000\)](#)
- [United Nations Convention against Corruption \(2003\)](#)
- [Stockholm Convention on Persistent Organic Pollutants \(2004\)](#)

Additionally, the following relate to international labour instruments:

- [Forced Labour Convention, 1930 \(No. 29\)](#)
- [Freedom of Association and Protection of the Right to Organize Convention, 1948 \(No. 87\)](#)
- [Right to Organize and Collective Bargaining Convention, 1949 \(No. 98\)](#)
- [Equal Remuneration Convention, 1951 \(No. 100\)](#)
- [Abolition of Forced Labour Convention, 1957 \(No. 105\)](#)
- [Discrimination \(Employment and Occupation\) Convention, 1958 \(No. 111\)](#)
- [Minimum Age Convention, 1973 \(No. 138\)](#)

- [Declaration on Fundamental Principles and Rights at Work and its Follow-up \(1998\)](#)
- [Worst Forms of Child Labour Convention, 1999 \(No. 182\)](#)
- [The Declaration on Social Justice for a Fair Globalization](#)

International Conferences:

- [World Summit for Children – New York 1990](#)
- [World Conference on Environment and Development – RIO 1992](#)
- [International Conference on Nutrition – Rome 1992](#)
- [World Conference on Human Rights – Vienna 1993](#)
- [International Conference on Population and Development – Cairo 1994](#)
- [World Summit for Social Development – Copenhagen 1995](#)
- [Fourth World Conference on Women \(FWCW\) – Beijing 1995](#)
- [Ninth Congress on the Prevention of Crime and Treatment of Offenders \(UNCPCTO\) – Cairo 1995](#)
- [UN Conference on Human Settlements](#)
- [Second UN Conference on Human Settlements – Istanbul 1996](#)
- [World Food Summit – Rome 1996](#)
- [Ninth Session of the United Nations Conference on Trade and Development \(UNCTAD IX\) – Medrand 1996](#)
- [Amsterdam and Oslo Conferences on Child Labour \(1997\)](#)
- [General Assembly Twentieth Special Session on the World Drug Problem \(GAD\) – New York 1998](#)
- [World Conference on Education For All - Dakar 2000](#)
- [World Conference for Women \(Beijing +5, 2000\)](#)
- [Tenth United Nations Congress on Crime Prevention and Criminal Justice](#)
- [Millennium Summit – New York 2000](#)
- [UN Special Session on HIV/AIDS – New York 2001](#)
- [World Conference against Racism, Racial Discrimination, Xenophobia and Related Intolerance – Durban 2001](#)
- [Yokohama Conference on the Commercial Sexual Exploitation of Children – 2001](#)
- [Istanbul+5: Reviewing and Appraising Progress Five Years After Habitat II – New York 2001](#)
- [International Conference on Financing for Development – Monterrey 2002](#)
- [UN Special Session on Children – New York 2002](#)
- [World Food Summit: Five Years Later – Rome 2002](#)
- [The World Summit on Sustainable Development – Johannesburg 2002](#)
- [The World Summit on the Information Society, First Phase: Geneva, 10-12 December 2003](#)
- [The 2005 World Summit](#)

Collection of Human Rights Instruments:

<http://www.unhchr.ch/html/intlinst.htm>

Collection of Environmental Instruments:

http://www.unep.org/law/Law_instruments/index.asp

Conventions and treaties, related to food and

agriculture: <http://www.fao.org/Legal/treaties/treaty-e.htm>



Conventions and Agreements adopted under the auspices of UNESCO, solely or jointly with other international organizations are at [Conventions: UNESCO](#)

Observations and Recommendations of International Human Rights Mechanisms:

- [Treaty Bodies](#)
- [Committee on Economic, Social and Cultural Rights \(CESCR\)](#)
- [Human Rights Committee \(HRC\)](#)
- [Committee on the Elimination of Racial Discrimination \(CERD\)](#)
- [Committee on the Elimination of Discrimination Against Women](#)
- [Committee Against Torture \(CAT\)](#)
- [Committee on the Rights of the Child](#)
- [Committee on the Protection of the Rights of All Migrant Workers and Members of Their Families. \(CMW\)](#)

- [Committee on the Rights of Persons with Disabilities](#)
- Special procedures. For more information on the Special Procedures, visit the OHCHR web page: [Special Procedures of the Human Rights Council](#)
- ILO supervisory bodies (ILOLEX database at <http://www.ilo.org/ilolex/english/index.htm>)

Other useful reference sources

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

The Indicator Framework in Section V of this document also includes hyperlinks to the Millennium Development Goals, PRSPs and the rights-based approaches to development. The UN Staff College and OHCHR have also been, in the last three years, working with other UN organizations in piloting training for UNCTs on human rights-based approaches to development.

III. Technical Guidance on Country Analysis

This chapter provides technical guidance on (1) comparative advantage, (2) options for country analysis, and (3) a checklist to assess quality of country analysis.

(1) Comparative advantage

According to the Guidelines, mapping UNCT work in a country and the UNCT's comparative advantage are critical. The timing of conducting the comparative advantage analysis is flexible, as long as it informs strategic planning. The modalities for conducting the comparative advantage analysis are also flexible.

What are comparative advantages?

The UNCT can make use of a number of general comparative advantages based on its role as a multilateral organization accountable to all Member States. With a relationship of trust derived from its long-standing presence and support to development at country level, the UNCT can build on the following comparative advantages:

- promotion and support to the implementation of international standards, particularly the Millennium Declaration, MDGs and international human rights instruments;
- convening power to mobilize and facilitate interaction with a range of national and international partners;
- support to capacity development at all levels within a framework of national ownership;
- objective monitoring and evaluation of the national development framework;
- impartial policy advice, based on international experience, technical expertise and good practices.

An assessment of the UNCT's strengths and weaknesses, and the opportunities and threats in the country—a SWOT analysis—may be helpful, but the UNCT may choose any methodology. Guidance for a SWOT analysis is provided below. These exercises highlight opportunities for the UNCT to use its comparative advantages most effectively to support country analysis and strategic planning. For an example of such an exercise (not using SWOT), see two documents from the Malawi UNCT: ([Memorandum: the UNDAF building block approach](#) and [Role of the UN Malawi in a changing aid environment](#)).

Conducting a SWOT exercise: Making a contribution to country analysis and to the national development framework requires careful planning and preparation. The UNCT examines its own strengths and weaknesses, and the opportunities and threats in the national development context, including what other development actors are doing. SWOT analysis is a self-assessment exercise that will help a UNCT to clarify its comparative advantages, and highlight opportunities for the UN to support country analysis and strategic planning. It also enables the UNCT to minimize the gap between expectations and the UNCT's actual capacity to deliver. It enables the individuals leading the UNCT to anticipate learning needs or take maximum advantage of opportunities in the national development context. (See Table 1, p.15)

Who does the SWOT analysis? At a minimum the SWOT exercise is done by the individuals leading the UNCT. It is also advisable to include senior programme and coordination staff.

SWOT facilitation guide: Objective: To clarify the comparative advantages of the UNCT by identifying its strengths and weaknesses, and opportunities and threats in the national development context.

TABLE 1. CONDUCTING A SWOT EXERCISE

SESSION 1: OBJECTIVE		
Timing	Activity	Materials
5 minutes	<ul style="list-style-type: none"> Review the objective of the SWOT exercise 	1 flip chart with objective
SESSION 2: GROUP BRAINSTORMING		
Timing	Activity	Materials
30 minutes, up to an hour, or more	<ul style="list-style-type: none"> Divide the participants into groups of 4 Each group to brainstorm about the following 4 questions <p>What are:</p> <ul style="list-style-type: none"> The 5 <u>main strengths</u> of the UNCT? The 5 <u>main weaknesses</u>? The 5 <u>main opportunities</u> that exist to place the UNCT in a more strategic and influential position in the country? The 5 <u>main threats</u> in the programme environment? <p>Here are some basic questions to help the group process:</p> <p>Questions to help identify strengths</p> <ul style="list-style-type: none"> What do we do well? What relevant resources do we have access to? What do others see as our strengths? <p>Questions to help identify weaknesses</p> <ul style="list-style-type: none"> What do we not do well? In which areas must we improve? What do we need to avoid? What do others see as our weaknesses? <p>Questions to help identify opportunities or threats</p> <ul style="list-style-type: none"> What events are coming up that can influence our situation? What trends or new developments (political, economic, social, cultural, etc.) can affect us? What are other development actors doing that complements or competes directly with UN supported programmes? What actors are in a position to influence decision-making on crucial development issues (either positively or negatively); what incentives drive them? 	<p>1 flip chart with the questions</p> <p>60 to 80 cards in 4 colours (cut 1 A4 sheet of paper length-wise to make 2 cards)</p> <p>- markers (2 per group)</p> <p>Reference materials as appropriate to the time allocation (see Facilitation hint)</p>

(cont'd) ►

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SESSION 2: GROUP BRAINSTORMING		
Timing	Activity	Materials
	<ul style="list-style-type: none"> Each group to write each answer on a card—by the end of the brainstorming, each group will have prepared 20 cards 	
<p><u>* Facilitation hint:</u></p> <p><i>This session can be conducted as a brainstorming exercise in 30 minutes. It can also be expanded to an hour or more, if the participants want more time for reflection, or to consult references. For example, it might be useful to have copies of the previous UNDAF evaluation or UNDAF progress reports to help identify strengths and weaknesses. Likewise, recent government reports, new policy papers, or reports from donors, local and international NGOs may help to identify opportunities or threats.</i></p>		
SESSION 3: CLUSTERING AND REVIEW		
Timing	Activity	Materials
20 minutes	<ul style="list-style-type: none"> Prepare 4 areas of wall space to cluster the cards Ask all participants to stand in the clustering area Start with strengths. Ask one group to volunteer their results by posting their 5 cards on the wall Read the cards aloud and ask the group to clarify any cards that are unclear One after the other, ask all other groups to post their cards—and to cluster cards that are similar In this way, the major clusters of strengths will emerge as a group consensus Any single cards are outliers, but the group can decide if it is a strength or if it can be removed Proceed in this way for the weaknesses, opportunities and threats 	Group work cards Tape
45 minutes	<ul style="list-style-type: none"> Mix the participants into new groups of 4 Ask the groups to reflect on the SWOT analysis and to identify the comparative advantages of the UNCT—help them by giving them this guide. 	

(cont'd) ►

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SESSION 4: IDENTIFY COMPARATIVE ADVANTAGES		
Timing	Activity	Materials
	<p>Comparative advantages:</p> <ul style="list-style-type: none"> • Utilize our strengths (and build on results achieved) • Avoid our weaknesses (or, if they constitute critical gaps in our capacity to address strategic issues, address them) • Capitalize on opportunities • Avoid or mitigate important risks or threats • Recognize what other development actors are doing • Ask each group to summarize each comparative advantage on a half sheet of flip chart paper—they can write a statement or list bullet points • As in session 3, the responses of all groups are presented and similar ones can be clustered • In plenary discuss the results and agree that these represent the comparative advantages of the UNCT • Type and share the results 	<p>1 flip chart with comparative advantages guide</p>

Additional questions to help groups with their SWOT exercise: Some groups may need more prompting with the exercise. This list also helps a facilitator or resource person to probe the results and ask questions.

Strengths and Weaknesses:

- How many of the UNCT members are up to date in:
 - Human rights-based approach;
 - Gender analysis;
 - Emergency preparedness and conflict analysis;
 - Results-based management;
 - Assessment and development of capacities for national development processes?
- How many UNCT members have engaged the government in upstream analytical work such as discussion on national budget analysis or policy-level national plan discussions?

- Are there any major changes/transfers expected among the individuals leading the UNCT during the critical period of the CCA/UNDAF process?
- What proportion of the substantive UNCT members is present/in country?
- What normative and operational work is being done by all the different UN agencies at country level?
- Are there any major UN-wide or agency-specific events that are likely to distract from the CCA/UNDAF process? Are there possibilities for making adjustments?

Opportunities and Threats: To identify *external* conditions that may be helpful in achieving the objective, the UNCT may use the following checklist:

- Are there any new opportunities to get the buy-in of key decision-makers in government or civil society and ally with them to influence national priorities?
- Are any major changes in government expected, e.g., through elections or a new constitution?

- Does the country envisage or is it in the process of conducting a major data gathering exercise (e.g. population census, national survey, etc.)?
- Is there any major threat to stability?

(2) Options for country analysis

Below is technical guidance on the three options of country analysis. The options are: (i) participation in government-led analytical work, (ii) complementary UNCT-supported analytical work, and/or (iii) a full CCA.

(i) Participation in government-led analytical work:

If existing or planned analyses are of good overall quality, then no CCA is needed. The UNCT and partners will identify any steps in the planning process where involvement of UN staff can improve the depth and quality of analysis and support the implementation of international norms and standards. Although the UNCT may not necessarily be a convener of working groups or consultations, it will be an active participant, adding value to already established processes. The UNCT will be expected to:

- Identify otherwise unseen trends in the data and excluded groups that have been overlooked;
- Identify disparities that suggest unequal treatment and the possibility of discrimination;
- Help partners to conduct more detailed causality analysis of identified problems and to identify the root causes that contribute to multiple problems;
- In the above, help partners to apply a human rights-based analysis, including gender analysis;
- Help integrate capacity assessment into the national development process or help to interpret the results of capacity assessments to inform the national development framework and UNDAF;
- Encourage partners to further examine the risks of natural disasters and humanitarian crises;
- Advocate for priorities in the national development framework that reflect the country analysis, including capacity development needs. For a country example please see a report from [Mozambique](#).

(ii) Complementary UNCT-supported analytical work:

If there are specific gaps in country analysis, a CCA may not be needed if the UNCT can use its analytical resources to fill these gaps. The UNCT will play a larger role to convene groups, organize consultations, and conduct a complementary research agenda. Some of this agenda may already be covered by studies and evaluations planned in the M&E calendar for years 4 and 5 of the current cycle. To address identified gaps, the UNCT may:

- Conduct targeted surveys and studies to generate additional data that is disaggregated;
- Convene and facilitate national or sub-national consultations with a wide range of stakeholders to analyze trends and identify disparities and excluded groups that may have been overlooked;
- Provide formal training and support to partners to conduct capacity assessment, causality analysis, human rights-based analysis and gender analysis;
- Conduct targeted capacity assessments; and
- Support more detailed studies about the risks of natural disasters and humanitarian crises, and to gauge the readiness of state and non-state actors to respond.

The UNCT will also take a more pro-active role to ensure that the results of these activities are used to formulate priorities for the national development framework and UNDAF. For a country example please refer to a report from [Tanzania](#).

(iii) A full CCA process: Where the UNCT and partners decide there are few high quality documents and that planned exercises are not sufficiently analytical, a full-fledged process to develop a Common Country Assessment (CCA) may be needed. Generally, the CCA refers to, rather than duplicates, data and information contained in other reliable national information systems. Where a Post-Conflict Needs Assessment (PCNA) has been undertaken, the PCNA document can be used by the UNCT in place of a CCA.

What if the UN and government can't agree?

Some partners may disagree about the quality of some aspects of country analysis, or about the measures needed to fill gaps. In all situations, the UN has the right to conduct a separate CCA. But pure insistence on this right is far from ideal. As much as possible the UN should be working to strengthen national capacities for analysis and priority setting. Unless they contravene the UN's principles and strategies, every effort should be made to work with the measures proposed by governments. Reservations of the UNCT can be noted and the UNCT should monitor and evaluate the effectiveness of the analytical contributions closely to inform the discussion on policy and programmatic work for the next cycle.

The CCA is a common instrument of the United Nations system to analyse the national development situation and identify key development issues with a focus on the MD/MDGs, and other internationally agreed development goals and treaty obligations.

A key function of the CCA is to support and strengthen the national development framework which may include planning mechanisms such as: a PRSP, sector programmes, or a joint assistance strategy (JAS), and may also involve direct budget support. The CCA can either contribute to or benefit from monitoring progress towards the PRSP and the MDG Reports (MDGRs). The CCA may also assist in a Consolidated Appeal Process (CAP) or a transition strategy, where they are developed. (See section V for further information on M&E and the indicator framework.)

The CCA process normally results in:

- Strategic analysis that identifies the root causes of poverty and other development challenges, and

its effects on the population, particularly on excluded groups such as women, minorities, indigenous peoples, persons with disabilities, people living with HIV/AIDS, migrants and displaced persons;

- The identification of capacity gaps of rights holders to make claims and duty bearers to meet their obligations;
- An analysis of opportunities for (and obstacles to) free, active and meaningful participation in national governance and development processes and outcomes;
- A substantive contribution to the preparation of the national development framework, working to ensure that national priorities reflect the MD/MDGs and other internationally agreed development goals and treaty obligations;
- A contribution to developing measures and capacity for crisis prevention and disaster preparedness; and where applicable to mitigation plans, post-conflict/natural disaster recovery and rehabilitation, and planning the transition from relief to development;
- Strengthened national capacities for data analysis and utilization for priority setting, including risk and vulnerability assessments with geographic and beneficiary targeting, making every effort for the collection of accurate data with respect to indigenous peoples, ethnic and other minorities.

The structure and content of the CCA document, as well as the steps for its preparation, are below:

Structure and content of the CCA document:

All CCA documents contain an executive summary with a synthesis of the major findings of the analysis, followed by at least three sections (described below). The CCA document presents a focused discussion on key issues, preferably within 30 to 35 pages, excluding annexes.

Section 1: Introduction: The introduction is brief, explaining the preparation process and scope of the CCA, the efforts made to ensure government ownership and leadership in the process, and how

the CCA will add value to country analytic work and to the national development framework.

Section 2: The Analysis: This section contains a focused analysis of the national development situation. Major problems or challenges are analysed to identify trends, disparities and the most affected population groups. It will highlight progress made towards national priorities, with a clear focus on the MD/MDGs and other internationally agreed development goals and treaty obligations. It uses HRBA and mainstreams gender equality concerns to:

- Identify priority development problems and state them as interrelated and unfulfilled human rights;
- Provide a greater understanding of their causes; and
- Identify the individuals and groups in society who are obligated to take action, and the capacities they need to be able to take action.

In line with the principles of UNCT cooperation, the analytical process encourages government ownership and leadership, involves non-government stakeholders, and ensures the active and meaningful participation of groups subject to discrimination, including the poor, indigenous peoples and migrants.

A learning resource package on [HRBA](#) is being prepared for UN staff by the inter-agency group on human rights. The CCA largely follows Part IV of the draft package, which contains detailed information about the steps involved in conducting human rights-based analysis at country level.

(a) Gather information: HRBA depends on the quality of information available. The information covers the civil, cultural, economic, political and social context that will lead to the identification of the main development and human rights challenges in the country, their severity, the most affected and where they live. Development of an indicator framework may help to establish a baseline, and identify trends, data

gaps and also constraints in the capacity of national statistical systems. The information is disaggregated as much as possible by sex, age, geographic area, ethnicity, disability, HIV/AIDS and other status. The information comes from a variety of sources, including government and official data, civil society, observations and recommendations of international human rights mechanisms, regional and national human rights mechanisms, and other reliable sources.

(b) Assess the situation: Based on the information gathered, the assessment from a human rights and gender perspective helps to determine whether, and where, a problem or challenge exists, its intensity and who is affected. It reviews the trends in development indicators using sex-disaggregated data and it highlights disparities: where these occur, who are most affected and how many are affected. It examines the commitments of the State to respect, protect and fulfil human rights. The HRBA adds value to this assessment by relating the situation to the human rights obligations in the international instruments ratified by each country. This data-driven assessment will help to identify patterns of discrimination and inequality, and describe the situation of groups excluded and made vulnerable due to the denial of their rights.

The assessment also addresses risks for potential disasters caused by vulnerability to natural hazards, and discusses the country's [disaster preparedness](#), including the availability of early warning and crisis monitoring indicators.

(c) Select challenges for deeper analysis: Using the assessment in step 2, the UNCT and national partners will identify particular problems or challenges for deeper analysis. Criteria for the selection will include:

- The persistence, severity and scope of the problem as evidenced by relevant reports (e.g., National MDG Report, CEDAW Concluding Comments, etc.);
- Negative trends;
- Trends that might lead to crises or disasters;

- Disparities suggesting unequal treatment and discrimination;
- Particular opportunities for UNCT advocacy and programme cooperation; and
- Opportunities for multiple impacts where problems are closely linked or have a causal relationship.

(d) Analyze selected problems and challenges to identify root causes: The quality of the CCA depends on the depth and quality of the analysis. The analysis organizes the main data, trends and findings into relationships of cause and effect. It identifies the manifestation of the problem—or its effect on people, and its underlying and root causes. Again these are disaggregated as much as possible by sex, age, geographic area, ethnicity, disability, HIV/AIDS and other status among others. A graphic representation of this causality analysis is called a problem tree (figure below).

Normally,

- Immediate causes determine the current status of the problem.
- Underlying causes are the consequence of policies, laws and availability of resources.

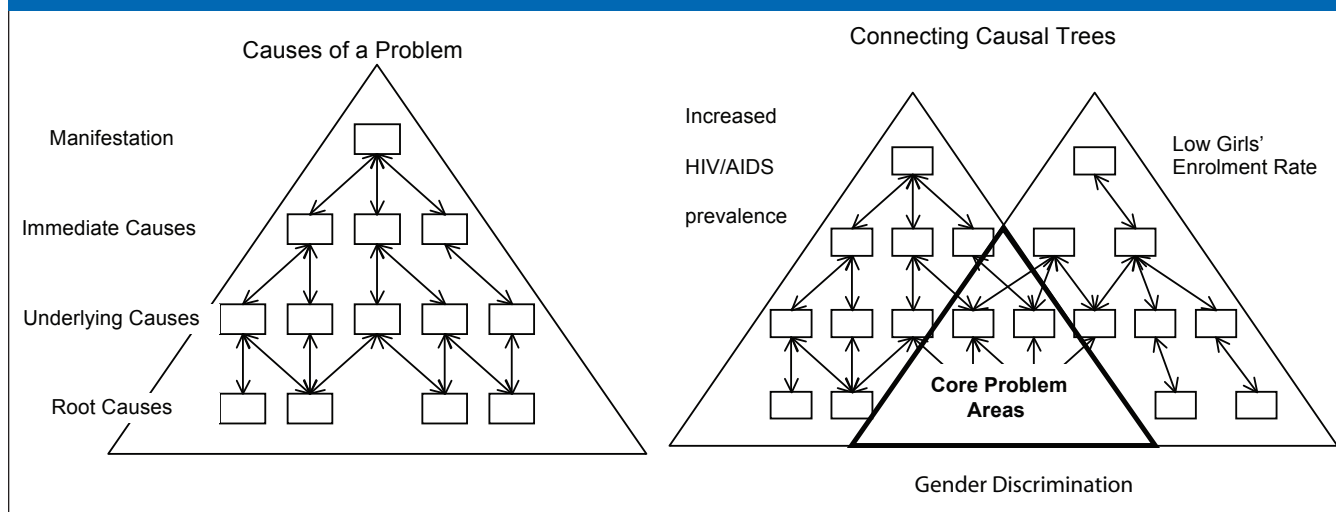
- Root causes concern attitudes and behaviour at different levels, including the family, communities and governments.

A causality analysis is guided by human rights principles and standards. It is important to understand the problem and its causes that impede the fulfillment of human rights. For example, do the State and its authorities ensure that rural girls are protected against gender discrimination in the school system? What cultural values and practices need to be addressed to protect women from gender-based violence?

Human rights-based analysis reveals gaps in norms, institutions, and legal and policy frameworks. It describes how laws, social norms, traditional practices and institutional responses affect the fulfillment of human rights. Most importantly, the analysis considers the implementation—both in legislation and in practice—of international human rights treaties, including the recommendations of relevant human rights monitoring bodies.

Some underlying or root causes for different development challenges may be the same (see the overlapping triangles in the above right figure). Identification of these common underlying or root causes of multiple problems will increase the likelihood that policy or programmatic responses yield multiple impacts.

FIGURE 1. CAUSAL ANALYSIS, CAUSAL TREES



Unfulfilled right: Rural girls are not attending school

Rights-Holders: Rural girls, their parents (both rights-holders and duty-bearers), their teachers (also rights-holders and duty-bearers), the community school board or equivalent body (as rights-holders and duty-bearers). While the parents, teachers, and school board are also duty-bearers, they are not able to fulfil their obligations due to their own lack of capacity.

Duty-Bearers: Parents, teachers, school board, local authorities, ministry of education, parliamentarians and other elected leaders. The question then arises as to where capacity building will produce the greatest results and impact?

(e) Identify rights-holders and duty-bearers, and their capacity needs: Once the causal analysis is completed, the next step is to identify rights-holders and duty-bearers. HRBA recognizes people as rights-holders (also referred to as claim-holders, or subjects of rights) and as key actors in their own development. They are not passive recipients of benefits. At the same time, it recognizes the corresponding human rights obligations of the duty-bearers, which include both state and non-state actors, to respect, protect and fulfil human rights. The role analysis helps examine the relationship between rights-holders and duty-bearers. This part simply calls for making a list of the rights-holders, on the one hand, and a list of the corresponding duty-bearers, on the other, in relation to a specific human right and to compare the relationships.

Once all the relevant actors have been identified, the next step is to assess the capacity gaps of rights-holders and duty-bearers in terms of skills, resources, responsibility, motivation and authority. At this stage of the analysis it is important to ask:

- What capacities are lacking for the rights-holders to claim their rights?
- What capacities are lacking for these institutions or individuals to carry out their duties?

On the basis of this analysis, the UNCT and partners will identify a limited number of priority problems where programme cooperation can produce the greatest results.

Divergent points of view about the analysis may mean that full consensus cannot be reached. Differences of opinion are inevitable, and are indicative of important issues that require further study. The UNCT facilitates a participatory process that considers divergent views in an equitable manner.

Problem areas that are not analysed in detail are included in the future research agenda of national institutions and authorities and development partners. Similarly, the strengthening of national efforts to establish an up-to-date database is noted for future development cooperation.

Section 3: Priority development problems and their common root causes:

The final section identifies the priority problems, from those analysed in section 2. Prioritization is guided by where the UNCT can bring its comparative advantages to bear to make the biggest difference.

The following criteria may be helpful in establishing priorities among the analysed problems:

- The magnitude and growth of the problem and the level of national commitment;
- Problems with common underlying or root causes where programmatic responses may yield multiple impacts;
- Whether the UNCT has the comparative advantages to address the problem and develop lasting in-country capacities;
- Sufficient human resources and funds are available, or can be mobilized; and

- The potential for alignment with key actors within government and civil society who have decision-making power or who can influence national priorities and support UNCT action.

Stages in the CCA process:

The UNCT, in consultation with partners, decides which existing theme groups are useful to help with the CCA or creates new ad hoc theme groups to make the best use of available analytical resources. Theme groups discuss and investigate relevant issues and help draft thematic or sector-specific sections of the CCA document. Country databases of relevant, up-to-date information are used to conduct the analysis. Where relevant data are not available or reliable, the theme group ensures that appropriate actions for data collection and capacity building are proposed. Theme groups use HRBA and mainstream gender equality concerns in the analytical process.

Typically, an individual leading the UNCT will chair each theme group to ensure that its work receives appropriate attention and follow-up. Chairpersons promote, to the extent possible, sex-balanced membership and encourage contributions from staff with cross-cutting expertise, particularly in the areas of human rights and gender equality. From the outset, the Resident Coordinator invites relevant national authorities and other partners as well as all UN actors present in the field, including the UN political/peacekeeping and relief agencies, where appropriate, and non-resident UN agencies to participate in the work of the theme groups. Experts of the United Nations system located in their headquarters or (sub) regional offices may also be requested by the UNCT to support the CCA-UNDAF process. Theme groups will typically consult Government, civil society, including worker and employers' organizations, indigenous organizations and institutions, organizations working with persons with disabilities, people living with HIV/AIDS, the private sector and external partners. The theme groups use any relevant national poverty analyses, sectoral studies and/or any other work completed or underway.

When the theme groups have completed their work, a drafting committee will prepare a first draft of the CCA which is then distributed by the individuals leading the UNCT to all partners, including to non-resident UN agencies and to the Peer Support Group.

As a quality check, the first complete draft of the CCA is submitted by the Resident Coordinator, on behalf of the individuals leading the UNCT, to a Peer Support Group which comprises persons nominated by the relevant regional and/or headquarters offices of UN agencies. UN agencies that do not have an in-country presence and which have not otherwise been a part of the CCA preparation are particularly encouraged to participate in the regional Readers Group. The group is co-ordinated by one of the regional offices of the UNDG covering the country concerned, as decided by Regional Directors in their first meeting each year.

The convening regional office is responsible for ensuring the membership of the PSG, distributing the draft CCA to them, synthesizing comments and emailing the synthesis—to which all individual comments may be annexed—back to the Resident Coordinator within 15 calendar days of receipt of the draft. The approximate date of this review is indicated in the UNCT's roadmap. Any subsequent change is communicated to the convening agency as early as possible. The 15-day return time ensures that the UNCT can review and incorporate external comments in a revised draft, if they agree with them, prior to the final stakeholder review meeting for the CCA.

Country teams, together with all partners may want to organize a final consultation to reach consensus on:

- The major findings of the CCA;
- The priority problems identified for development cooperation; and
- The possible roles of development partners.

After clearance by the UNCT as a whole, the finalized CCA should be shared with national authorities, UN regional and headquarters offices, non-resident

agencies, all other partners and to the Chair of the United Nations Development Group for submission to the Secretary-General. [Completed CCAs](#) are available at the [UNDG website](#).

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

Under any of the options of country analysis, it is strongly recommended to work with partners to develop or strengthen the indicator framework within the overall national development framework. UNCT efforts build on what already exists in the country to help establish baselines, identify trends and data gaps, and highlight constraints in country statistical systems. Particular attention is paid to disaggregation of data (by sex and other key socio-economic variables) and to any research that reflects the situation and views of people who suffer from discrimination. The Box on the left presents information on disaggregation of data. Further details about the indicator framework are in chapter V.

[DevInfo](#) is a user-friendly, customizable database system used by UNDG to support national monitoring of human development. It can be customized by the UNCT to link data to the national development framework, the World Summit outcome document, MD/MDGs and the UNDAF as well as other plans of high national priority.

(3) Checklist to assess the quality of country analysis

A checklist to assess the quality of country analysis is below:

Disaggregating data: Disaggregation of data by key socio-economic variables is a must because it will help uncover patterns of marginalization and exclusion central to UN planning. There is sometimes confusion about what data needs to be disaggregated and how it is to be used. Here are some rules of thumb:

- Always disaggregate data by sex, and if this is not possible (e.g., because data does not exist or is too expensive to gather), formally take note of this.
- Think about which other variables are important for a particular context, as the more variables that are introduced, the more expensive it will be. For example, in situations where there are large marginalized indigenous communities, disaggregation by ethnicity will be important. Other factors to consider are age, disability, and socio-economic status.
- Think about how the data will be analyzed ahead of time, and the uses to which it will be put. There is sometimes a tendency to collect too much data, or not to analyze what is collected. Data should help determine the key national needs in relation to the MDGs and how the UN can best support national efforts to meet MDG targets.

A. Criteria: At a minimum, high quality country analysis will:

- **Assess the situation of the country with respect to the standards in the MD/MDGs and other internationally agreed development goals and treaty obligations.**

- Do analytical processes or products (existing or planned) provide reliable, recent data related to the MDGs and do they adequately describe issues, trends and gaps?
 - Have important comments by Treaties Bodies and supervisory bodies within the UN system (i.e. responding to national reports) been considered?
 - **Identify patterns of discrimination and inequality, and describe the situation of groups excluded and made vulnerable due to the denial of their rights.**
 - Are data sufficiently disaggregated (e.g. by gender, ethnicity, region, religion and language, as well as disability, HIV/AIDS and other status) to identify excluded groups?
 - Are there evident priorities among the problems and challenges identified?
 - Are the root causes of these problems and challenges identified?
 - Does the analysis describe patterns of discrimination and the different ways that females and males experience these problems?
 - **Assess capacity assets and gaps at different levels.**
 - Does the assessment acknowledge the interdependence of capacity at three levels: enabling environment, organizational and individual?
 - Does the assessment identify capacity assets and needs of key actors (duty-bearers and rights-holders) to address the problems and challenges (at national, sub-national, community and family level)?
 - **Involve non-government stakeholders, and ensure the active and meaningful participation of groups subjected to discrimination, including the poor, persons with disabilities, people living with HIV/AIDS and different groups of women such as indigenous women and women migrant workers.**
 - Is there evidence of institutionalized participation of non-state actors and excluded groups in analytic work?
 - **Assess the risks of conflict and natural disasters, as well as the readiness of countries to respond.**
 - Have risks of humanitarian crises and natural disasters been assessed, and are the groups most likely to be affected identified?
 - Have the analytical processes and products considered the readiness of government, civil society and communities to respond to crises and natural disasters?
- B. Process suggestions:** The nature and scope of the review is clearly defined, comprehensive and focuses on capacity development. The review is conducted transparently on the basis of the principles of UN cooperation. It will need to survey a wide range of analytic processes and products that make up the national development framework. These include, but are not limited to: a National Development Plan (NDP), PRSP, JAS, sub-national plans, sector analyses and plans, World Bank or IMF reports, and reports from credible international and country civil society organizations. The review will also indicate the adequacy of the national processes and institutions in each stage of the planning cycle, including situation analysis, policy and strategy formulation, budget allocation, programme planning and implementation, and monitoring and evaluation.
- The following are suggested:
- The Resident Coordinator, on behalf of the UNCT, informs government about the purpose and process of the review, seek their involvement, request focal points for the exercise and agree on a schedule. A steering committee or another body may be formed.

- The UNCT and partners agree on the analytical processes and documents that will be reviewed. The review can use the questions listed in section A. Additional criteria may be added, at the request of partners or to address a unique country situation. It may be undertaken by staff from the UN system and with the support of a qualified consultant.
- The draft report is endorsed by all partners in the review, and it will represent a roadmap in country analysis and strategic planning.

C. Supporting national analysis: Some issues for consideration:

A fuller discussion of the [early country experiences of programming without a CCA](#) is available for reference. The examples include those of the UNCTs in Ethiopia, Mozambique, Tanzania and Zambia, who did not undertake a CCA exercise, but opted for full support to the national analytic process as part of a PRSP or equivalent process.



IV. Technical Guidance on Strategic Planning

This chapter provides technical guidance on: (1) strategic priority setting, (2) a checklist to assess the quality and strategic positioning of the UNDAF, (3) RBM concepts, and (4) joint programmes.

(1) Strategic priority setting:

The UNCT targets its support to areas where it can make the biggest difference, as identified using at least the following criteria:

- Whether identified root causes and capacity gaps of priority development problems are addressed from a human rights and gender perspective;
- The magnitude and trend of the problem and the level of national commitment to addressing it;
- Whether the UNCT has comparative advantages to address the identified problems and develop lasting in-country capacities, including taking into account capacity assets accessible in other developing countries;
- Whether sufficient human resources and funds are available or can be mobilized; and
- Whether the UNCT is aligned with key actors within government and civil society who have decision-making power or who can influence national priorities and support UNCT action.

The diagram below promotes improved strategic planning by supporting a determination of the UN's comparative advantage and priorities. The overlapping circles demonstrate the intersection of the contextual factors which will help establish how the UNCT can take into account national priorities and the UNCT's own strengths.

The UNCT reflects critically on the quality and strategic positioning of the UNDAF and the outcomes of agencies working alone or together. Some quality criteria for this assessment are:

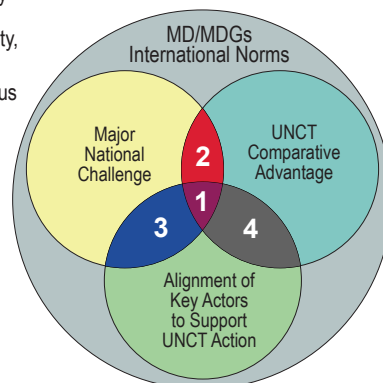
STRATEGIC PRIORITY SETTING FOR UN COUNTRY TEAMS

1 Top strategic priority

2 Potential high priority, if UNCT can use negotiation/consensus building to gain alignment

3 Potential high priority, if others cannot meet demand and UNCT capacity building is feasible

4 Lower priority: does not meet major national challenge



(2) Checklist to assess the quality and strategic positioning of the UNDAF

Comparative Advantage: Does the document, in explicit terms, present the UN's comparative advantage (as a whole and for each individual agency) both in terms of demonstrated capacity to achieve results and in comparison with other actors?

Focus and Prioritization:

- Glance at the UNDAF results matrix and put it aside. Can you recall how the UNCT sees its role in the country and its key deliverables for the next five years?
- Do the outcomes “zoom in” on specific results, or are they formulated as door openers to include everything as activity? Are UNDAF outcomes merely an umbrella for a range of agency products? (Bad examples: “Improved access to social services...,” “Reduced poverty,” “Better overnance”).
- Beyond the focus of themes/sectors or geographical regions, is there a clear line of argumentation regarding the kind of intervention foreseen

(e.g., technical assistance, capacity development, advocacy, knowledge-brokering)?

- Is the UNDAF results matrix a true planning instrument, or merely a rewording of the established areas of intervention? A true planning instrument would include at a minimum expected results, a budget against those results, and an M&E plan.
- To what extent does the UNDAF incorporate the five inter-related programming principles (human rights, gender equality, environmental sustainability, RBM, and capacity development)?

Alignment

- Is the UNDAF finalized after completion of a PRSP or NDP?
- Do the UNDAF outcomes relate to national priorities as expressed in the PRS, NDP or equivalent national document?

- Is the UNDAF M&E system aligned with the national monitoring system?

Logical Framework

- Are the number and range of UNDAF outcomes realistic, given the strength of the UN presence and programme resources available?
- Is the logical chain of results (if-then) followed correctly?
- Are the M&E indicators objective-verifiable indicators?

Conflict/Transition Issues

- Has the likelihood of crisis/disaster and who is likely to be affected been considered?
- Is the UNDAF based on a conflict analysis? Does it include a human rights and gender equality perspective?

Structure and content of the UNDAF document

The text of the UNDAF should not exceed 15 pages, excluding annexes and the cover page. All UNDAFs should contain an *Executive Summary* and a *Signature Page*, as well as the six sections detailed below. Note that the signature page should include signatures of government as well as of all individuals leading the UNCT—including non-resident agencies—to underscore the commitment of all partners who participated in the UNDAF preparation.

Section 1 – Introduction contains a brief narrative, following the preparatory exercise done during the analytical phase and the strategic planning exercise. The introduction should pay particular attention to describing the position and the potential of the UN in the country, its comparative advantages, including key normative work being

done by (resident and non-resident) UN agencies in relation to national development priorities, as well as the alignment of the UNDAF process with the national planning process.

Section 2 – UNDAF Results comprises a narrative and a results matrix. These form the core of the document. The UNDAF results matrix is presented in Options 1 a) and 1 b) of the guidelines. The narrative complements the results matrix, and should describe in narrative form (i) The results expected from UNCT cooperation, a clear rationale for the choices made, their expected contribution to national development framework & MD/MDG related priorities; (ii) Why the UNCT and partners have focused on these results; and (iii) How the expected results will be achieved, and with whom.

The narrative further describes how each UNDAF outcome will make a contribution to the achievement

(cont'd) ►

of one or more selected priorities from the national development framework, related to the MD/MDGs and other internationally agreed development goals and treaty obligations. It provides the rationale for the choices made and describes why certain results were chosen over others, making reference to the country analysis, the national priorities, and the comparative advantages of the UNCT over other development actors, particularly for country capacity development. It provides a summary of the expected results from contributions of all UN agencies, including specialized agencies and non-resident agencies. In particular, this section highlights the anticipated synergies between the agencies for the achievement of UNDAF outcomes, and describes any joint programmes.

The narrative also identifies the government and/or other partners, including South-South partners, that are expected to contribute to the achievement of UNDAF results. It also summarizes the coordination mechanisms for working with partners and for promoting greater national ownership and capacity

Section 3 – Initiatives outside the UNDAF results matrix describes agency-supported activities that respond to specific country demands but which fall outside the common results matrix of the UNDAF. The initiatives and expected results are briefly described, along with the agency responsible, and the estimated budget and timeline.

Section 4 – Estimated resource requirements is a costing of the results in the matrix, covering the estimated financial resources required by the UN system for its contribution to the achievement of each expected outcome in the UNDAF. Each agency identifies the resources that it plans to contribute—both regular budget and other resources. The figures, while only indicative, are as accurate as possible at the time of the UNDAF drafting.

Resource commitments will continue to be made only in agency programme/project documents, according to the procedures and approval mechanisms of each agency.

If there is a gap between the indicative budget and the actual resources available to implement the commitments of the UNDAF, then the Resident Coordinator, on behalf of all UN agencies, will supplement agency efforts in fundraising for the UNDAF. Increasingly, the emphasis will be on developing and implementing strategies for joint resource mobilization, by the UNCT, for achievement of strategic results in the UNDAF.

Technical cooperation or contributions in-kind should be indicated in terms of their equivalent monetary value, taking care not to double-count funding obtained through other UN agencies.

The budget should be reviewed and updated annually to reflect the shorter, or different, cycles of specialized and non-resident agencies.

Section 5 – Implementation: For each outcome, this section describes the specific coordination, management and partnership arrangements that are needed for success. In line with the focus on capacity development, these arrangements support the use of national systems for implementation, management and monitoring based on internationally recognized standards and good practice.

Section 6 – Monitoring and Evaluation: This section explains how the UNCT and partners will monitor and report on UNDAF achievements, and how they will evaluate the effectiveness of the UNDAF as a contribution to the national development framework.

(3) RBM concepts

The [Issues Note: Results-Based Management in UNDAFs](#) can be used to support the development of relevant and robust results statements and indicators. The undg RBM Action Plan can be found [here](#). The new RBM Handbook will be launched and made available in March 2010.

FIGURE: SMART RESULTS

S	pecific: Results must use change language—they must describe a specific future condition from the standpoint of right-holders and duty-bearers
M	asurable: Results, whether quantitative or qualitative, must have measurable indicators, making it possible to assess whether they were achieved or not
A	chievable: Results must be within the capacity of the UNCT and partners to achieve
R	elephant: Results must make a contribution to selected priorities of the national development framework
T	imebound: Results are never open-ended—there is an expected date of accomplishment

Outcomes describe the intended changes in development conditions resulting from UNCT cooperation. They normally relate to changes in institutional performance or behaviour among individuals or groups.

Achievement of outcomes depends critically on the commitment and actions of stakeholders, as well as on results to be achieved by government and partners outside the UNDAF. We need to make **assumptions** about the conditions that are needed for the results of UNCT cooperation to translate into the achievement of national priorities. These transformations depend on the actions of stakeholders outside the scope of cooperation. We need to make assumptions about how

these stakeholders will act. We also identify **risks**—negative external events which may seriously impede UNCT cooperation. Identifying risks can help a UNCT and partners develop mitigation strategies. Click here to see a technical brief about [Assumptions and Risks](#).

Outputs are changes in skills or abilities, or the availability of new products and services that must be achieved with the resources provided and within the time-period specified. There is a trend in recent UNDAFs towards a large number of outputs that are shared by two or more agencies and their implementing partners. The value of this is unclear, unless they indicate genuine possibilities for [joint programmes](#). Outputs are the level of result where the clear comparative advantages of individual agencies emerge, and are where accountability is clearest. Blurring these too much may compromise UNDAF achievement.

Human rights standards guide the development of the UNDAF results matrix. Outcomes must be rights-based and **gender sensitive**. Using HRBA, outcomes will show changes in the performance of rights-holders to exercise and claim their rights, and of duty-bearers to respect, protect and fulfil these rights. The identification of people with claims and duties are made in a way that recognizes patterns of discrimination and how women and men relate in each country. The performance of rights-holders and duty-bearers will depend on the legal, institutional and policy environment. Outputs are more operational, and describe tangible changes in the capacities of these rights-holders and duty-bearers: new skills or abilities, responsibility, motivation and authority, or to have access to new products, services and resources.

Outcomes must be people-focused: those with claims and those with obligations are reflected as the subjects of the expected change. The process of developing rights-based, gender sensitive results is as important as the results themselves. As much as possible, both rights-holders and duty-bearers, women and men,

should be participants in the planning, implementation, and monitoring of progress towards the fulfillment of rights. Click here to see Technical Briefs about [Outcomes](#) and [Outputs](#). The briefs offer a checklist for validating results, and they provide numerous examples taken from actual UNDAFs and agency programme documents.

Indicators, baselines and targets are essential for describing how the intended results will be measured. These are discussed in more detail in the next section.

(4) Joint Programmes

In 2002, the Secretary-General's Agenda for Further Change called for more joint programmes and pooling of resources at country level. Joint programming is the collective effort through which UN organizations and national partners work together to prepare, implement, monitor and evaluate the activities aimed at effectively and efficiently achieving the MDGs and other international commitments arising from UN conferences, summits, conventions and human rights instruments. A joint programme is a set of activities contained in a common work plan and related budget,

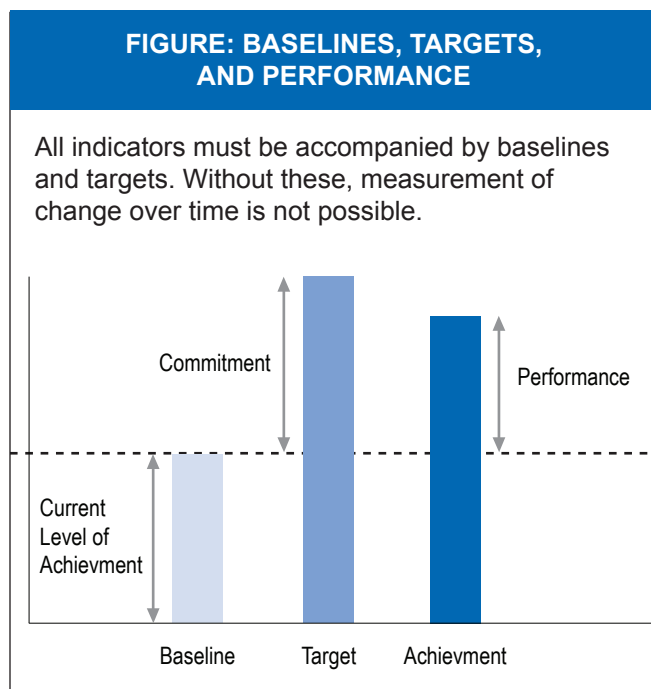
involving two or more UN organizations and (sub-) national partners. Joint programming captures working together with partners to strengthen country analysis, influence national priorities, and respond to those priorities as one system. Click on the links to see two guidance papers on joint programmes on AIDS: the [Proposed Working Mechanisms for Joint UN Teams on AIDS at Country Level](#) and [Joint UN programmes and teams on AIDS: Practical guidelines on implementing effective and sustainable joint teams and programmes of support](#). A joint programme or project is a next possible step, but not a given one. It happens where UN agencies, with national partners and donors, see clear gains in effectiveness and efficiency from combining their efforts and resources in a common work plan and budget. Joint programming is considered in providing sub-regional and regional public goods, finding solutions to cross-border development challenges through South-South peer learning, and technical cooperation. Click here to see a range of excellent materials about [Joint Programmes](#), including: UNDG guidelines; mechanisms for joint resource mobilization; standard formats for planning and reporting; lessons learned; and a database of joint programmes already underway.

V. Technical Guidance on M&E

This chapter provides technical guidance on (1) indicators, (2) indicators framework, (3) a list of indicators, and (4) an M&E calendar.

(1) Indicators

UNDAF results (at all levels) are tracked through a manageable set of key performance [indicators](#). Indicators are objectively verifiable and repeatable measures of a particular result. They are essential for monitoring, evaluating, and reporting on achievement.



In the diagram:

- **Baselines** establish the value of the indicator at the beginning of the planning period;
- **Targets** describe expected values upon completion of the plan; and

- Performance monitoring of the indicator tells us about actual achievement, compared to the original target. To ensure consistency, indicators, baselines and targets are not normally changed retroactively, and if so, only by consent among all partners.

The human rights standards that guided the development of results also guide the selection of indicators. An indicator must be rights-based and gender-sensitive as the result it is intended to measure. Averages hide disparities and, therefore, hinder the identification of discrimination such as gender and racial discrimination. Indicators are specific to the change expected and to the subject of change, either the rights-holder or the duty-bearer. This means disaggregation—as much as necessary—by sex, age, ethnicity, language, urban and rural areas as well as disability, HIV/AIDS and other status. But there are trade-offs. The large sample sizes needed to provide quantitative data, which are statistically reliable for different regions and population groups, can increase data collection costs dramatically. The UNCT and partners will have to target the use of scarce M&E resources to address the most pressing data needs.

(2) Indicator framework

Under any of the options of country analysis (see p. 19 for details), it is strongly recommended to work with partners to develop or strengthen the indicators for the national development framework. UNCT efforts build on and influence what already exists in the country—not develop a parallel indicator framework. A robust indicator framework will help to establish baselines, identify trends and data gaps, and highlight constraints in country statistical systems. Particular attention is paid to the disaggregation of data and to any research that reflects the situation and views of people who suffer from discrimination.

The [Millennium Declaration](#), United Nations global conferences and summits held in the 1990s, and UN conventions and treaties⁶ established a number

⁶ See the hyperlinked list of UN conventions and conferences in Section I of this document.

of interconnected and mutually reinforcing goals, targets and obligations for progressively realizing rights, mostly to be achieved by 2015. A focus on priority development problems and human rights concerns, within the context of national commitments to international instruments, is the focus of the UN's contribution to country analysis. Beginning on page 37 is a list of indicators that UNCTs can use when developing or strengthening indicators. In addition to the indicators listed in the table below, the Education for All indicators and guidelines on how to measure them can be found [here](#).

An indicator framework is a tool to help measure progress towards the MD/MDGs and other internationally agreed development goals and treaty obligations. The list of indicators below, while limited, reflects a balanced representation of key goals and provides an entry point into the areas covered by the mandates of UN system organizations embodied in the Millennium Declaration. They are intended to suggest, rather than prescribe, indicators and by no means exhaustive as UNCTs will need to expand the list with country-specific qualitative and quantitative data, especially relating to the PRSP or other national poverty-reduction strategies.

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

An indicator framework is comprised of five components:

- Indicators relating to development goals and objectives set in UN conferences, conventions, declarations and summits. This group of indicators builds on existing established global lists, especially those used for the global monitoring of MDGs;
- Conference and convention indicators relating to governance, democracy, justice administration, and security and protection of persons;
- Basic contextual indicators relating to the demographic and economic conditions of the country, which provide the necessary background for understanding development and socio-cultural concerns. Disaggregated data, including by sex, language, religion and ethnicity is an important instrument of analysis;
- Indicators used for monitoring Millennium Development Goal 8, "Develop a global partnership for development," which relates to international governance but includes indicators that can be monitored at the country level; and
- Thematic indicators to provide further insights into issues of major concern for development, including specific country settings, national priorities and needs, and cross-cutting issues.

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

Using an indicator framework to track MDGs:

The list of indicators in the table below includes those that will be used in the global- and country-level tracking of MDGs in such a way that the latter forms a subset of the larger group of indicators included in Part A of the indicator framework. Other indicators included in Part A relate to goals and targets contained in the series of global UN conferences, summits and conventions held in the 1990s that were not explicitly included in the development chapter of the Millennium Declaration.

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

- Indicators provide relevant and robust measures of progress towards the targets contained in the MDGs, as well as the goals and objectives, conventions of the UN system, and declarations and programmes of action adopted at UN conferences;
- Indicators are clear and straightforward to interpret and provide a basis for international comparison;
- Indicators are broadly consistent with other global lists, while not imposing an unnecessary burden on UNCTs, the government and other partners;
- Indicators are constructed from well-established data sources, quantifiable, and consistent to enable measurement over time; and
- The indicator framework, like any indicator list, is dynamic and will necessarily evolve in response to changing national situations.

Indicators for rights-based development:

Approaching development from the perspective of human rights creates particular demands for data that are not satisfied by traditional socio-economic indicators alone, and requires the selection and compilation of indicators on the basis of the following principles: (a) internationally agreed human rights norms and standards that determine what needs to be measured; (b) a comprehensive human rights framework with sectors mirroring civil, cultural,

economic, political and social rights; (c) integration of the 'rights element' into existing indicators by identifying (i) explicit standards and benchmarks against which to measure performance, (ii) the capacities of specific actors or institutions responsible for performance, (iii) the capacities of rights-holders to whom responsibility is owed, and (iv) groups excluded and marginalized due to the denial of their rights, such as indigenous peoples, persons with disabilities and people living with HIV/AIDS, and (v) mechanisms for delivery, accountability, and redress; (d) measuring subjective elements, such as levels of public confidence in institutions of governance, including among people suffering from discrimination; and (e) process indicators to measure the application of the human rights principles of participation, equality, and non-discrimination and accountability in all phases of the programming cycle.

All relevant indicators are disaggregated to the extent possible and, where appropriate, by race, colour, sex, language, religion, nation, ethnic or social origin, property and disability, and other status such as woman or child head of household, or displaced. The indicators also take into account indigenous peoples' perspective of well-being and development.

Gender: All relevant indicators are compiled and analyzed separately by sex in order to assess progress in gender equality and equity.

Geographic level: Where possible and applicable, indicators are classified separately for urban, peri-urban, and rural areas. The indicators are also compiled separately and analyzed for provinces, regions and states. Maps are included where appropriate.

Use of national sources: Country data is used for compiling the selected indicators where such data are available and of reasonably acceptable quality. The data source for any given indicator and the quantitative value of the indicators are decided by consensus among the key stakeholders participating in the preparation of the framework.

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

Minimum information to be reported with quantitative indicators: The specific value of the indicators is given (e.g., 53.5 percent and NOT “more than 50 percent”); the reference year of the data, that is the year during which the data were gathered—note that the reference year is often different from the year of the publication from where the figure is taken. Full reference is given of the publication from which the figure is taken, including title, author and year of publication.

Wider information base: The data provided in the indicator framework is used to flag particular development issues. The assessment will necessarily require a much wider information base.

Qualitative monitoring: Some goals and targets, such as those relating to significant improvement in the lives of at least 100 million slum dwellers and the provision of special assistance to children orphaned by HIV/AIDS—both of which are included in the Millennium Declaration—can often be monitored through qualitative assessments using relatively low-cost rapid assessment

procedures. Such assessments are useful not only where quantitative data are lacking but also for supplementary purposes. They can provide useful insights into causal processes, such as constraints on access to and delivery of public services, as well as providing a perspective of deprivation from the poor and excluded, and how their lives may have changed over time. Ideally, qualitative assessments, like quantitative assessments, are related to a common sample and baseline. Qualitative indicators from focus group discussions and the records maintained by specialized service providers can also provide very useful monitoring information.

Partnerships and developing statistical capacity: The UNCT works collaboratively to help build ownership and consensus on the indicators selected. A consultation process, generally with the national statistical office or other national authority, line ministries and other key stakeholders, is initiated in the selection and compilation of country-specific indicators and take into account national development priorities and the availability of data. Completing the indicator framework is an important opportunity to begin investing in national capacity for information management and priority-setting for informed policy-making and programming. As part of the UN’s efforts to build country analytical capacity, the UNCT and partners review the indicator data collection and analysis process, and consider the need for better statistics and databases at the national level as a foundation for poverty programming, MDGRs, and other important development reporting mechanisms.

(3) List of Indicators

A. Millennium Declaration and conference indicators

* For statistics not specifically linked, click [here](#) to access the UN's Statistics Division database.

Conference goal	Target	Indicators
Income-Poverty		
Eradicate extreme poverty	Halve, between 1990 and 2015, the proportion of people whose income is less than \$1 dollar a day (Millennium Declaration)	<ul style="list-style-type: none"> • Poverty headcount ratio (percentage of population below national poverty line) • Proportion of population below \$1 (PPP) per day • Poverty gap ratio • Share of poorest quintile in national consumption
Food security and nutrition		
Eradicate hunger	Halve between 1990 and 2015, the proportion of people who suffer from hunger (Millennium Declaration)	<ul style="list-style-type: none"> • Prevalence of underweight children under five years of age • Proportion of population below minimum level of dietary energy consumption • Proportion of household income spent on food for the poorest quintile
		<ul style="list-style-type: none"> • Net food availability per capita expressed in calories • Coefficient of variation of net food availability per capita over the last ten years (expressed in calories) drawn from food balance sheets of FAO
Education		
Achieve universal primary education	Ensure that, by 2015, children everywhere, boys and girls alike, will be able to complete a full course of primary schooling (Millennium Declaration)	<ul style="list-style-type: none"> • Net enrolment ratio in primary education • Proportion of pupils starting grade 1 who reach grade 5 • Literacy rate of 15-24 year olds • Adult literacy rate
Achieving Education For All	Expanding and improving comprehensive early childhood care and education, especially for the most vulnerable and disadvantaged children (EFA Goal 1)	<ul style="list-style-type: none"> • Gross enrolment in early childhood development programmes, including public, private, and community programmes, expressed as a percentage of the official age-group concerned, if any, otherwise the age-group 3 to 5. • Percentage of new entrants to primary grade 1 who have attended some form of organized early childhood development programme.

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Conference goal	Target	Indicators
Achieving Education For All	Ensuring that by 2015 all children, particularly girls, children in difficult circumstances and those belonging to ethnic minorities, have access to and complete free and compulsory primary education of good quality (EFA Goal 2)	<ul style="list-style-type: none"> • Apparent (gross) intake rate: new entrants in primary grade 1 as a percentage of the population of official entry age. • Net intake rate: new entrants to primary grade 1 who are of the official primary school-entrance age as a percentage of the corresponding population. • Gross enrolment ratio. • Net enrolment ratio. • Repetition rates by grade.
Achieving Education For All	Ensuring that the learning needs of all young people and adults are met through equitable access to appropriate learning and life-skills programmes (EFA Goal 3)	<ul style="list-style-type: none"> • Literacy rate of 15-24 year olds
Achieving Education For All	Achieving a 50 percent improvement in levels of adult literacy by 2015, especially for women, and equitable access to basic and continuing education for all adults (EFA Goal 4)	<ul style="list-style-type: none"> • Adult literacy rate: percentage of the population aged 15+ that are literate. • Literacy Gender Parity Index: ratio of female to male literacy rates.
Achieving Education For All	Eliminating gender disparities in primary and secondary education by 2005, and achieving gender equality in education by 2015, with a focus on ensuring girls' full and equal access to and achievement in basic education of good quality (EFA Goal 5)	<ul style="list-style-type: none"> • No explicit EFA core indicator was identified to measure the progress towards this goal, but the Gender Parity Index in gross enrolment ratios in primary and secondary education can be used to measure gender parity. Gender equality has to be measured, using additional quantitative and qualitative indicators to reflect its multiple facets (gender biases in learning content or syllabi, gender differences in subject choices, gender supportive school environment, etc.)

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Conference goal	Target	Indicators
Achieving Education For All	Improving all aspects of the quality of education and ensuring excellence of all so that recognized and measurable learning outcomes are achieved by all, especially in literacy, numeracy and essential life skills (EFA Goal 6)	<ul style="list-style-type: none"> Public current expenditure on primary education a) as a percentage of GNP; and b) per pupil, as a percentage of GNP per capita. Public expenditure on primary education as a percentage of total public expenditure on education. Percentage of primary school teachers having the required academic qualifications. Percentage of primary school teachers who are certified to teach according to national standards. Pupil-teacher ratio. Survival rate to grade 5 (percentage of a pupil cohort actually reaching grade 5). Percentage of pupils having reached at least grade 4 of primary schooling who master a set of nationally defined basic learning competencies.
Education		
Achieve universal primary education	Ensure that, by 2015, children everywhere, boys and girls alike, will be able to complete a full course of primary schooling (Millennium Declaration)	<ul style="list-style-type: none"> Net enrolment <i>ratio</i> in primary education Proportion of pupils starting grade 1 who reach grade 5 Literacy rate of 15-24 year olds Adult literacy rate
Gender equality and women's empowerment		
Promote gender equality and empower women	Eliminate gender disparity in primary and secondary education, preferably by 2005, and to all levels of education by no later than 2015	<ul style="list-style-type: none"> Ratio of girls to boys in primary, secondary and tertiary education Ratio of literate females to males 15-24 year olds
	Eliminate discriminatory practices in employment	<ul style="list-style-type: none"> Share of women in wage employment in the non-agricultural sector
	Equitable access to political institutions (Fourth World Conference on Women)	<ul style="list-style-type: none"> Proportion of seats held by women in national parliament

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Conference goal	Target	Indicators
Child mortality and welfare		
Reduce child mortality	Reduce by two thirds, between 1990 and 2015, the under-five mortality rate (Millennium Declaration)	<ul style="list-style-type: none"> • Under five mortality rate • Infant mortality rate • Neo-natal mortality rate • Proportion of one-year-old children immunized against measles
Reduce child labour	Elimination of child labour (WSSD)	<ul style="list-style-type: none"> • Proportion of children < age 15 who are working
Reproductive and maternal health		
Improved reproductive health	Universal access to reproductive health services and information by 2015 (ICPD, World Summit Outcome, SG and GA recommendation)	<ul style="list-style-type: none"> • Contraceptive prevalence rate • Unmet need for family planning • Adolescent fertility
Improved maternal health and reduced maternal mortality	Reduce by three quarters, between 1990 and 2015, the maternal mortality ratio (Millennium Declaration)	<ul style="list-style-type: none"> • Maternal mortality ratio • Proportion of births attended by skilled health personnel
HIV/AIDS, malaria and other diseases		
Combat HIV/AIDS	Have halted by 2015 and begun to reverse the spread of HIV/AIDS (Millennium Declaration)	<ul style="list-style-type: none"> • HIV prevalence among 15-24 year old pregnant women • Condom use rate of the contraceptive prevalence rate <ul style="list-style-type: none"> a. Condom use at last high-risk sex b. Percentage of population aged 15-24 with comprehensive correct knowledge of HIV/AIDS • Ratio of school attendance of orphans to school attendance of non-orphans aged 10-14
Combat malaria and other diseases	Have halted by 2015 and begun to reverse the incidence of malaria and other major diseases (Millennium Declaration)	<ul style="list-style-type: none"> • Prevalence and death rates associated with malaria • Proportion of population in malaria risk areas using effective malaria prevention and treatment measures^a • Prevalence and death rates associated with tuberculosis • Proportion of tuberculosis cases detected and cured under directly observed treatment short course (DOTS)

Notes: ^aPrevention to be measured by the percentage of under five-year olds sleeping under insecticide-treated bed nets; treatment to be measured by percentage of under five-year olds who are appropriately treated.

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Conference goal	Target	Indicators
Employment		
Creation of full employment	Universal access to paid employment (WSSD)	<ul style="list-style-type: none"> • Employment to population of working age ratio • Unemployment rate • Informal sector employment as percentage of total employment • Rural/urban employment rate
Environment		
Ensure environmental sustainability	Integrate the principles of sustainable development into country policies and programmes and reverse the loss of environmental resources (Millennium Declaration)	<ul style="list-style-type: none"> • Proportion of land covered by forest • Ratio of area protected to maintain biological diversity to surface area • Energy use (kg oil equivalent) per \$1 GDP (PPP) • Carbon dioxide emissions (per capita) and consumption of ozone-depleting CFCs (ODP tons) • Proportion of population using solid fuels
	Halve by 2015 the proportion of people without sustainable access to safe drinking water (Millennium Declaration)	<ul style="list-style-type: none"> • Proportion of population with sustainable access to an improved water source, urban and rural
	By 2020 to have achieved a significant improvement in the lives of at least 100 million slum dwellers (Millennium Declaration)	<ul style="list-style-type: none"> • Proportion of urban population with access to improved sanitation • Proportion of households with access to secure tenure
Housing and sanitation		
Adequate shelter for all	Provision of sufficient living space and avoidance of overcrowding (HABITAT II)	<ul style="list-style-type: none"> • Number of persons per room, or average floor area per person
Improved access to safe sanitation	Universal sanitary waste disposal (WCW/WCS/WSSD/UNCED)	<ul style="list-style-type: none"> • Proportion of population with access to improved sanitation
Drug control and crime prevention		
Improved drug control	Measurable results in reducing cultivation, manufacture, trafficking and abuse of illicit drugs by 2008 (UNGASS 20)	<ul style="list-style-type: none"> • Area under illicit cultivation of coca, opium poppy and cannabis • Seizures of illicit drugs • Prevalence of drug abuse
Improved crime prevention	Eliminate/significantly reduce violence and crime (UN Congress of Crime Prevention and Criminal Justice)	<ul style="list-style-type: none"> • Number of intentional homicides per 100,000 inhabitants

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Conference goal	Target	Indicators
International human rights obligations		
Universal ratification of international human rights instruments	Acceding to all international human rights instruments and avoiding resort to reservations, as far as possible	<ul style="list-style-type: none"> • Status of ratification of, reservations to, and reporting obligations under international human rights instruments • Status of follow-up to concluding observations of UN human rights treaty bodies
Cooperation with the UN system's human rights monitoring mechanisms		<ul style="list-style-type: none"> • Status of follow-up to recommendations made by the UN system's human rights monitoring mechanisms.

B. Conference and convention indicators on governance, democracy, justice administration and security of person

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

Conference goal	Target	Indicators
Democracy and popular participation		
Strengthened democratic institutions and popular participation	Free and fair elections and democratic government (WCHR)	<ul style="list-style-type: none"> • Periodicity of free and fair elections • Number of independent NGOs/CSOs and employers' and workers' organizations operating in the country • Existence of independent broadcasting and print media
Administration of justice		
Fair administration of justice	Effective legislative framework, law enforcement, prosecutions, legal profession, and fair trials in conformity with international standards (WCHR)	<ul style="list-style-type: none"> • Legal guarantees for independent judiciary • Procedural guarantees for fair trial • Availability of free legal assistance for the criminal defence of poor people throughout the country
Improved framework of remedies	Existence of legal remedies in conformity with international standards	<ul style="list-style-type: none"> • Recognition in law of the right to seek judicial remedies against state agencies/officials

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Conference goal	Target	Indicators
Liberty security and protection of person		
Liberty and security of person	Elimination of gross violations of human rights affecting security of person, including torture and cruel, inhuman or degrading treatment or punishment; summary and arbitrary execution; disappearances, and slavery (WCHR)	<ul style="list-style-type: none"> • Number of complaints of extra-judicial executions
Provide protection for displaced persons	Upholding the right to seek asylum and refugee status, and the return and reintegration of refugees.	<ul style="list-style-type: none"> • Number of persons granted asylum/refugee status • Number of refugees that have returned and been reintegrated • Strengthened support to displaced persons for their return and reintegration • Number of displaced persons that have returned and been integrated

C. Contextual indicators

Demographics	<ul style="list-style-type: none"> • Population size^a • Population structure, including ethnic composition of the population • Sex ratio • Total fertility rate • Life expectancy at birth • Rural/urban migration flows
Economy	<ul style="list-style-type: none"> • GNP per capita (US\$ and PPP) • External debt (US\$) as percentage of GNP • Decadal growth rate of GNP per capita (US\$) • Gross domestic savings as percentage of GDP • Ratio of total trade (exports plus imports) over GDP • Share of foreign direct investment inflows in GDP • Budget deficit as percentage of GDP • Percentage of public expenditure on basic social services • Share of manufacturing value added in GDP

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

D. Selected indicators used for monitoring Millennium Development Goal no. 8

Conference Goal: *Develop a global partnership for development*

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

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

^a OECD and WTO collected data from 2001 onwards.

(cont'd) ►

◀ (cont'd)

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

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

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

E. Thematic indicators

Thematic indicators are added at country level for any specific themes addressed by the indicator framework in that country reflecting national priorities and needs.

(4) M&E calendar

An M&E calendar may be developed to improve coordination and use of M&E activities, as part of an M&E plan. The calendar provides a schedule of all major M&E activities that UNCTs undertake [in each year](#) of the UNDAF cycle. It describes agency and partner accountabilities, the uses and users of information, the UNDAF evaluation milestones, and complementary partner activities (see below).⁷

		Year 1	Year 2	Year 3	Year 4	Year 5
UNCT M&E activities ⁸	Surveys/studies	Investigations of a problem or assessments of the conditions of a specified population group. They can help to identify root causes, and findings are used to develop or refine programme strategy and/or define baseline indicators.				
	Monitoring systems	Typically this will include UNCT support to national information systems, with regular and fairly frequent reporting of data related to UNDAF results. In particular it includes UNCT support for national reporting to human rights treaty bodies.				
	Evaluations	An evaluation attempts to determine objectively the worth or significance of a development activity, policy or programme. This section includes all evaluations of agency programmes and projects contributing to the UNDAF and the UNDAF evaluation.				
	Reviews	Reviews will generally draw on agency and partners' monitoring systems as well as the findings of surveys, studies and evaluations.				
Planning references	UNDAF evaluation milestones	Timing and sequence of the milestones in preparing and implementing the UNDAF Evaluation. These make use of the M&E activities above.				
	M&E capacity development	A list of the major, planned capacity development activities to strengthen partner M&E capabilities.				
	Use of information	Any decision-making processes or events that will draw on the findings, recommendations and lessons from the M&E activities above. For example: national or international conferences, MDG reporting, reporting to human rights bodies, preparation of the national development framework, the prioritization exercise, and preparation of the UNDAF.				
	Partner activities	The major M&E activities of government and other partners that use and/or contribute to the M&E activities above.				

⁷ Further information on coordinating M&E activities is available in the [“Standard Operational Format and Guidance for Reporting Progress on the UNDAF”](#).

⁸ For each activity list: Short name of activity; focus vis-à-vis UNDAF results; agencies/partners responsible; timing.